

Self Checklist for Shipboard Safety Management System

Note: This Checklist indicates items to be included at least in the samples at self checking.

Name of Ship

Name of Company

Type & Date of Audit

Place of Audit

Name of Auditor(s)

Type of Ship *

Purpose of Ship (in case of Other Cargo Ship)

DOC Number

DOC issuer

*** Refer to SOLAS IX/1**

Bulk carrier :

If “ESP” is assigned to a dry cargo ship within Class Notation, the ship is “Bulk carrier” in terms of the ISM Code, otherwise the ship is “Other Cargo Ship”.

However, it is to be confirmed whether or not the instruction from a flag state on the application of the Resolution MSC.277(85) “Clarification of the term “Bulk Carrier” and guidance for application of regulations in SOLAS to ships which occasionally carry dry cargoes in bulk” has been adopted on case by case basis.

[Note] Recently, some “Other cargo ships” are assigned with “ESP” at the owner’s option. If there are any doubts, it shall be checked according to the definition of Bulk Carrier specified in SOLAS IX/1.6, i.e. ships constructed with single deck, top-side tanks and hopper side tanks in cargo spaces and intended primarily to carry dry cargo in bulk; or ore carrier; or combination carrier.

If there is a discrepancy of the vessel types between SC/SE and the SMC, the “Explanatory Note” is available from ClassNK.

Following items to be verified at the beginning of audit.

Is there a copy of valid DOC placed onboard the ship? (DOC shall NOT be an Interim.)

In the case of **Initial Audit**

Are there any records which show that SMS onboard the ship has been implemented for, at least 3 months since the issue of Interim SMC and that an internal audit has been executed?

Notice: The parts of checklist which are not used during audit should be deleted by lines appropriate according to the audit scope.

No	Items to be checked	Result			Remark If Result is No, details are to be specified in the Remark	ISM Code
		Yes	No	N/A		
1. Shipboard Tour						
1.1 Bridge						
1.1.1	Are Navigation equipment or radio equipment maintained in good order?	<input type="checkbox"/>	<input type="checkbox"/>		If No, go to 10.11 up to 10.14	10
1.1.2	Are updated versions of nautical publications and IAMSAR Manual (Volume III) available?	<input type="checkbox"/>	<input type="checkbox"/>		SOLAS V/21 & 27	11.2.1
1.1.3	Are maritime safety information from NAVTEX or EGC checked regularly?	<input type="checkbox"/>	<input type="checkbox"/>			7
1.1.4	Are nautical charts and Notice to Mariners controlled properly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		7
1.1.5	Is ENCs updated in accordance with ECDIS handling procedure in SMS properly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		7
1.1.6	Are standing order or night order issued regularly by the master?	<input type="checkbox"/>	<input type="checkbox"/>			7
1.2 Accommodation Space						
1.2.1	Are crew accommodation facilities maintained in good order? <input type="checkbox"/> Common toilets <input type="checkbox"/> Shower & toilet in cabins <input type="checkbox"/> Provision RM <input type="checkbox"/> Galley <input type="checkbox"/> Air Cond. Unit RM <input type="checkbox"/> Laundry	<input type="checkbox"/>	<input type="checkbox"/>		If No, go to 10.11 up to 10.14	10
1.2.2	Are posted Muster lists updated? (Bridge: Engine Room: Accommodation:)	<input type="checkbox"/>	<input type="checkbox"/>		SOLAS III/37	8.2
1.2.3	Is SOLAS training manual controlled properly? (Mess Rooms: Recreation Rooms:)	<input type="checkbox"/>	<input type="checkbox"/>		SOLAS III/35	8.2
1.2.4	Are ship's drawings and instruction books controlled properly?	<input type="checkbox"/>	<input type="checkbox"/>		SOLAS II-1/3-7	11.2.1
1.2.5-1	Is posted placard for garbage disposal written in language understood by crew?	<input type="checkbox"/>	<input type="checkbox"/>		MARPOL V/9	6.6
1.2.5-2	Are there distinctively marked garbage receptacles to receive garbage for recycling? Any receptacles on deck area, poop decks or areas exposed to the weather should be secured on the ship and have lids that are tight and securely fixed.	<input type="checkbox"/>	<input type="checkbox"/>		MARPOL V MEPC.277(70)	6.6
1.2.6	Is watch schedule for watchkeeper posted?	<input type="checkbox"/>	<input type="checkbox"/>		STCWA-VIII/1.5	7
1.2.7	Is hospital accommodation ready for emergency use?	<input type="checkbox"/>	<input type="checkbox"/>			7
1.2.8	Are medicaments properly controlled?	<input type="checkbox"/>	<input type="checkbox"/>			7
1.3 On deck						
1.3.1	Are closing appliances, L.S.A. and F.F.A maintained properly? <input type="checkbox"/> Lifeboat <input type="checkbox"/> Rescue Boat <input type="checkbox"/> Fire Damper (Refer to Annex I)	<input type="checkbox"/>	<input type="checkbox"/>		If No, go to 10.11 up to 10.14	10
1.3.2	Are coating / painting of hull parts and equipment maintained properly?	<input type="checkbox"/>	<input type="checkbox"/>			10
1.3.3	Are conditions of hull part maintained in good order (No damage, No corrosion/ rust or No temporary repair) ?	<input type="checkbox"/>	<input type="checkbox"/>		If No, go to 10.11 up to 10.14	10
1.4 Engine room / Steering room						
1.4.1	Are machinery equipment & facilities maintained in good order? <input type="checkbox"/> Fire Pump <input type="checkbox"/> Emergency Fire Pump <input type="checkbox"/> Oily Water Separator system (Refer to Annex I)	<input type="checkbox"/>	<input type="checkbox"/>		If No, go to 10.11 up to 10.14	10.2
1.4.2	Are escape route and escape trunk from engine room kept free from obstacles?	<input type="checkbox"/>	<input type="checkbox"/>		SOLAS II-2/13	8.2
1.4.3	Is operating instruction of steering changeover posted?	<input type="checkbox"/>	<input type="checkbox"/>		SOLAS V/26 3.1	8.2

