



Republic of the Philippines  
Department of Transportation and Communications  
**MARITIME INDUSTRY AUTHORITY**

**System Assessment Report**  
ISM CODE CERTIFICATION

Date: \_\_\_\_\_

<b>Name of Company:</b>		<b>Address:</b>	
<b><u>Document Review and Verification</u></b>			
<b>Title of Document:</b>		<b>Type of Ship Covered by DOC:</b>	
		<input type="checkbox"/> Passenger Ship <input type="checkbox"/> Oil Tanker <input type="checkbox"/> Submersible Craft <input type="checkbox"/> Passenger HSC <input type="checkbox"/> Chem. Tanker <input type="checkbox"/> Tugboat <input type="checkbox"/> Cargo HSC <input type="checkbox"/> Gas Carrier <input type="checkbox"/> Fish Carrier in SIV <input type="checkbox"/> Cargo Ship <input type="checkbox"/> MODU <input type="checkbox"/> Other Cargo Ships <input type="checkbox"/> Bulk Carrier <input type="checkbox"/> FPSO/FSU	
<b>Issued On:</b>	<b>Revised On:</b>		
<b>Code Requirements</b>	<b>Manual Reference</b>	<b>Procedure Reference</b>	<b>Remarks</b>
<b>1 GENERAL</b>			
1.2 Objective			
1.2.1 Objectives of the Code: <ul style="list-style-type: none"> <li>a. Ensure safety at sea;</li> <li>b. Prevention of human injury or loss of life;</li> <li>c. Avoidance of damage to marine environment and property</li> </ul>			
1.2.2 Objectives of the Company: <ul style="list-style-type: none"> <li>a. Provide safe practices and safe working environment;</li> <li>b. Assessment of all identified risks;</li> <li>c. Continuous improvement of safety management skills of shipboard and shore-based personnel.</li> </ul>			
1.2.3 Safety Management System to ensure: <ul style="list-style-type: none"> <li>a. Compliance with mandatory rules and regulations; and</li> <li>b. Take into account recommended codes, guidelines and standards.</li> </ul>			
1.3 SMS Functional Requirements:			

Code Requirements	Manual Reference	Procedure Reference	Remarks
<b>2 SAFETY AND ENVIRONMENTAL PROTECTION POLICY (SEPP)</b> (Reviewed, Approved and Signed by Authorized Personnel – 11.2.2)			
2.1 Policy. How to be implemented and maintained:  a. Training and Drills; b. Procedures/Instructions/Checklist; and c. Adequate resources.			
2.2 Ensure implementation of all Ship / Shore personnel.			
<b>3 COMPANY RESPONSIBILITIES AND AUTHORITY</b>			
3.1 Identification of Responsible Operator reported to the Administration:			
3.2 Definition of SMS task and responsible personnel:  a. Organization chart: shore & onboard, and inter-relations; b. Job description and/or responsibilities and authorities of shore personnel; and c. Job description and/or responsibilities and authorities of shipboard personnel.			
3.3 Resources for designated person:			
<b>4 DESIGNATED PERSON (DP)</b>			
4.1 Identification & Tasks including Operation of SMS:  a. Name and position of the DP; b. Description of role/purpose; c. Description of access to the highest level of management; and d. Description on how to be contacted.			
<b>5 MASTER'S RESPONSIBILITY AND AUTHORITY</b>			
5.1 Definition of Tasks Implementation, Motivation, Orders, Verification, Review and Reports on SMS:			

Code Requirements	Manual Reference	Procedure Reference	Remarks
<ul style="list-style-type: none"> <li>a. Company description on how to motivate the crew in observation of the SEPP;</li> <li>b. Company description of Master's responsibility to issue orders and instructions in a clear and simple manner;</li> <li>c. Procedure for verification (what to be verified, the way to record, initials/signature);</li> <li>d. Company's documented description of Master's responsibility for review and reporting of deficiencies of the SMS (agenda , including at least annual review of complete SMS); and</li> </ul>			
<p>5.2 Masters Overriding Authority:</p> <ul style="list-style-type: none"> <li>a. Clear statement of Master's overriding authority.</li> </ul>			
<b>6 RESOURCES AND PERSONNEL</b>			
<p>6.1 Master Qualification:</p> <ul style="list-style-type: none"> <li>a. Qualification requirements for Master (ship type and flag related); and</li> <li>b. Description of company arrangement for SMS training for Masters.</li> </ul>			
<p>6.2 Crew Qualification &amp; Numbers:</p> <ul style="list-style-type: none"> <li>a. Qualification requirement for all personnel covered under the company SMS; and</li> <li>b. Compliance with the Principles of Safe Manning (Res. A.1047(27))</li> </ul>			
<p>6.3 Procedures on New Personnel and Training for New Personnel Assignments:</p> <ul style="list-style-type: none"> <li>a. Familiarization procedures prior to sailing and the first period on board, related to safety and duties.</li> </ul>			

