



Maritime and Coastguard Agency

International Safety Management (ISM) Code

Notice to Shipowners, Ship Operators, Charterers and Managers; Ship's Masters, Ship's Officers and Seamen.

This Note supersedes M1353, M1424 and M1616.

Summary

This note informs ship operators and crews about the ISM Code.

Key Points:

- Introduction of new Merchant Shipping Regulations.
- Brief introduction to the ISM Code.
- Ships to which the Code applies and the applicable dates.
- Voluntary Certification scheme.
- Advice and useful references.

INTRODUCTION

1. The purpose of this Marine Guidance Note is to introduce the proposed Merchant Shipping Regulations, give a brief introduction to the ISM Code, explain to which vessels it will apply and the date by which, according to vessel type, the Code becomes mandatory. This note also sets out the Maritime and Coastguard Agency's voluntary certification scheme and gives advice and some useful references on good ship management practice.
2. The International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code) was made mandatory in 1994 by the adoption of Chapter IX to SOLAS¹ '74, which will be implemented in UK law by the proposed Merchant Shipping (International Safety

Management (ISM) Code) Regulations 1998 which are due to come into force on 1 July 1998. A copy of the annex to IMO Resolution A.741(18), which constitutes the ISM Code, is reproduced as Annex 1 to this Note.

3. Merchant shipping operations are inherently complex and governed by national and international rules and conventions largely addressing technical aspects. This technical control can achieve only part of the objectives of safe and pollution free ship operations. The Master is clearly responsible for the safety of the ship and its crew but the overall responsibility for the administration and safe operation rests with the company or person(s) owning or managing the ship.
4. It is widely accepted that the vast majority of shipping accidents are attributable to human error and it is generally agreed that the human element plays some part in virtually all accidents. Therefore the task facing all ship operating companies is to

¹ SOLAS: International Convention for the Safety of Life at Sea, 1974.

minimise the scope for poor or incorrect decisions which contribute directly, or indirectly, to a casualty or pollution incident. Every action affecting safety or pollution prevention at any level in a company must be based on sound organisational practices.

5. The ISM Code sets an international standard for the safe management and operation of ships and requires companies to document and implement clear procedures, standards and instructions for safety management ashore and afloat. Guidance on developing a Safety Management System, including some useful references, to meet the requirements of the Code is given in Annex 2 to this Note.
6. ***The Designated Person:*** The MCA considers the designated person's role to be highly important and expects companies to regard it in the same light and to consequently provide the necessary responsibility, authority and resources. The regulations do not state who it should be or what qualifications they must have, but they should be well experienced in the operation of ships both at sea and in port. It is essential that the person must have direct access to the highest level of management in the company.
7. The ISM Code does NOT replace the requirement for compliance with existing regulations.

MANDATORY IMPLEMENTATION

8. The Code is being introduced on a mandatory basis in four stages, dependent on vessel type but regardless of the date of construction.
9. **European Requirements**
 - 9.1 The Merchant Shipping (ISM Code) (Ro-Ro Passenger Ferries) Regulations 1997 implement in UK law the European Council Regulation² on the Safety Management of Ro-Ro Passenger Vessels. The EC Regulation entered into force on 1 January 1996

² Council Regulation (EC) No. 3051/95 of 8 December 1995.

and has been applicable to sea going passenger roll-on/roll-off ferries operating a regular service to or from a port of a Member State of the European Community, regardless of the vessel's flag, since **1 July 1996**.

- 9.2 By way of derogation, companies operating ro-ro ferries on a regular service exclusively in sheltered waters between ports in the same Member State were permitted to defer compliance until **1 July 1997**.
10. **International Requirements:** The new Chapter IX to SOLAS '74, Management for the Safe Operation of Ships, which is to be implemented in UK law by Merchant Shipping (International Safety Management (ISM) Code) Regulations (due to come into force on 1 July 1998), makes provision for the mandatory enforcement of the ISM Code on ships engaged on international voyages and is applicable as follows:
 - .1 Passenger ships, including passenger high speed craft, (although some, as detailed under paragraph 9 above, will already comply) are required to comply not later than **1 July 1998**.
 - .2 Oil tankers, chemical tankers, gas carriers, bulk carriers and cargo high speed craft all of 500 GT and over, are also required to comply not later than **1 July 1998**.
 - .3 Other cargo ships and mobile offshore drilling units all of 500 GT and over, are required to comply not later than **1 July 2002**.
11. The proposed Merchant Shipping (International Safety Management (ISM) Code) Regulations will revoke the Merchant Shipping (Operations Book) Regulations 1988 which applied to Class II and II(A) vessels. The new regulations will also be applicable to vessels of Class II(A) in addition to those vessels engaged on international voyages required by the SOLAS Convention.
12. The MCA will be responsible for verifying compliance with the ISM Code both ashore and afloat, will issue ISM Convention Certificates and will carry out periodic