No	Items to be checked	Result			Remark If Result is No, details are to be specified in the Remark
		Yes	No	N/A	
1.4.4	Check Concentrated Audit Campaign items. (Refer to page 13)	-	-	-	MARPOL ANNEX IV -
1.5 Interview with officers and/or ratings during tour through		Deck	Engine	Catering	
1.5.1	Interview with the Officer and/or Rating for,	Rank:	Rank:	Rank:	-
1.5.2	When did he join?	Date:	Date:	Date:	-
1.5.3	Did he undergo familiarization training just after joining?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	6.3
1.5.4	Was essential instruction prior to sailing given to him?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	6.3
1.5.5	When did he last participate in an abandon ship drill?	Date:	Date:	Date:	Reflect to 8.8 -
1.5.6	Does he know his assigned duties in emergency?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	8.2
1.5.7	Does he know how to donning and use fireman outfit and/or breathing apparatus (including EEBD)?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	8.2
1.5.8	Does he understand what alarm signals may sound in emergency?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	8.2
1.5.9	Have there been any accidents or hazardous occurrences (near-miss) on board?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Reflect to 9.2 -
1.5.10	Did he receive a copy of the records of daily rest hours endorsed by Master or by a person authorized by the master?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>	STCWA-VIII/7 7
1.6 Interview with the Master					
Statutory certificates and survey records					
1.6.1	Are valid statutory certificates, Continuous Synopsis Record (CSR) and survey records available on board?	<input type="checkbox"/>	<input type="checkbox"/>		1.2.3.1
1.6.2	Is validity of statutory certificates informed to the company as per the procedures?	<input type="checkbox"/>	<input type="checkbox"/>		10.1 or 11.1
Classification certificates and records					
1.6.3(a)	Are valid Classification Certificate and Survey Records available on board the ship?	<input type="checkbox"/>	<input type="checkbox"/>		1.2.3.1
1.6.3(b)	For the ship with ESP Notation , are ESP file including documents related to ESP survey available on board the ship?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1.2.3.1
Crew list					
1.6.4	Does every seafarer hold a valid medical certificate?	<input type="checkbox"/>	<input type="checkbox"/>		STCW I-9.3 1.2.3.1
1.6.5	Number & Nationality of Master and Officers? (Nationalities: _____ Number: _____)	-	-	-	-
	Number & Nationality of ratings? (Nationalities: _____ Number: _____)	-	-	-	-
Certificates for crew members					
1.6.6	Is the ship manned in compliance with the Safe Manning Certificate?	<input type="checkbox"/>	<input type="checkbox"/>		SOLAS V/14 6.2.2
1.6.7	Does each of Master or Officer hold a Certificate of competency or a Dispensation in accordance with STCW?	<input type="checkbox"/>	<input type="checkbox"/>		STCW I-2 6.2.1

No	Items to be checked	Result			Remark If Result is No, details are to be specified in the Remark
		Yes	No	N/A	
1.6.8	When serving onboard a ship flying Flag of a Country other than the Party, who issued the Certificate, does each of Master or Officer hold, in addition to the above (1.6.7), an Endorsement attesting the Recognition or a Dispensation issued by flag state, or a Documentary proof/evidence that application for an endorsement received by the Administration?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	STCW I-10 6.2.1
1.6.9	Are original copies of Master's or Officer's Certificates and Endorsements kept on board the ship?	<input type="checkbox"/>	<input type="checkbox"/>		6.2.1
1.6.10	Are ratings assigned to part of navigational or engine-room watch duly certificated?	<input type="checkbox"/>	<input type="checkbox"/>		STCW II/4 & III/4 6.2.1
1.6.11	Do Master, Officers and any person with responsibility for loading, discharging and care in transit or handling cargo serving on Tanker (oil/gas/chemical) hold Certificates of competency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	STCW V-1-1 & I-2 6.2.1
1.6.12	Are all ratings assigned to specific duties and responsibilities related to cargo or cargo equipment on Tanker (oil/gas/chemical) duly certificated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	STCW V-1-1 & I-2 6.2.1
1.6.13	In case where ECDIS is/are installed onboard, does each of Master or Deck Officer familiar with the ECDIS operation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	STCW.7/Circ.24 6.3 / 6.5
Log book entry					
1.6.14	Are necessary items entered as per SOLAS requirements?	<input type="checkbox"/>	<input type="checkbox"/>		8.2
1.6.15	Are necessary items entered as per the SMS?	<input type="checkbox"/>	<input type="checkbox"/>		7 or 8.2
Oil Record Book, Garbage Record Book & Ballast Water Record Book					
1.6.16	Are necessary entries made to Oil Record Book? If IMO MEPC.107(49) approved, Records on 15ppm Bilge Alarm memorized data and Oil Record Book to be compared.	<input type="checkbox"/>	<input type="checkbox"/>		7
1.6.17	Are necessary entries made to Garbage Record Book?	<input type="checkbox"/>	<input type="checkbox"/>		MARPOL V MEPC.277(70) 7
1.6.18	Are necessary entries made to Ballast Water Record Book in accordance with Ballast Water Management Plan?	<input type="checkbox"/>	<input type="checkbox"/>		BWMC Reg. B-2 7
Providing information to master					
1.6.19	Is adequate information on safety and pollution prevention given to master by the company?	<input type="checkbox"/>	<input type="checkbox"/>		6.1.3
Latest rule					
1.6.20	Have the revisions of mandatory rules, such as IMO conventions, been taken into SMS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1.2.3.1
Flag State requirements					
1.6.21	Does the ship comply with the flag state requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1.2.3.1
3. Company responsibilities					
3.1	Is the Company indicated on DOC identical with the owner or the entity reported according to the ISM Code 3.1?	<input type="checkbox"/>	<input type="checkbox"/>		3.1 or 13.1
4. Designated Person					
4.1	Are the monitoring activities by DPA on the safety and pollution aspect found sufficient?	<input type="checkbox"/>	<input type="checkbox"/>		4
4.2	Is DPA known by master and officers?	<input type="checkbox"/>	<input type="checkbox"/>		4
4.3	Is the role of DPA known by Master and officers?	<input type="checkbox"/>	<input type="checkbox"/>		4
5. Master's responsibilities and authority					
5.1	Is the Master familiar with his responsibilities and authority required by ISM Code Section 5?	<input type="checkbox"/>	<input type="checkbox"/>		6.1.2

