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Procedural Requirements for ISM Code Certification

INTRODUCTION

The IACS "Procedural Requirements for ISM Code Certification" reflect, as applicable, IMO Resolution A.1118(30) "Revised guidelines on the implementation of the International Safety management (ISM) Code by Administrations" and IMO Resolution A.741(18) "International Safety Management (ISM) Code" as amended.

This document and its Annexes provide the Classification Societies with procedures and criteria for the conduct of audits to verify compliance with the requirements of the ISM Code and for the issuance of the corresponding Documents of Compliance (DOCs) and Safety Management Certificates (SMCs), including short term and interim DOCs and SMCs. Also provided are procedures governing the actions to be taken by Classification Societies when deficiencies associated with the ISM Code are identified by Port State Control Officers (PSCOs).

Where a Recognized Organization (RO) performs verification audits on behalf of an Administration, any certificates issued must comply with the format required by the ISM Code and the Administration.

The "Code for Recognized Organizations" (RO Code) adopted by the Organization by resolutions MSC.349(92) and MEPC.237(65), which was made mandatory by Chapter XI-1/1 of SOLAS 74 is applicable when Classification Societies act on behalf of the Administrations.

When acting as an RO, ISM Code certification services are to be provided by the Classification Society itself and not by one of its subsidiaries.

Where two or more ROs are involved in the ISM Code certification of a single Company, arrangements shall be made for appropriate communications between them to ensure the exchange of the relevant information.

Note:

1.   This procedural requirement applies from 1 July 2009.

2.   Rev.1 of this Procedural Requirement applies from 1 July 2010.

3.   Rev.2 of this Procedural Requirement applies from 1 February 2013.

4.   Rev.3 of this Procedural Requirement applies from 1 July 2018.

5.   Rev.4 of this Procedural Requirements applies from 1 January 2021.

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1.   GENERAL

1.1   Definitions

1.1.1   "Audit" means a process of systematic and independent verification, through the collection of objective evidence, to determine whether the SMS complies with the requirements of the ISM Code and whether the Safety Management System (SMS) is implemented effectively to achieve the Code's objectives.

1.1.2   "Auditor" means a person trained, qualified and authorised in accordance with IACS Procedural Requirement 10 (PR10) to carry out ISM audits and to conclude whether compliance has been achieved.

1.1.3   "Lead auditor" means an auditor who is authorised to lead a team of two or more auditors.

1.1.4   "Branch Office" means a shore-based location identified by the Company responsible under the ISM Code which may perform safety management system related tasks and is operating under the same SMS of the Company.

1.1.5   "Observation" means a statement of fact made during a safety management audit and substantiated by objective evidence. It may also be a statement made by the auditor referring to a weakness or potential deficiency in the SMS which, if not corrected, may lead to a non-conformity in the future.

1.1.6   "Safety Management Manual" is the documentation used to describe and implement the SMS.

1.1.7   "Technical deficiency" means a defect in, or failure in the operation of, a part of the ship's structure or its machinery, equipment or fittings.

1.1.8   "Non-conformity" means an observed situation where objective evidence indicates the non-fulfilment of a specified requirement.

1.1.9   "Major non-conformity" means an identifiable deviation that poses a serious threat to the safety of personnel or the ship or a serious risk to the environment that requires immediate corrective action or the lack of effective and systematic implementation of a requirement of the ISM Code.

1.2   Scope and Application

1.2.1   This document establishes basic procedures for:

(i)   the conduct of interim, initial, scheduled and additional shore-based and shipboard audits against the ISM Code;

(ii)   the issue of ISM certificates to Companies and ships and their subsequent endorsement.

1.2.2   This document applies to Classification Societies when they are acting as ROs on behalf of Administrations under the provisions of SOLAS Chapter IX, and, except for paragraph 2.1, to Classification Societies when conducting audits for the issue of voluntary ISM Code Certificates.

1.2.3   This document also establishes basic procedures for ROs to follow when potential failures of the shipboard SMS are identified by Port State Control Officers.