verification and certificate renewal. The use of independent organisations to guide and assist in the setting up of Safety Management Systems is encouraged but the choice of such organisations is a company decision.

VOLUNTARY IMPLEMENTATION

13. Chapter IX of SOLAS '74, which makes the ISM Code mandatory, applies to cargo ships of 500 GT and over and thus excludes a significant number of ships of less than 500 GT from the application of that chapter. It is recognised that there is a need for the proper organisation of management to achieve and maintain high standards of safety and environmental protection by all those involved in the operation of ships, even if less than 500 GT. Therefore, the UK strongly urges companies operating ships of between 150 GT and 500 GT to comply with the requirements of the ISM Code and to apply for certification voluntarily.

CERTIFICATION

14. The application of the Code will lead to the issue of two statutory certificates which will be subject to Port State Control inspections under regulation XI/4 of SOLAS '74. Vessels without the required certificates are liable to be detained and at least within Europe (Paris MOU region) may be banned from re-entry until compliance has been adequately demonstrated. The two certificates, which for the purposes of port state control are treated as certificates issued under regulation I/12 or I/13 of SOLAS, are the Document of Compliance (DOC) and the Safety Management Certificate (SMC).

15. The Document of Compliance (DOC)

15.1 The DOC will be issued to the company following a successful audit of the shore side aspects of the Safety Management System. The audit will require objective evidence to demonstrate that the system has been in operation for a minimum of three months³ in addition to similar evidence of operation on at least one ship of each type in the company fleet.

³ The qualifying periods can be concurrent.

The DOC will be specific to ship type(s) at the time of the audit, valid for a maximum of five years and subject to annual verification (\pm 3 months of the anniversary date).

- 15.2 An interim DOC (valid for a maximum of 12 months) may be issued to facilitate initial implementation of the ISM Code where a company is newly established or where new ship types are added to an existing DOC. The interim DOC will only be issued following a demonstration from the Company that it has a SMS that meets the objectives of 1.2.3 of the ISM Code. The Company must demonstrate plans to implement a SMS meeting the full requirements of the Code.

16. The Safety Management Certificate (SMC)

16.1 The SMC will be issued to each individual ship after an on board audit of the SMS. Objective evidence will be required to demonstrate that the SMS has been in operation on board the ship for a minimum of three months³ before the audit. The company must be in possession of a valid DOC, a certified true copy of which must be on board the ships. The SMC will be valid for a maximum of five years and will be subject to one intermediate verification between the second and third anniversaries, with the proviso that more frequent audits, if deemed necessary by the MCA, may be carried out. This is considered more likely in the early days of ISM Code implementation.

16.2 An interim SMC, valid for not more than six months, may be issued to new ships on delivery and when a company takes on the responsibility for the management of a ship which is new to the company.

APPLICATION

17. The MCA will, in general, deal with requests for verification in order of application.
18. For those ships not legally required to comply with the Code, voluntary certification is strongly urged, but priority

will be given to those companies where compliance is mandatory.

19. Applications received late may not be dealt with in time for the relevant Certificates to be issued. Applications received well in advance of the required dates (e.g. an application for compliance not required before 2002) will not be refused but priority may need to be given to those with the more urgent need.

20. **AUDIT - APPLICATION AND CONDUCT**

Applications may be made as follows:

.1 **For the DOC** - by letter to the MCA at the following address:

The Audit Section, MSAS(D)
Maritime and Coastguard Agency
Spring Place
105 Commercial Road
SOUTHAMPTON
SO15 1EG
Tel: 01703 329202

The Audit Section will respond and request a Document review either on site or by despatch of Documents to the MCA Where the Document review is carried out is generally a company choice. An audit plan and timetable will be agreed. The company will then be audited and, dependent on the result, a Document of Compliance issued.