No	Items to be checked	Result			Remark If Result is No, details are to be specified in the Remark
		Yes	No	N/A	
5.2	Has the Master implemented the safety and environmental protection Policy of the Company?	<input type="checkbox"/>	<input type="checkbox"/>		5.1.1
5.3	How did the Master motivate the crew to respect the Company policy? (e.g: briefing / meeting at embarkation, during training or safety drills)	<input type="checkbox"/>	<input type="checkbox"/>	()	5.1.2
5.4	How did the Master issue appropriate orders and instructions in a clear and simple manner? (e.g: Master's standing order / bridge night order book)	<input type="checkbox"/>	<input type="checkbox"/>	()	5.1.3
5.5	How did the Master verify that specified requirements have been observed? (e.g: checklist used by the master, Master's review)	<input type="checkbox"/>	<input type="checkbox"/>	()	5.1.4
5.6	Has the Master reviewed the SMS and reported its deficiencies to the company? <input type="checkbox"/> As sufficient period has not been passed from yet as per company's procedure, result was subject to "NO".	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5.1.5
5.7	Is the Master aware of the Overriding authority and the authority to request the company's assistance ensured under the ISM Code?	<input type="checkbox"/>	<input type="checkbox"/>		5.2
5.8	Has the Master carried out Risk Assessment according to the SMS procedure established by the Company?(e.g. Hot work, Enclosed space entry)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Any Record? ()	1.2.2.2
6. Resources and Personnel					
6.1	Is the Master familiar with the requirements of the company's SMS relating to Section 6 of the ISM Code, referring to Manual/Procedures?	<input type="checkbox"/>	<input type="checkbox"/>		6.1.2
6.2	Have all crew members received Pre-joining training as per the procedures?	<input type="checkbox"/>	<input type="checkbox"/>		6.1.2 or 6.5
6.3	Have on-board training and instructions been conducted as per the Manual/Procedures?	<input type="checkbox"/>	<input type="checkbox"/>		6.5
6.4	Have newly joined crew members received the Familiarization training required by the STCW?	<input type="checkbox"/>	<input type="checkbox"/>		6.3
6.5	Have newly joined crew members received the Familiarization training required by the SOLAS within 2 weeks after joining?	<input type="checkbox"/>	<input type="checkbox"/>		6.5
6.6	Have On-board trainings and instructions required by the SOLAS conducted regularly?	<input type="checkbox"/>	<input type="checkbox"/>		6.5
6.7	Is the working language specified by the company recorded in the ship's log-book? What language is it? <input type="checkbox"/> English <input type="checkbox"/> other ()	<input type="checkbox"/>	<input type="checkbox"/>		SOLAS V/14 <input type="checkbox"/> Log book 6.6
6.8	Are SMS related documents given in a language understood by ship's crew?	<input type="checkbox"/>	<input type="checkbox"/>		6.6
6.9	Are all crew able to read and understand the SMS manual?	<input type="checkbox"/>	<input type="checkbox"/>		If No, go to 6.10 6.6
6.10	Has the company established any plan/measure to cope with the case where some members of crew are unable to read and understand the manual?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6.6
6.11	Are crews able to communicate effectively in the execution/performance of their duties?	<input type="checkbox"/>	<input type="checkbox"/>		6.7
6.12	Is the Master's SMS awareness on acceptable level? (to be judged at the end of audit)	<input type="checkbox"/>	<input type="checkbox"/>		6.1.2
6.13	Is the Master given necessary support so that the master's duties can be safely performed?	<input type="checkbox"/>	<input type="checkbox"/>		6.1.3
7. Key shipboard operations					
7.1	Have the shipboard operations been carried out as per the Company's SMS?	<input type="checkbox"/>	<input type="checkbox"/>		7
7.2	Have operations during departure been performed as per the procedures?	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/> Voyage Plan SOLAS V/34 7
7.3	Are Daily Reports sent to the Company indicated on the DOC every day? (eg. ship's position, course and speed, etc.)	<input type="checkbox"/>	<input type="checkbox"/>		SOLAS V/28 7
7.4	Have arrival operations been performed as per the procedures?	<input type="checkbox"/>	<input type="checkbox"/>		7