2. VERIFYING COMPLIANCE WITH THE ISM CODE

2.1 Responsibilities of the RO

2.1.1   Criteria for verification of compliance with the requirements of the ISM Code shall be in accordance with the applicable sections of IMO Resolution A.1118(30) "Revised guidelines on the implementation of the International Safety Management I(SM) Code by Administrations" and IMO Resolution A.741(18) "International Safety Management (ISM) Code" as amended.

2.1.2   A RO performing verification of compliance with the ISM Code shall have, within its organisation, competence in relation to:

(i)   the rules and regulations with which Companies must comply;

(ii)   the approval, survey and certification activities relevant to maritime certificates;

(iii)   the terms of reference of the SMS required by the ISM Code;

(iv)   practical experience of ship operations;

(v)   the assessment of management systems.

2.1.3   A RO performing verification of compliance with the provisions of the ISM Code shall ensure that personnel providing ISM-related consultancy services and personnel providing the certification are entirely independent.

2.1.4   Management of ISM Code certification services shall:

(i)   be carried out by those who have practical knowledge of ISM Code certification procedures and practices;

(ii)   ensure that the auditor(s) comply with the requirements relating to education, training, work experience and audit experience specified;

(iii)   ensure that the qualification and experience of auditors are adequate and appropriate for the size and complexity of the Company or ship to be audited.

2.1.5   A RO performing ISM Code certification shall have implemented a documented system for the qualification and continuous updating of the knowledge and competence of personnel who perform verification of compliance with the ISM Code.

This system shall provide for:

(i)   theoretical training covering all the competence requirements specified in PR10 and the application of the procedures governing the certification process;

(ii)   supervised practical training as specified in PR10;

(iii)   the creation and maintenance of records of the theoretical and practical training undertaken by each trainee.

2.1.6   A RO performing ISM Code certification shall have implemented a documented system ensuring that the certification process is performed in accordance with this procedure. This system shall include procedures and instructions for the following:

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(i)   the establishment of contracts for the provision of ISM certification services;

(ii)   the planning, preparation and conduct of ISM audits;

(iii)   the reporting of ISM audits;

(iv)   the issuance of DOCs and SMCs including interim DOCs and interim SMCs;

(v)   the evaluation and follow-up of corrective actions, including action to be taken in response to major non conformities. (Refer to Article 5 of Appendix to IMO Res. A.1118(30) and MSC/Circ.1059/MEPC/Circ.401).

2.2   The ability of the SMS to meet safety management objectives

2.2.1   The purpose of an audit is to verify that:

(i)   the SMS complies with the requirements of the ISM Code;

(ii)   the SMS is being implemented effectively and in such a way as to ensure that the objectives of the ISM Code are met.

2.2.2   All records having the potential to facilitate verification of compliance with the ISM Code shall be open to scrutiny during an audit. For this purpose, the Company shall provide auditors with statutory and classification records relevant to actions taken by the Company to ensure that compliance with mandatory rules and regulations is maintained. In this regard, records may be examined to substantiate their authenticity and veracity. The Company shall ensure that the auditor has access to statutory and classification records during audits, also when these records are issued by another Classification Society, other RO or the Administration itself.

2.2.3   The audit is based upon a sampling process. Where no non-conformities have been reported, it shall not be assumed that none exists.

3.   THE CERTIFICATION PROCESS

3.1   Certification Activities

3.1.1   Document of Compliance (DOC)

3.1.1.1   A DOC shall be issued to a Company following an initial or renewal verification of compliance with the requirements of the ISM Code.

3.1.1.2   The Company shall make available copies of the DOC to each office location and each ship covered by the SMS.

3.1.1.3   On completion of the audit, a DOC with validity not exceeding five (5) years may be issued by the auditor. A certificate of shorter validity may be issued in accordance with RO's procedures and flag State requirements.

3.1.2   Safety Management Certificate (SMC)

3.1.2.1   A SMC shall be issued to a ship following an initial or renewal verification of compliance with the requirements of the ISM Code.