Code Requirements	Manual Reference	Procedure Reference	Remarks
6.4 Understanding of the Rules: a. Identification of relevant rules, regulations and Guidelines on: what is relevant to whom (ashore and onboard) and how will the understanding be achieved (type of training, selection criteria)			
6.5 Procedures on Identification of Training Needs for both ship and shore:  a. Procedure to identify all relevant training needs on: what is relevant to whom (ashore and onboard), how will the training be achieved, and how will it be verified.			
6.6 Procedures on Working Language for Information:  a. Description of the procedure for SMS information to ship's personnel.			
6.7 Effective Communication (Language):  a. Language requirement and procedure for verification of it. (STCW req. in 6.2).			
<b>7 SHIPBOARD OPERATIONS</b>			
7.1 Procedures on Plans and Instructions. Tasks identification and assigned:  a. Procedure to identify key and ship specific operations, reflecting the understanding of key shipboard operations; and  b. Procedures, instructions and checklist for key operations to be developed by qualified personnel.			
<b>8 EMERGENCY PREPAREDNESS</b>			
8.1 Procedures on identification and response of emergency shipboard situations: a. Procedure to identify potential emergency situations;			

Code Requirements	Manual Reference	Procedure Reference	Remarks
8.2 Emergency drills program ship/shore: a. Programs for drill and exercise (SOLAS, Port State and National requirements).			
8.3 Corporate response measures: a. Procedure to respond to hazards, accidents and emergency situations in 24 hrs. (Contingency manual).			
<b>9 REPORTS AND ANALYSIS OF NON-CONFORMITIES, ACCIDENTS, HAZARDOUS OCCURENCES</b>			
9.1 Procedures on reporting, investigating, and analyzing non-conformities, accidents and hazardous situations:			
9.2 Procedures on implementation of Corrective actions:			
<b>10 MAINTENANCE OF SHIP AND EQUIPMENT</b>			
10.1 Procedures on Maintenance of Classification and Statutory Records: a. Maintenance procedures covering at least all items subject to class and statutory requirements;			
10.2 Inspections at appropriate intervals, Reports of Non-conformities and Corrective Actions records:  a. Schedule for inspections (shipboard staff and/or superintendent i.e., intervals, reporting, follow-up of non-conformities, and records.			
10.3 Procedures on identification of critical equipment and technical systems failure. (Measures to promote reliability):			
10.4 Critical equipment Maintenance Routine:			
<b>11 DOCUMENTATION</b>			
11.1 Procedures to control all relevant SMS document:			

Code Requirements	Manual Reference	Procedure Reference	Remarks
11.2 Documents control procedure should cover:  a. Identification of personnel authorized to approve changes;  b. Prompt removal of obsolete documents i.e., master list for ship Circulars, drawings etc., filing system, and ship & shore library.			
11.3 Safety management manual (ship specific).			
<b>12 COMPANY VERIFICATION, REVIEW AND EVALUATION</b>			
12.1 Internal Safety Audits:  a. Procedures for internal safety and pollution audit (at least annual).			
12.2 SMS Evaluation and Review:  a. Procedure for company's periodic verification of all personnel undertaking delegated ISM-related tasks are acting in conformity with the Company's responsibilities under the Code			
12.3 Procedures for internal audits and the handling of corrective actions.			
12.4 Independence of Authority. Description of Auditor's competence.			
12.5 Communication of audit results			
12.6 Implementation of Corrective Actions.			

The undersigned have carried out the above mentioned assessment and found the Safety Management System:

- in compliance with the relevant provisions of ISM Code.
- not in compliance w/ the relevant provisions of ISM Code.
- subject to corrections of the non-conformities mentioned above.

Assessed and Reviewed by: \_\_\_\_\_  
 Period of Assessment: \_\_\_\_\_  
 Designation/Office: \_\_\_\_\_

Noted by: \_\_\_\_\_  
 Date: \_\_\_\_\_