No	Items to be checked	Result			Remark If Result is No, details are to be specified in the Remark
		Yes	No	N/A	
7.5.1	What kind of cargo does the ship load?	()			7
7.5.2	Does Mater confirm the compatibility then signed and properly keeps Cargo Information?	<input type="checkbox"/>	<input type="checkbox"/>		7
7.6	Have cargo handling operations been performed as per the procedures established by the company?	<input type="checkbox"/>	<input type="checkbox"/>	Refer to Additional Check Items	7
7.7	Have pollution prevention operations been performed as per the procedures?	<input type="checkbox"/>	<input type="checkbox"/>		7
7.8	Have special operations identified been performed as per the procedures?	<input type="checkbox"/>	<input type="checkbox"/>		7
7.9	Have Watchkeeping operations been performed as per the procedures? <input type="checkbox"/> Rest hours <input type="checkbox"/> Records of daily Rest hours <input type="checkbox"/> Preventing alcohol abuse and limit of not greater than 0.05% blood alcohol level(BAC) or 0.25mg/l alcohol in the breath (Above to be applied to those whose duties involve safety, prevention of pollution and security duties.) <input type="checkbox"/> Voyage planning (planning prior to each voyage/berth to berth, Verification and display of planned route, Deviation from planned route) <input type="checkbox"/> Watches carried out based on the bridge and engine-room resource management	<input type="checkbox"/>	<input type="checkbox"/>	STCWA-VIII	7
8. Emergency preparedness					
8.1	Has the ship been ready for Emergency Situations identified?	<input type="checkbox"/>	<input type="checkbox"/>		8.2
8.2	Has the company provided the ship with updated emergency contact list?	<input type="checkbox"/>	<input type="checkbox"/>		8.3
8.3	Is the Master familiar with the procedures to respond emergency situations identified?	<input type="checkbox"/>	<input type="checkbox"/>		8.1
8.4	Have drills and exercise for the emergency situations identified been conducted as per the procedures?	<input type="checkbox"/>	<input type="checkbox"/>		8.2
8.5	Does radio personnel aware of how to transmit distress alert under GMDSS?	<input type="checkbox"/>	<input type="checkbox"/>		8.2
8.6	Is SOPEP (SMPEP) properly controlled with the latest emergency contact list?	<input type="checkbox"/>	<input type="checkbox"/>		8.1
8.7	Are ship-specific Emergency Towing Booklet controlled properly? (Bridge: Forecastle space: Ship's office or cargo control room:)	<input type="checkbox"/>	<input type="checkbox"/>		8.1
8.8	Have mandatory drills been conducted regularly?	<input type="checkbox"/>	<input type="checkbox"/>		8.2
8.9	Has the ship been safely operated without a sea casualty and/or serious human injury since the last periodical audit?	<input type="checkbox"/>	<input type="checkbox"/>	If No, go to 8.10 up to 8.12	-
8.10	In the event of accident, has the Company given the master necessary support as per the procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	8.3
8.11	In the event of accident, have the responses and actions been taken by the ship as per the procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	8.1
8.12	In the event of accident, has the SMS been reviewed based on the results of investigation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9.1
9. Deficiency control					
9.1	Have all deficiencies been handled in accordance with the Company's SMS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9.1

No	Items to be checked	Result			Remark If Result is No, details are to be specified in the Remark	
		Yes	No	N/A		
9.2	Were there any following reports which were sent ashore since the last periodical audit? <input type="checkbox"/> Accidents <input type="checkbox"/> Non-conformities within the SMS <input type="checkbox"/> Hazardous occurrences including 'near miss'	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If Yes, go to 9.5 up to 9.7	9.1
9.3.	Has the ship been detained and/or pointed out any deficiencies by PSC since the last periodical audit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If Yes, go to 9.5 up to 9.7	9.1
9.4	Have any deficiencies been identified at inspections by the third parties, such as charterers, P & I club and etc, since the last periodical audit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If Yes, go to 9.5 up to 9.7	9.1
9.5	Have all NCs, accidents and hazardous occurrences which were to be reported, been informed to the Company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		9.1
9.6	Has the company any responded to the deficiencies reported?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		9.1
9.7	Have corrective actions to the deficiencies reported been taken?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		9.2
10. Maintenance						
10.1	Is the Ship maintained sufficiently in accordance with the relevant rules and regulations and the Company's SMS?	<input type="checkbox"/>	<input type="checkbox"/>			10.2.1
10.2	Has maintenance for ship and equipment been carried out as per the plan established?	<input type="checkbox"/>	<input type="checkbox"/>			10.2.1
10.3	Have maintenance works performed been properly recorded?	<input type="checkbox"/>	<input type="checkbox"/>			10.2.4
10.4	Have specific measures for important equipment/technical system identified been taken as per the procedures?	<input type="checkbox"/>	<input type="checkbox"/>			10.3
10.5	Are the "maintenance manuals and associated documents" for lifeboats and launching appliances prepared by the manufacturer or service provider controlled properly?	<input type="checkbox"/>	<input type="checkbox"/>			10.2.1
10.6	Have weekly/monthly inspections and routine maintenance for lifeboats and launching appliances been conducted under the direct supervision of a senior officer in accordance with the instructions provided by the manufacturer or service provider?	<input type="checkbox"/>	<input type="checkbox"/>			10.2.1
10.7	Are the records of inspections, servicing, repairs and maintenance for lifeboats and launching appliance signed by the person who carried out the work and also signed by the Company's representative or the Master?	<input type="checkbox"/>	<input type="checkbox"/>			10.2.4
10.8	Is there any technical deficiency report which has been reported to the Company? Items of the deficiencies :	<input type="checkbox"/>	<input type="checkbox"/>		If Yes, go to 10.9 up to 10.10	10.2.2
10.9	Has the company responded to the deficiency reported?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		10.2.3
10.10	Have corrective actions to the deficiency reported been taken?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		10.2.3
10.11	Have deficiencies found during shipboard tour by auditor been found by any of the crew members already?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If Yes, go to 10.12 up to 10.14 If No, go to 10.13	
10.12.1	Have these deficiencies been reported to the Company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		10.2.2
10.12.2	If temporary repair had been applied, did the crew follow the instruction from Company? (repair procedure, timing etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		10.2.2
10.13	Are these defective items being involved in the ship's maintenance plan established?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		10.1 or 10.2.1
10.14	What was the result of the last ship's regular inspection for these defective items? Result :	-	-	<input type="checkbox"/>		10.1