3.1.2.2   A copy of the SMC shall be available at the Company's Head Office.

3.1.2.3   The issue of a SMC is conditional upon:

(i)   the existence of a DOC (not interim), valid for that type of ship;

(ii)   the maintenance of compliance with the requirements of a Classification Society which meets the requirements of RO Code, as may be amended, or with the national regulatory requirements of a flag State which provide an equivalent level of safety; and

(iii)   the maintenance of valid statutory certificates.

3.1.2.4   On completion of the audit, an SMC with validity not exceeding five (5) years may be issued by the auditor. A certificate of shorter validity may be issued in accordance with RO procedures and flag State requirements.

3.2   Interim and initial verification

3.2.1   Interim verification for the issue of an interim DOC to a Company and an interim SMC for a ship is carried out as described in ISM Code Section 14. The interim verification for issuance of an interim DOC includes a review of the safety management system documentation.

3.2.2   Initial verification for the issue of a DOC to a Company consists of the following steps:

(i)   A satisfactory review of any changes made to the documented SMS since the interim DOC was issued;

(ii)   Verification of the effective functioning of the SMS, including objective evidence that the Company's SMS has been in operation for at least three (3) months on board at least one ship of each type operated by the Company. The objective evidence shall include records from the internal audits performed by the Company ashore and on board and the statutory and classification records for at least one ship of each type operated by the Company.

3.2.3   The initial verification for issuing a SMC to a ship consists of the following steps:

(i)   Verification that the Company holds a valid DOC applicable to the ship type and that the other provisions of paragraph 3.1.2.3 are complied with. Only after on-board confirmation of the existence of a valid DOC can the verification proceed;

(ii)   Verification of the effective functioning of the SMS, including objective evidence that the SMS has been in operation for at least three (3) months on board the ship. The objective evidence shall also include records of the internal audits performed by the Company.

3.3   Annual verification or renewal of the Document of Compliance

3.3.1   The purpose of these audits is, inter alia, to verify:

(i)   the effective functioning of the SMS;

      (ii)   that any modifications made to the SMS comply with the requirements of the ISM Code;

      (iii)   that corrective action has been implemented;

      (iv)   that statutory and classification certificates are valid and that no surveys are overdue.

3.3.2   The statutory and classification certification for at least one ship of each type identified on the DOC shall be verified.

3.4   Intermediate verification or renewal of Safety Management Certificates

3.4.1   The purpose of these audits is, inter alia, to verify:

      (i)   the effective functioning of the SMS;

      (ii)   that any modifications made to the SMS comply with the requirements of the ISM Code;

      (iii)   that corrective action has been implemented;

      (iv)   that statutory and classification certificates are valid and that no surveys are overdue.

3.5   Preparing the audit

3.5.1   The auditor(s) in co-operation with the Company or Ship shall produce an audit plan.

3.5.2   The audit plan shall be designed to be flexible in order to permit changes in emphasis based on information gathered during the audit, and to permit the effective use of resources. This plan shall be communicated to all those involved in the audit.

The audit plan shall include:

      (i)   identification of the individuals or organizational units having significant direct responsibilities within the SMS;

      (ii)   identification of the auditor(s) and Company representative(s);

      (iii)   the language of the audit;

      (iv)   the date and place where the audit is to be conducted;

      (v)   the schedule of meetings to be held with Company's management.

3.5.3   Initial, intermediate and renewal shipboard verification audits shall be performed only under normal operating conditions, e.g. when the ship is not in dry dock or laid up. Interim audits may be conducted in circumstances other than normal operating conditions, provided that the ship is fully manned in accordance with its Safe Manning Certificate.

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3.6   Executing the audit

3.6.1   All scheduled, routine DOC and SMC audits (initial, intermediate, annual and renewal) shall be fully scoped audits covering all elements of the ISM code and all aspects of the management of shipboard safety and pollution prevention.

3.6.2   The audit shall begin with an opening meeting, the purpose of which is to:

(i)   introduce the auditor(s) to the Company's or shipboard management;

(ii)   explain the scope and objective of the audit;

(iii)   provide a short summary of the methods and procedures to be used to conduct the audit;

(iv)   establish the official communication links between the auditor(s) and the Company or shipboard personnel;

(v)   confirm that the resources, documentation and facilities needed to perform the audit are available;

(vi)   confirm the time and date of the closing meeting and any possible interim meetings.