.2 **For the SMC** - for audit of individual ships to the relevant Marine Office of the MCA.

21. The audit and inspection will be conducted in accordance with MCA Instructions to Surveyors which are under development at the present time and in cognisance of IMO Guidelines. In certain instances, where for example a vessel rarely calls at a UK port, the MCA may appoint a Surveyor to act on its behalf. Such arrangements will be conducted in accordance with current practice.

22. **Multi-Flag Fleets:** For UK flagged ships operated by companies whose DOC has been issued by or on behalf of another flag Administration, companies are requested to follow the Guidance given in the Annex to IMO MSC/Circular 762, attached at Annex 3 to this Note. Paragraph 5 is particularly worthy of note as it states companies should approach the relevant flag Administrations, proposing a plan of action and requesting agreement by all parties.

FEES

23. The fees charged for audit against the ISM Code will be based on the time taken by surveyors to complete all aspects of the work at the hourly fee rate current at the time.

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ANNEX 1: ISM CODE

Annex to IMO Resolution A.741(18)
Adopted on 4 November 1993

INTERNATIONAL MANAGEMENT CODE FOR THE SAFE OPERATION OF SHIPS AND FOR POLLUTION PREVENTION (INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE)

SAFETY AND POLLUTION PREVENTION MANAGEMENT REQUIREMENTS

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PREAMBLE

- 1 The purpose of this Code is to provide an international standard for the safe management and operation of ships and for pollution prevention.
- 2 The Assembly adopted resolution A.443(XI) by which it invited all Governments to take the necessary steps to safeguard the shipmaster in the proper discharge of his responsibilities with regard to maritime safety and the protection of the marine environment.
- 3 The Assembly also adopted resolution A.680(17) by which it further recognised the need for appropriate organisation of management to enable it to respond to the need of those on board ships to achieve and maintain high standards of safety and environmental protection.
- 4 Recognising that no two shipping companies or shipowners are the same, and that ships operate under a wide range of different conditions, the Code is based on general principles and objectives.
- 5 The Code is expressed in broad terms so that it can have a widespread application. Clearly, different levels of management, whether shore-based or at sea, will require varying levels of knowledge and awareness of the items outlined.
- 6 The cornerstone of good safety management is commitment from the top. In matters of safety and pollution prevention it is the commitment, competence, attitudes and motivation of individuals at all levels that determines the end result.

1 GENERAL

1.1 Definitions

1.1.1 "International Safety Management (ISM) Code" means the International Management Code for the Safe Operation of Ships and for Pollution Prevention as adopted by the Assembly, as may be amended by the Organisation.

1.1.2 "Company" means the Owner of the ship or any other organisation or person such as the Manager, or the Bareboat Charterer, who has assumed the responsibility for operation of the ship from the Shipowner and who on assuming such responsibility has agreed to take over all the duties and responsibility imposed by the Code.

1.1.3 "Administration" means the Government of the State whose flag the ship is entitled to fly.

1.2 Objectives

1.2.1 The objectives of the Code are to ensure safety at sea, prevention of human injury or loss of life, and avoidance of damage to the environment, in particular, to the marine environment, and to property.

1.2.2 Safety management objectives of the Company should, *inter alia*:

- .1 provide for safe practices in ship operation and a safe working environment;
- .2 establish safeguards against all identified risks; and
- .3 continuously improve safety management skills of personnel ashore and aboard ships, including preparation for emergencies related both to safety and environmental protection.

1.2.3 The safety management system should ensure:

- .1 compliance with mandatory rules and regulations; and
- .2 that applicable codes, guidelines and standards recommended by the Organisation, Administrations, classification societies and maritime industry organisations are taken into account.

1.3 Application

The requirements of this Code may be applied to all ships.

1.4 Functional requirements for a Safety Management System (SMS)

Every Company should develop, implement and maintain a Safety Management System (SMS) which includes the following functional requirements:

- .1 a safety and environmental protection policy;
- .2 instructions and procedures to ensure safe operation of ships and protection of the environment in compliance with relevant international and flag state legislation;
- .3 defined levels of authority and lines of communication between, and amongst, shore and shipboard personnel;
- .4 procedures for reporting accidents and non-conformities with the provisions of this Code;
- .5 procedures to prepare for and respond to emergency situations; and
- .6 procedures for internal audits and management reviews.