No	Items to be checked	Result			Remark If Result is No, details are to be specified in the Remark
		Yes	No	N/A	
11. Document control					
11.1	Are all documents and data controlled as per the Company's SMS?	<input type="checkbox"/>	<input type="checkbox"/>		11.1
11.2	Are ship's SMS manuals of updated version?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Date of latest revision</i> ()	11.2.1
11.3	Have revisions of the SMS manuals been properly recorded?	<input type="checkbox"/>	<input type="checkbox"/>		11.2.2
11.4	Have obsolete documents been properly removed?	<input type="checkbox"/>	<input type="checkbox"/>		11.2.3
11.5	Are the SMS manuals available at all relevant locations?	<input type="checkbox"/>	<input type="checkbox"/>		11.2.1
11.6	Have company's circular letters or information been filed properly and easily identified?	<input type="checkbox"/>	<input type="checkbox"/>		11.1
11.7	Have publications to be provided under the SMS been updated?	<input type="checkbox"/>	<input type="checkbox"/>		11.2.1
11.8	Are as-Built Construction Drawings and other plans showing subsequent structural alterations available on board?	<input type="checkbox"/>	<input type="checkbox"/>	SOLAS II/3-7	11.2.1
12. Internal audit and System review					
12.1	Are the Internal Audits carried out as per the Company's SMS?	<input type="checkbox"/>	<input type="checkbox"/>		12.1
12.2	Are procedure and criteria to extend internal audit within three months under exceptional circumstances established in SMS? Note: There are cases that documented procedure/criteria for extension of internal audit could not be confirmed during shipboard audit due to company and ship has different manual.	<input type="checkbox"/>	<input type="checkbox"/>		12.1
12.3	Is the last internal audit carried out at interval not exceeding twelve (12) months? (A check is to be made of the date of last 2 audits)	<input type="checkbox"/>	<input type="checkbox"/>	<i>If No, go to 12.4</i>	12.1
	<u><i>Date of Last Audit</i></u> () <u><i>Date of previous Audit</i></u> () or <input type="checkbox"/> N/A				
12.4	When Internal audit was extended (not more than 3 months), have the extension be conducted by the company in accordance with procedure and <i>criteria</i> in SMS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12.1
12.5	Have internal audit and possible corrective actions been carried out as per the documented procedures?	<input type="checkbox"/>	<input type="checkbox"/>		12.4
12.6	Have the Internal Audits been carried out by person(s) not onboard the ship?	<input type="checkbox"/>	<input type="checkbox"/>		12.5
12.7	Have internal audit records been kept onboard the ship?	<input type="checkbox"/>	<input type="checkbox"/>		12.6
12.8	Have Master and officers been aware of the result of the internal audit?	<input type="checkbox"/>	<input type="checkbox"/>		12.6
12.9	Have non-conformities been raised at the audit?	<input type="checkbox"/>	<input type="checkbox"/>		12.7
12.10	Have timely corrective actions for the non-conformities identified during the internal audit been taken?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12.7
12.11	Has the company notified the ship of the result of management review?	<input type="checkbox"/>	<input type="checkbox"/>		12.6