3.6.3   Working documents used to facilitate the audit and to document the results may include:

(i)   checklists used for evaluating SMS elements, and

(ii)   forms for reporting observations and documenting supporting evidence.

Working documents shall not restrict additional activities or investigations that may become necessary as a result of information gathered during the audit.

3.6.4   Consideration shall be given to the limitations that may be placed on the auditor's ability to gather information and collect objective evidence when audits are carried out during the hours of darkness or other similarly restrictive operational conditions.

When the activities are planned to be carried out under any restrictive operational conditions the auditor's ability to gather information is not to be impaired. In cases where it is not possible to complete the audit due to such limitations, audit plan may be changed as necessary to complete the audit when such limitations will be absent.

3.6.5   The auditor shall take into account any changes made to the SMS since the last external audit carried out.

3.6.6   The auditor(s) shall assess the SMS on the basis of the documentation presented by the Company and objective evidence of its effective implementation. Such evidence shall be collected through interviews, review of documentation and records, observation of activities and examination of the condition and operation of the ship and its equipment and technical systems.

3.6.7   Annual and renewal audits of the Company may include a review of non-conformities reported in relation to previous internal and external Company and shipboard audits. The auditor shall select a sample of the reported non-conformities and audit the Company's

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investigation, analysis, and resolution of the non-conformities in accordance with the requirements of sections 9 and 12 of the ISM Code.

3.6.8   When auditing a Company managing ships classed by another society, or for which the Administration or another RO performs the statutory surveys, the auditor shall review the statutory and classification survey records for at least one ship of each ship type to which the DOC is to apply. These records shall be made available at the Company's office (refer to 2.2.2).

3.6.9   When auditing a ship, as a part of the audit process the auditor shall review the statutory and classification survey records (refer to 2.2.2).

3.6.10 The auditor is entitled to acquire information from other Classification Societies, ROs or the Administration, in order to check the veracity of the information presented to the auditor by the Company (refer to 2.2.2).

3.6.11 During shipboard audits, the auditor shall visit the deck, engine, bridge and accommodation areas, the purpose of which is to:

  i)   gain an overall impression of housekeeping and the condition of the ship and equipment

  ii)   observe shipboard operations being conducted

  iii) observe emergency drills as appropriate

  iv)   conduct interviews with ship's crew as appropriate.

Where weather conditions prevent safe access to certain areas this shall be documented in the report.

3.6.12   Audit findings shall be documented in a clear, concise manner and supported by objective evidence. These shall be reviewed by the auditor(s) in order to determine which are to be reported as major non-conformities, non-conformities, or observations.

3.6.13   At the end of the audit, prior to preparing the audit report, the auditor(s) shall hold a meeting with the senior management of the Company or ship and those responsible for the functions concerned. The purpose of the meeting is to present major non-conformities, non-conformities and observations to the Company or shipboard management in such a manner that they clearly understand the results of the audit.

3.7   Audit report

3.7.1   The audit report shall be prepared by the lead auditor, based on information gathered by and discussed with the audit team members. It must be accurate and complete, reflect the content of the audit and shall include the following items:

  (i)   the date of completion of the audit;

  (ii)   the scope and objectives of the audit;

  (iii) auditor(s)

  (iv)   all major non-conformities, non-conformities, and observations.

(v)   Audit Plan

3.7.2   The audit report shall be made available to the Company or ship as applicable.

3.7.3   The Company shall maintain reports and records of all audits performed both ashore and on board its ships (refer to 2.2.2).

3.8   Corrective Action Follow-up

3.8.1   The non-conformity report (NCR) shall state clearly the act or situation identified as non-compliant with the Company's SMS or the ISM Code.

3.8.2   The content of the non-conformity report shall be complete and concise and written in such a manner as to be easily understood. Clarity shall not be sacrificed for the sake of brevity.

3.8.3   When writing NCRs auditors shall, whenever possible, include a reference to the applicable requirement of the Company's SMS, and when necessary for the sake of clarity, restate the requirement.