2 SAFETY AND ENVIRONMENTAL PROTECTION POLICY

- 2.1 The Company should establish a safety and environmental protection policy which describes how the objectives, given in paragraph 1.2, will be achieved.
- 2.2 The Company should ensure that the policy is implemented and maintained at all levels of the organisation both ship based and shore based.

3 COMPANY RESPONSIBILITIES AND AUTHORITY

- 3.1 If the entity who is responsible for the operation of the ship is other than the

owner, the owner must report the full name and details of such entity to the Administration.

- 3.2 The Company should define and document the responsibility, authority and interrelation of all personnel who manage, perform and verify work relating to and affecting safety and pollution prevention.

- 3.3 The Company is responsible for ensuring that adequate resources and shore based support are provided to enable the designated person or persons to carry out their functions.

4 DESIGNATED PERSON(S)

To ensure the safe operation of each ship and to provide a link between the Company and those on board, every Company, as appropriate, should designate a person or persons ashore having direct access to the highest level of management. The responsibility and authority of the designated person or persons should include monitoring the safety and pollution prevention aspects of the operation of each ship and ensuring that adequate resources and shore based support are applied, as required.

5 MASTER'S RESPONSIBILITY AND AUTHORITY

- 5.1 The Company should clearly define and document the master's responsibility with regard to:

- .1 implementing the safety and environmental-protection policy of the Company;
- .2 motivating the crew in the observation of that policy;
- .3 issuing appropriate orders and instructions in a clear and simple manner;
- .4 verifying that specified requirements are observed; and
- .5 reviewing the SMS and reporting its deficiencies to the shore-based management.

- 5.2 The Company should ensure that the SMS operating on board the ship contains a clear

statement emphasising the master's authority. The Company should establish in the SMS that the master has the overriding authority and the responsibility to make decisions with respect to safety and pollution and to request the Company's assistance as may be necessary.

6 RESOURCES AND PERSONNEL

6.1 The Company should ensure that the master is:

- .1** properly qualified for command;
- .2** fully conversant with the Company's SMS; and
- .3** given the necessary support so that the master's duties can be safely performed.

6.2 The Company should ensure that each ship is manned with qualified, certificated and medically fit seafarers in accordance with national and international requirements.

6.3 The Company should establish procedures to ensure that new personnel and personnel transferred to new assignments related to safety and protection of the environment are given proper familiarisation with their duties. Instructions which are essential to be provided prior to sailing should be identified, documented and given.

6.4 The Company should ensure that all personnel involved in the Company's SMS have an adequate understanding of relevant rules, regulations, codes and guidelines.

6.5 The Company should establish and maintain procedures for identifying any training which may be required in support of the SMS and ensure that such training is provided for all personnel concerned.

6.6 The Company should establish procedures by which the ship's personnel receive relevant information on the SMS in a working language or languages understood by them.

6.7 The Company should ensure that the

ship's personnel are able to communicate effectively in the execution of their duties related to the SMS.

7 DEVELOPMENT OF PLANS FOR SHIPBOARD OPERATIONS

The Company should establish procedures for the preparation of plans and instructions for key shipboard operations concerning the safety of the ship and the prevention of pollution. The various tasks involved should be defined and assigned to qualified personnel.

8 EMERGENCY PREPAREDNESS

8.1 The Company should establish procedures to identify, describe and respond to potential emergency shipboard situations.

8.2 The Company should establish programmes for drills and exercises to prepare for emergency actions.

8.3 The SMS should provide for measures ensuring that the Company's organisation can respond at any time to hazards, accidents and emergency situations involving its ships.

9 REPORTS AND ANALYSIS OF NON-CONFORMITIES, ACCIDENTS AND HAZARDOUS OCCURRENCES

9.1 The SMS should include procedures ensuring that non-conformities, accidents and hazardous situations are reported to the Company, investigated and analysed with the objective of improving safety and pollution prevention.

9.2 The Company should establish procedures for the implementation of corrective action.

10 MAINTENANCE OF THE SHIP AND EQUIPMENT

10.1 The Company should establish procedures to ensure that the ship is maintained in conformity with the provisions of the relevant rules and regulations and with any additional requirements which may be established by the Company.

10.2 In meeting these requirements the Company should ensure that:

- .1 inspections are held at appropriate intervals;
- .2 any non-conformity is reported, with its possible cause, if known;
- .3 appropriate corrective action is taken; and
- .4 records of these activities are maintained.