No	Items to be checked	Result			Remark If Result is No, details are to be specified in the Remark
		Yes	No	N/A	
Additional check item by ship types					
A. Oil Tanker					
				<input type="checkbox"/>	
A-1	Has the instrument for measuring flammable gas concentration been properly calibrated? (Note: Suitable means for calibration shall be provided onboard.)	<input type="checkbox"/>	<input type="checkbox"/>		SOLAS Reg.II-2/ 4-5.7 (ISM Code No. 10 & 11)
A-2	Are the records of discharging of slop, valve closing operations, etc. in Oil Record Book Part II?	<input type="checkbox"/>	<input type="checkbox"/>		MARPOL Annex I /Reg.31 & 36 (ISM Code 7 & 11)
A-3	(Where the ship has carried crude oil suitable for COW.) Are there records of COW operations in Oil Record Book Part II?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	MARPOL Annex I /Reg.35 & 36 (ISM Code 7 & 11)
B. Gas Carrier					
				<input type="checkbox"/>	
B-1	Have portable and fixed gas concentration measurement instruments been properly calibrated? (Suitable means for calibration shall be provided onboard.)	<input type="checkbox"/>	<input type="checkbox"/>		IGC Code 13.6.6 (ISM Code 7)
B-2	Is crew in charge of cargo operation adequately trained for safe handling including emergency (cargo spillage, etc.) procedures. Is number of persons for cargo operation defined in SMS or other documents and is adequate number of personnel aboard?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IGC Code 18.3 (ISM Code 7 & 8)
B-3	Does crew understand the Company's procedure for entering into cargo holds, tanks and other enclosed spaces?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IGC Code 18.4(ISM Code 7)
B-4.1	Has the ship been loaded with cargo gas listed in Annex of Gas Fitness Certificate? (History of loading/ unloading should be checked.)	<input type="checkbox"/>	<input type="checkbox"/>		IGC Code 18.2(ISM Code 7)
B-4.2	In the event of the change of cargo gas, was tank cleaning carried out according to the procedure specified in Cargo Information, in order to avoid dangerous reactions due to mixing with residue of the previous cargo?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
B-4.3	In the event of simultaneous carriage of cargo gases, was the possibility of dangerous reaction investigated before loading? (Note: Where there is a possibility of dangerous reaction, it may be permitted if the ship's complete cargo systems including pipework, tanks, vents, refrigeration system, etc. are separated.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IGC Code 18.2(ISM Code 7)
B-5	Are MARPOL Annex II cargo handling operations (including discharging of slop) properly recorded in Cargo Record Book?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	MARPOL Annex II / Reg.14 & 15 (ISM Code 7)
C. Chemical Tanker					
				<input type="checkbox"/>	
C-1	Is crew in charge of cargo operation adequately trained for safe handling including emergency (cargo spillage, etc.) procedures? Is number of persons for cargo operation defined in SMS or other documents and is adequate number of personnel aboard?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IBC Code 16.3(ISM Code 7)
C-2	Does crew understand the Company's procedure for opening & entering into cargo tanks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IBC Code 16.4(ISM Code 7)
C-3	Are MARPOL Annex II cargo handling operations (including tank cleaning & discharging of slop) properly recorded in Cargo Record Book?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	MARPOL Annex II / Reg.14 & 15 (ISM Code 7)
C-4	In the event of carriage of mixed cargoes, was total hazard of the cargo assessed by a specialist before loading?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IBC Code 16.2.2(ISM Code 7)
D. Bulk carrier (including Bulk carrier other than Chapter IX of SOLAS)					
				<input type="checkbox"/>	
D-1	(For Bulk Carrier whose keel was laid before 1 July 1999 of 150m in length, not being capable of complying with damage stability requirements under SOLAS XII/4.3) Did crew training and drills carried out according to evacuation procedure and drill programs based on specific cargo hold flooding scenarios?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	SOLAS Reg. XII/9 (ISM Code 8.2)
D-2	Are "Hatch Cover Maintenance Plans" in accordance with MSC 169 (79) incorporated into the SMS and implemented on board the relevant ships?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	SOLAS Reg. XII/7.2 (ISM Code 10.2)
D-3	Is the ship provided with the procedures for handling cargo, which may liquefy, if applicable? (Typical example of cargo: Nickel concentrate)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

No	Items to be checked	Result			Remark If Result is No, details are to be specified in the Remark
		Yes	No	N/A	
E. Self-unloading bulk carriers featuring internally installed conveyor systems within the ship's structure - Fire Safety Risk Assessment (IMSBC Code 3.1.2)				<input type="checkbox"/>	
E-1	Have you procedures for fire safety risk assessment in SMS? <input type="checkbox"/> Identification of the fire safety risk under all anticipated operating conditions and cargoes <input type="checkbox"/> Establishment of safeguard with due consideration for fire prevention and the effective operation of fire detection systems, containment and suppression against the fire safety risk	<input type="checkbox"/>	<input type="checkbox"/>		
E-2	What is the scope of fire safety risk assessment for the vessel? <input type="checkbox"/> Cargo handling areas on self-unloading bulk carriers featuring internally installed conveyor systems within the ship's structure. <input type="checkbox"/> Conveyor systems (Maintenance of rotor bearing and shaft) <input type="checkbox"/> Operating conditions and cargo <input type="checkbox"/> Fire-Extinguishing system (Fire Detecting Alarm System, etc.) <input type="checkbox"/> Hot work near conveyor systems	<input type="checkbox"/>	<input type="checkbox"/>		
E-3	Who has the responsibility for the implementation of fire safety risk assessment?	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/> ship ()
E-4	Are identified fire safety risks reviewed at the meetings for system review?	<input type="checkbox"/>	<input type="checkbox"/>		
E-5	Are there any safeguards newly established taking accounts of the results of the review? <input type="checkbox"/> safeguard newly established () <input type="checkbox"/> It is judged no new safeguard is needed	<input type="checkbox"/>	<input type="checkbox"/>		

Special requirements of each Flag State shall be paid special attention	
Bahamas	<input type="checkbox"/> All Bahamian ships shall be inspected by a BMA approved Nautical Inspector initially or annually within the prescribed time range and shall display a valid Bahamas Certificate of Inspection (COI) at a prominent location either on the navigation bridge or within the accommodation.
	<input type="checkbox"/> ISM Auditors are required to verify that the following are available on board: Manufacturer's instructions and recommendations / The Company's procedures for maintenance and inspection / Records of lifeboat drills / Records of inspection maintenance of equipment, including details of the competent persons.
	<input type="checkbox"/> The Bahamas Maritime Authority will consider exceptional applications for exceeding the twelve month interval between audits for shipboard audit only. Companies claiming to be unable to carry out internal audit within the 12 month period should apply to the RO for acceptance to carry out the audit outside the necessary time frame, and within three months of the due date. The acceptability of any exceptional circumstances must be considered by the RO before any recommendation is made to BMA, in accordance with our agreed procedures. In all cases there shall be not less than five internal audits of ship and office during the five year validity of certification.
	<input type="checkbox"/> The Company should ensure that ECDIS ship specific equipment training process and record-keeping is documented in the ship's SMS. Master shall ensure that all affected officers have documentary evidence of ECDIS training prior to be assigned their shipboard navigational duties.
Greece	<input type="checkbox"/> The company should confirm that there are established procedures on reporting "Near Miss Incidents" to the "Hellenic Bureau for Marine Casualties Investigation" (e-mail: hbmci@yen.gr) in the SMS.
Hong Kong	<input type="checkbox"/> In cases of ships installed with passenger lifts, it is required that appropriate procedures should be established and incorporated in the ship's maintenance plan under SMS to ensure that passenger lifts are properly maintained and regularly inspected and tested, referring to recommendations from the lift manufacturer. In addition, it is required that the maintenance, detailed examination and testing of passenger lift should be performed by competent service personnel approved or recognized by the lift manufacturer.
	<input type="checkbox"/> The Company should ensure that the procedures for entering enclosed spaces are included among the key shipboard operations specified by the ISM Code 7 concerning the safety of the personnel and the ship, in accordance with IMO Resolution A.1050 (27), including risk assessment for all enclosed spaces on board the ship.
Japan	<input type="checkbox"/> Item 12.1 of the ISM Code allows to extend the interval of internal audits for not more than three months. In this regard, the internal audit just after the extended internal audit shall be conducted within 12 months from the original time frame.
	<input type="checkbox"/> Emergency Towing Booklet (ETB) prepared referring to the Guidelines MSC.1/Circ.1255 shall form part of the emergency preparedness required by para.8 of the ISM Code, and shall be confirmed during initial and periodical audits of DOC and SMC.
	<input type="checkbox"/> "Plans and procedures for recovery persons from the water" developed taking into account the Guidelines MSC.1/Circ.1447 shall be provided on board at the following occasion. (1) New ships constructed (keel-laid) on or after 1 July 2014 : Initial safety equipment survey at new building (2) Existing ships constructed (keel-laid) before 1 July 2014 : By the first periodical or renewal safety equipment survey of the ship, whichever comes first after 1 July 2014 Thereafter, the "Plans and procedures for recovery persons from the water" shall form part of the emergency preparedness required by para. 8 of the ISM Code, and shall be confirmed during initial and periodical audits of DOC and SMC.
Liberia	<input type="checkbox"/> The company shall ensure that the procedures for entering enclosed spaces and training are included among the key shipboard operations in accordance with paragraph 7 of the ISM Code including risk assessment for all enclosed spaces. Internal audit by the company should verify that the established procedures are complied with in practice and are consistent with the safety strategy adopted by the Company.
Malta	<input type="checkbox"/> In cases of ships having Multiple Load Line Certificates, procedures for change in load lines shall be included in the ship's SMS.
	<input type="checkbox"/> Fire and Abandon Ship Drills required by SOLAS Chapter III Regulation 19.3.2 are to be carried out at fortnightly intervals (every 2 weeks instead of every month).

Special requirements of each Flag State shall be paid special attention	
Marshall Islands	<input type="checkbox"/> The SMS must include guidance regarding under what operating situations the BNWAS should be operated in the different modes (automatic, on and off). For systems fitted with motion sensors to serve as the rest function, the SMS must include a procedure for the crew to check the system at least once a day to ensure it is operating correctly.
	<input type="checkbox"/> For vessels fitted with fast rescue boats, training exercises are to be carried out <i>weekly</i> , whereas actual launch and recovery drills are to be carried out at least every three (3) months.
	<input type="checkbox"/> All requests for an extension of the 12 month interval must be presented to the Administrator well in advance accompanied by documentation explaining why the internal audit cannot be conducted within the required timeframe. In all cases there shall be not less than five (5) internal audits of the Company or any ship during the five (5) years validity of certification.
	<input type="checkbox"/> Entering Enclosed Spaces Aboard Ships: Safety Strategy (Instruction, training and Drills), giving full consideration to the IMO Res.A.1050(27) "Revised Recommendations for Entering Enclosed Spaces Aboard Ships" shall be incorporated into the SMS, as appropriate.
Panama	<input type="checkbox"/> The Administration requires to all Masters and/or Owners/Operators to report immediately to Port State Control Section, all PSC inspections reports. If the Company decides to channel all communications through the DPA, directory via the master or each individually will be a decision to the Company to be established in the ISM manual or procedures of the vessel. The correction of deficiencies shall be sent by the Masters, Operators/Owners using the format in appendix I of this Merchant Marine Circular No. 172 (Form F-253). (Merchant Marine Circular No. 172)
	<input type="checkbox"/> The Declaration of Company (DC) for the Company Operator as per the ISM Code 3.1, and the Declaration of Designated Person Ashore (DPA) shall be sent to Segumar Office-Panama e-mail fullterm@segumar.com for the respective endorsement. The endorsement by the Administration shall be verified at ISM audits. (Merchant Marine Circular No. 176)
	<input type="checkbox"/> With regard to deficiencies raised due to Annual Safety Inspections (ASI), it is required to report to Flag State Section e-mail marsegur@amp.gob.pa using the prescribed Form (F-IASI-01-01) within 30 days. This procedure shall be included in the ship's SMS Manual. (Merchant Marine Circular No. 201)
	<input type="checkbox"/> "A Guide to Risk Assessment in Ship Operations" developed by IACS to be used. (Merchant Marine Circular No. 213)
Vanuatu	<input type="checkbox"/> In regard to exceptional circumstances under which the 12 months interval of the internal safety audits may be extended, it is the company who approves such extension. Therefore, the company should establish the <i>criteria</i> for the extension in the management system. (Merchant Marine Circular No. 213)
	<input type="checkbox"/> The master of every vessel shall cause the crew to exercise at fire and boat drills at least once every week, and all drills are to be recorded in the Official Log.