10.3 The Company should establish procedures in its SMS to identify equipment and technical systems the sudden operational failure of which may result in hazardous situations. The SMS should provide for specific measures aimed at promoting the reliability of such equipment or systems. These measures should include the regular testing of stand-by arrangements and equipment or technical systems that are not in continuous use.

10.4 The inspections mentioned in 10.2 as well as the measures referred to in 10.3 should be integrated into the ship's operational maintenance routine.

11 DOCUMENTATION

11.1 The Company should establish and maintain procedures to control all documents and data which are relevant to the SMS.

11.2 The Company should ensure that:

- .1 valid documents are available at all relevant locations;
- .2 changes to documents are reviewed and approved by authorised personnel; and
- .3 obsolete documents are promptly removed.

11.3 The documents used to describe and implement the SMS may be referred to as the Safety Management Manual. Documentation should be kept in a

form that the Company considers most effective. Each ship should carry on board all documentation relevant to that ship.

12 COMPANY VERIFICATION, REVIEW AND EVALUATION

12.1 The Company should carry out internal safety audits to verify whether safety and pollution-prevention activities comply with the SMS.

12.2 The Company should periodically evaluate the efficiency of and, when needed, review the SMS in accordance with procedures established by the Company.

12.3 The audits and possible corrective actions should be carried out in accordance with documented procedures.

12.4 Personnel carrying out audits should be independent of the areas being audited unless this is impracticable due to the size and the nature of the Company.

12.5 The results of the audits and reviews should be brought to the attention of all personnel having responsibility in the area involved.

12.6 The management personnel responsible for the area involved should take timely corrective action on deficiencies found.

13 CERTIFICATION, VERIFICATION AND CONTROL

13.1 The ship should be operated by a Company which is issued a document of compliance relevant to that ship.

13.2 A document of compliance should be issued for every Company complying with the requirements of the ISM Code by the Administration, by an organisation recognised by the Administration or by the Government of the country, acting on behalf of the Administration in which the Company has chosen to conduct its business. This document should be accepted as

evidence that the Company is capable of complying with the requirements of the Code.

13.3 A copy of such a document should be placed on board in order that the master, if so asked, may produce it for the verification of the Administration or organisations recognised by it.

13.4 A certificate, called a Safety Management Certificate, should be issued to a ship by the Administration

or organisation recognised by the Administration. The Administration should, when issuing the certificate, verify that the Company and its shipboard management operate in accordance with the approved SMS.

13.5 The Administration or an organisation recognised by the Administration should periodically verify the proper functioning of the ship's SMS as approved.

ANNEX 2: GUIDANCE ON DEVELOPING A SAFETY MANAGEMENT SYSTEM

1. Introduction

It has already been stated that the human element plays some part in virtually all accidents. While the operational responsibility lies with the master, the overall responsibility for the safe operation of the ship rests with the company. Casualty investigations, including Formal Investigations, have shown that good management practice is not always followed. These notes are not a substitute for reading the Code and other useful reference material but are intended to guide and suggest good practice on the development of a Safety Management System which meets the requirements of the Code. It is recognised that not all companies are the same and significant differences will exist between the operation of vessels of different types. Therefore these notes should not be considered as exhaustive.

2. A Safety Management System (SMS)

Meeting the requirements of the ISM Code requires a company to:

- Establish a safety and environmental policy,
- Provide for safe practices,
- Identify risks and establish suitable safeguards,
- Document its management procedures,
- Ensure compliance with relevant rules, regulations and take account of relevant guidelines etc.,
- Define clear lines of responsibility and communication,
- Designate a person ashore responsible for monitoring the safety and pollution prevention aspects of the operation of each ship,
- Provide adequate resources, including suitably qualified and medically fit personnel,
- Provide instructions for shipboard operations and emergency situation,
- Maintain the ship and equipment,
- Provide relevant and current documentation,
- Carry out internal audits and review the SMS.

3. The Designated Person

As already mentioned the Designated Person's (DP) role should not be undervalued. The DP must actively ensure that the ships are properly and responsibly operated and to this end should maintain close contact with Masters and Officers. They should visit the ships at regularly intervals. They should monitor internal audits, corrective actions, safety, accident and casualty reports and the general efficiency of the Safety Management System.

4. Shipboard Instructions and Procedures

- 4.1 In developing instructions for shipboard operations a suggested outline of the contents which should be included is given below. It is acknowledged that every company and ship is different and the actual contents will vary and change with time. Every ship should carry shipboard instructions, which should contain the following statement:

"Nothing in these instructions removes from the master his authority to take any steps and issue any orders, whether or not they are in accordance with the instructions, which he considers are necessary for the preservation of life, the safety of the ship or the prevention of pollution".

4.1.1 General

- .1 Documented Company Safety and Environmental Policy and the importance of safety and its relationship to efficient commercial operation.

- .2 Company Structure (organogram) which illustrates the lines of communication and the responsibilities within the company and onboard the ship. Identification of the Designated Person and showing his direct access to the highest level of management.
- .3 Written statements of authority and responsibility and in particular for the master giving him overriding authority to make decisions with respect to safety and pollution prevention and to request the company's assistance as may be necessary.
- .4 Responsibilities of senior officers, duties of other officers, safety officers, safety representatives, petty officers and ratings. Master's and Senior Officers' Standing Orders.
- .5 Fitness for duty: Fatigue, drug and alcohol policy.
- .6 Action to take if a key crew member, including the master, dies or becomes incapacitated.
- .7 Reporting procedures, including internal onboard, from the ship to the company and to others, such as for reporting casualties, accidents and dangerous incidents. (e.g. MCA, MAIB, classification society, insurance company etc.).
- .8 Training: Means of identifying training needs, onboard training including drills and external training courses ashore.
- .9 Discipline: Application of Code of Conduct for the Merchant Navy, Company policy and grievance procedures.
- .10 Procedures for Document Control: How to keep the documents up to date and ways of suggesting improvements and amendments. The system should not be considered as static but continually developing and improving.
- .11 Welfare of those onboard: Health, hygiene and safety (e.g. making reference to the Code of Safe Working Practice).
- .12 Medical arrangements: Designation of responsible officers, location and custody of medical equipment including First-Aid kits and Ship Captain's Medical Guide. Action in cases beyond the scope of ship-board treatment.

4.1.2 Notes

- .1 Reference should be made in appropriate places to legislation, Merchant Shipping Notices, Marine Guidance Notes, Marine Information Notes and Code of Safe Working Practice and other relevant Codes and documents.
- .2 The information given is for guidance but ultimately it is the responsibility of the company to develop a system which best suits its needs and those of the Code.
- .3 It is recognised that frequent crew changes can influence ship-board organisation. Where ships have multiple crews, all masters must be fully conversant with one standard Safety Management System.
- .4 The relevant Safety Management Documents should be available and accessible for all persons who may need to use them. e.g. a set on the bridge, in the engine room and in the hotel department.
- .5 Check-lists can be useful to assist routine checks, e.g. prior to sailing, maintenance etc.

4.2 Shipboard Operation: General

- .1 Master's and Senior Officers' Standing Orders.
- .2 Watch-keeping at sea and in port, including anchor watches. (Refer to STCW as applicable).
- .3 Harbour stations: Mooring and Anchoring.
- .4 Fire and security patrols and surveillance.
- .5 Ship-board maintenance: scheduled maintenance of equipment, consideration being given to "critical systems". On-board repairs, requesting shore assistance for repairs. Defect reporting: procedures for reporting, dealing with and ensuring that defects are rectified. Checks and maintenance of fire-fighting, life saving equipment and emergency lockers.
- .6 Maintaining records: The location and persons responsible for keeping relevant records, including e.g. deck, engine, official log books, charts and nautical publications, Merchant Shipping Notices, Marine Guidance Notes, Marine Information Notes, Notices to Mariners and other official publications. Lists of approved berths, technical records and reports, instruction manuals for on-board equipment; stability book, draught records, compass error book, manoeuvring data, shipboard oil pollution and emergency plan, oil record book, statutory and classification certificates etc.
- .7 Passenger Control: Embarkation and disembarkation arrangements including the boarding card procedures. Disembarkation information, including information relating to emergency situations, vandalism, alcohol abuse, restraint of passengers in extreme cases, exclusion of unauthorised persons from vehicle decks, ensuring emergency exits, passageways, escapes, fire doors, access to emergency equipment are kept clear at all times.
- .8 Inspections by master and senior officers. Routine testing of equipment.
- .9 Arrangements and conditions relating to Statutory and Classification Certificates.
- .10 Prevention of pollution: Reference to the shipboard oil pollution emergency plan.
- .11 Use of pilots and tugs.
- .12 Requirements relating to watertight doors.
- .13 Requirements relating to bow, stern and other openings in the ship's hull structure.
- .14 Safety Committee meetings: Minuted and circulated/posted up.
- .15 Onboard internal audits: At specified intervals, identify any non-conformities, take appropriate timely corrective actions.
- .16 Onboard review: At specified intervals, evaluate the efficiency of the SMS and bring to the attention of relevant personnel.