<i>No</i>	<i>Items to be checked</i>	<i>Result</i>			
1.4.4 (Concentrated Audit Campaign items from June 2019 – May 2021)		Good	Bad	N/A	ISM Code
Ship with Sewage Treatment Plant (STP)					
1.4.4.1	Sewage Treatment Plant (STP) is working in order	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10.1 / 10.2
1.4.4.2	STP foundation, STP casing plate, relating pipes, and relating valves are in good condition. (i.e. no corrosion, no leakage, no temporary repair)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10.1 / 10.2
1.4.4.3	STP relating installation and equipment like High Level Alarm, Level Gauge, Sight Glass, Pressure Gauge, Blower and Pumps are in good condition.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10.1 / 10.2
1.4.4.4	Crews are familiar with the STP operation and 3-way valve operation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6.5
Ship with Sewage Holding Tank					
1.4.4.5	Sewage Holding Tank (SHT), relating pipeline, relating valves, level gauge, sight glass are in good order. (i.e. no corrosion, no leakage, no temporary repair)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10.1 / 10.2
1.4.4.6	No temporary pipe line, No Temporary Holding Tank for Sewage, or No transfer /holding of Sewage to Undesignated Tanks, which have not been approved.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6.4
1.4.4.7	Crews are familiar with 3-way valve operation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6.5
1.4.4.8	The discharge rate table which was prepared in accordance with MEPC.157 (55) and approved by the Administration is onboard.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7
Common					
1.4.4.9	No discharging Untreated Sewage at a distance of less than 12 NM from the nearest land. (Verify log book, time & position of discharging Sewage etc.)	<input type="checkbox"/>	<input type="checkbox"/>	-	6.4 / 7
1.4.4.10	Maintenance plan with practical interval and check items for the Sewage Treatment Plant / Sewage Holding Tank are provided in SMS. (For STP, reference to the Manufactures' Instruction Manual is acceptable as long as maintenance plan with practical interval and check items are addressed in the Manual.)	<input type="checkbox"/>	<input type="checkbox"/>	-	10.1
1.4.4.10	Maintenance work for Sewage Treatment Plant / Sewage Holding Tank are properly done in accordance with the Maintenance Plan confirmed in the above 1.4.4.10	<input type="checkbox"/>	<input type="checkbox"/>	-	10.2.1

Annex I

The following items are detainable deficiencies by PSC. Emergency fire pumps, lifeboats, and fire-dampers are continuing to be the major items where most detainable deficiencies.

Focusing items during Ship Tour/Interview/Verification of documents in addition to ordinary verification

1.1 Documents

- A) Working/rest hours record
- B) Entries of Oil Record Book and Garbage management record book
- C) Trading Certificate & Crew Cert. including their compliance of Minimum Manning Cert
- D) Correction/preparation of Charts and Nautical Publications
- E) Voyage/passage plan (berth to berth)
- F) Record of boat and fire drill
- G) Reporting of non-conformities/deficiencies, response by the company and their preventive actions for avoiding recurrence.
- H) Report of internal audit which carried out prior external audit by RO

1.2 Condition and maintenance

- A) MF/HF, GMDSS, and INMARSAT-C with reserve source,
- B) Navigation lights and Emergency lighting
- C) Hatch coaming/cleat/hydraulic system of hatch cover
- D) Hydraulic system of Steering Gear
- E) Lifeboats including 'On-load release gear' and 'Batteries for engine'
- F) Lifebuoys with provision
- G) Ventilators, fire dampers, firefighting equipment, fire door, Fire detection/alarm system, Fire main pipe on deck and emergency fire pump
- H) Remote shut off/Self closing valves for oil tanks, Jacketed high pressure lines of main engine and emergency generator and general observation of piping in Engine room
- I) Oil filtering equipment with Oil content meter and Sewage treatment plant
- J) Cleanliness of machinery spaces

1.3 Familiarization

- A) Operation of ECDIS
- B) Oil content meter applied MPEC 107(49), if applied
- C) Boat and fire drill