4.3 Shipboard Operations: In Port

- .1 Embarkation and disembarkation arrangements, boarding card systems, traffic control.

- .2 Responsibility for acceptance of cargo. Checking the suitability of vehicles for shipment, securing cargo, dangerous goods, liaison with shore, stowage plans. Continuous monitoring of ship's stability and trim. Operation of loading ramps, moveable decks and other cargo gear. Operation of fork-lift and loading/unloading tractor vehicles. Weight limitations and permissible deck loadings. Precautions against pilferage. Ventilation of vehicle decks and other cargo spaces.
- .3 Harbour watches and security patrols. In-port maintenance including procedures to follow when the ship is temporarily immobilised. Liaison with Port Authority and observance of Harbour Byelaws.
- .4 Bunkering and storing.
- .5 Cargo Operations: preparations, procedures for loading and discharge of tankers (including inert gas systems), gas carriers, bulk carriers and other special ship types as well as general cargo vessels. (refer to the relevant Codes and Port Authority requirements).
- .6 Special arrangements during lay-up or refit periods.
- .7 Gas freeing of tanks and enclosed spaces.
- .8 Hot work and other special hazardous work procedures.

4.4 Preparing For Sea

Note: It is strongly recommended that check-lists are drawn up, appropriate to the ship and service, for each officer responsible for various aspects of this section: Completion of these should be recorded in the appropriate log books for each and every voyage.

- .1 Verification of passenger numbers.
- .2 Reading and recording draughts.
- .3 Assessment of Stability. What to do when calculated and observed figures differ.
- .4 Checking the securing of vehicles and other cargo.
- .5 Checking for leakages from cargo pipelines and manifolds.
- .6 Securing hatches and other openings in the hull.
- .7 Closing of watertight doors.
- .8 Testing of main engines, steering gear, navigation and communications equipment.
- .9 Instructions on Bridge/Engine room controls.
- .10 Assessment of actual and expected weather and sea state, using both official forecasts and own observations.
- .11 Plan of passage made and checked.
- .12 Crew on board, at stations and fit for duty.
- .13 Report to Master by each responsible officer.

- .14 Assessment by Master of readiness to sail. To ensure all statutory and company requirements are complied with. Master to evaluate any reported deficiencies and either satisfy himself that they are acceptable or require them to be rectified before departure.
- .15 Documentation of sailing condition.
- .16 Clearance.
- .17 Safety Broadcasts to passengers.
- .18 Rounds of passenger, vehicle and other decks on clearing the berth.

4.5 Shipboard Operations: At Sea

- .1 Watchkeeping requirements in general; Bridge, Engine Room and Radio. Masters and Chief Engineers standing orders.
- .2 Navigation: Position monitoring. Use of navigational and visual observations. Maintaining dead reckoning. Checks of radio navigation aids and compass by visual observation.
- .3 Look-out: Masters Standing Orders and company requirements. Observance of the Collision Regulations and other requirements. Reference to STCW requirements, rest periods etc. Special requirements in fog or bad weather.
- .4 Monitoring of machinery and other equipment. Keeping records and logs Cleanliness of machinery spaces. Special requirements when watertight doors are shut. Monitoring the condition of cargo and inert gas systems.
- .5 Radio communications including use of VHF.
- .6 Fire and safety patrols and surveillance.
- .7 Upkeep of deck, engine and radio logs. Movement recording.
- .8 Maintaining officers' familiarity with manoeuvring and other data.
- .9 Passenger information broadcasts.
- .10 Internal communication systems and procedures.

4.6 Emergencies And Contingencies

Contingency planning, drills and musters should cover at least:

- .1 General Emergency Procedures, Signals and Organisation with cross-referencing to training manuals.
- .2 Fire: Prevention, alarms, first-aid fire-fighting. Fire parties.
- .3 Collision; Grounding; Damage Control.
- .4 Man Overboard.
- .5 Action in the event of the failure of essential equipment. (e.g. main or auxiliary engines, steering).

- .6 Obtaining assistance and assisting other vessels or persons. (e.g. towage etc.).
- .7 Passenger control in emergency and extreme weather situations.
- .8 Communications; within the ship, ship to ship and ship to shore.
- .9 Pollution: Large and small oil spills, loss of dangerous goods and other cargo.

References:

The ISM Code embraces aspects of most current conventions and regulations. The following list of documents, which is not exhaustive, gives references which will be of assistance in developing a SMS:

- International Safety Management Code (ISM Code) IMO-186E
- Ship Safety and Pollution Prevention IMO-594E
- Latest consolidated edition of The International Convention for the Safety of Life at Sea, 1974 (SOLAS '74) (and any additional amendments)
- Latest consolidated edition of the International Convention for the Prevention of Pollution from Ships, 1973 and the Protocol of 1978 (MARPOL 73/78) (and any additional amendments)
- STCW 78 (as amended by STCW 95)
- Convention on the International Regulations for Preventing Collisions at Sea, 1972 (as amended)
- Relevant Statutory Instruments
- Merchant Shipping Notices, Marine Guidance Notes and Marine Information Notes, particularly those dealing with:
 - Codes of Practice
 - Training
 - Operational aspects
 - Pollution prevention
 - Health and Safety issues
- MCA Instructions for the guidance of surveyors (including those for the ISM Code, when published).
- Codes of Practice (e.g. Code of Safe Working Practices for Merchant Seamen, Codes of Practice related to stowage of Cargo, International Safety Guide for Oil Tankers and Terminals (ISGOTT) etc.).
- ICS/ISF Guidelines on the application of the IMO International Safety Management Code.
- ICS Shipping and the Environment A Code of Practice.

ANNEX

**GUIDANCE TO COMPANIES OPERATING MULTI-FLAGGED FLEETS
AND SUPPLEMENTARY GUIDELINES TO ADMINISTRATIONS**

Purpose

1. To give guidance to companies operating multi-flagged fleets and to give supplementary guidelines to Administrations. To ensure that all Administrations concerned can be satisfied and have faith that the DOC has been issued fully in accordance with resolution A.788(19).
2. The Assembly, at its nineteenth session, adopted resolution A.788(19) - "Guidelines for Administrations on the implementation of the ISM Code". These guidelines are generally accepted as being a good basis on which Administrations can build as experience is gained in implementing the Code. The same resolution requests Administrations to review the Guidelines in the light of such experience.
3. Experience to date has highlighted that the Guidelines referred to in paragraph 2 provide no guidance as to how companies operating multi-flagged fleets are to be treated. The absence of such guidance is leading to confusion amongst all sectors of the industry which under certain circumstances may lead to unnecessary duplication of work if not properly addressed, will diminish the impact of the ISM Code on the shipping industry.
4. The Maritime Safety Committee and the Marine Environment Protective Committee, considering the matter at their sixty-sixth and thirty-eighth sessions respectively, agreed on the following supplementary guidance to be followed by companies and Administrations, as appropriate.

Guidance for companies operating multi-flagged fleets

5. To facilitate the auditing and certification process companies should approach the relevant flag Administrations, proposing a plan of action and requesting agreement by all parties. This plan should clearly state which entity (see paragraph 8) is to conduct which part of the process.
6. This approach by companies should be taken at least 12 months prior to the mandatory application date for the particular ship type or types involved.

Supplementary Guidelines to Administrations on auditing and certification of companies operating multi-flagged fleets

7. Administrations approached by a company operating a multi-flagged fleet should enter into a positive dialogue with other involved Administrations in order to facilitate the auditing and certification process and to avoid unnecessary duplication of work. Relevant agreements may be reached with other involved Administrations for this purpose.
8. In this respect Administrations should bear in mind that the provision of SOLAS regulation IX/4.1 allows for the following entities to issue DOCs:
 - the Administration itself;
 - a recognised organisation authorised by the Administration; or
 - at the request of the Administration, by another Contracting Government.
9. The need for establishing a clear link between the shore-based part of the Safety Management System of the company and the shipboard parts should be clearly recognised.