3.8.4   NCRs shall include a reference to the relevant clause or sub-clause of the ISM Code.

3.8.5   A DOC or SMC may be issued, endorsed or renewed before all identified non-conformities have been closed out provided that a schedule has been agreed between the Company and the auditor(s) for the implementation of the necessary corrective actions.

3.8.6   Additional audit(s) may be necessary to confirm the validity of a DOC and/or SMC depending on the nature of any non-conformities identified. The Company is responsible for applying for any follow-up audit required by the auditor.

3.8.7   The Company is responsible for formulating and implementing corrective actions for any non-conformity identified by the auditor(s). A corrective action plan shall be submitted to the auditor within an agreed time period. An acceptable corrective action plan shall include actions for correcting the non-compliance, its cause analysis and actions to prevent recurrence. A schedule not exceeding three (3) months from the date of completion of the audit shall be agreed for the implementation of the corrective actions. The effectiveness of the corrective actions shall be verified not later than the next scheduled audit (annual, intermediate, renewal) and may be verified at an additional audit if performed after the agreed schedule for implementation of the corrective action.

3.8.8   The review of the Company's responses to non-conformities described in paragraph 3.6.7 is applicable only to non-conformities that are not considered to be major.

3.8.9   Failure to implement the agreed Corrective Action may be treated as grounds for invalidation of the DOC or SMC.

3.9   Company responsibilities pertaining to safety management audits

3.9.1   The verification of compliance with the requirements of the ISM Code does not relieve the Company, management, officers or seafarers of their obligation to comply with national and international legislation related to safety and protection of the environment.

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3.9.2   The Company is responsible for:

(i)   informing relevant employees or organizational units about the objectives and scope of the audit;

(ii)   appointing responsible members of staff to accompany the auditor(s);

(iii)   providing the resources needed by the auditor(s) to ensure an effective and efficient verification process;

(iv)   providing access and objective evidence as requested by the auditor(s);

(v)   co-operating with the auditor(s) to ensure that the audit objectives are achieved;

(vi)   informing the RO about significant changes to the SMS, which may need an additional audit by the RO. These include major restructuring of the system (for example, the establishment of Branch Offices) and changes in the operations that introduce new hazards;

(vii)   requesting additional audit, when required.

3.10   Responsibilities of the audit team

3.10.1 The auditor is responsible for:

(i)   planning and carrying out assigned responsibilities effectively and efficiently;

(ii)   complying with the applicable requirements and other appropriate directives;

(iii)   reporting any major obstacles encountered in performing the audit;

(iv)   organising specialist technical assistance required to fulfil the competence requirements of the audit when necessary;

(v)   clearly communicating non-conformities and observations to the Company or shipboard management immediately;

(vi)   reporting the full audit results clearly, conclusively and without undue delay;

(vii)   making the audit report available to the Company or shipboard management;

(viii) verifying the effectiveness of corrective actions taken by the Company.

3.10.2 Documents and information pertaining to the certification shall be treated in confidence.

3.10.3 An ISM auditor identifying a technical deficiency deemed to present a serious threat to safety or the environment or that requires attention by the responsible Classification Society or the Administration shall:

(i)   establish if the Company has taken appropriate action to correct the technical deficiency. In every case the auditor shall establish that such technical deficiencies have been reported to the responsible Classification Society or Administration;

(ii)   establish whether the technical deficiency constitutes or is symptomatic of a major non-conformity and, if so, follow the requirements of section 3.11.

3.11   Response to Major non-conformities

3.11.1 A major non-conformity raised on a ship must be downgraded before the ship can sail. Downgrading may take place only after verifiable action has been taken to remove any serious threats to personnel, the ship or the environment. An acceptable plan for implementation not exceeding three (3) months shall be agreed for completion of the necessary corrective actions.

3.11.2 Following the downgrading of a major non-conformity raised on a ship, at least one additional audit should be carried out on a ship within the time frame indicated in the agreed corrective action plan to verify that effective actions have been implemented (refer to IMO Circular MSC/Circ.1059). In addition to the additional audit on a ship, an additional audit of the Company's shore-based operations may also be carried out if the auditor deems it necessary.
Following the downgrading of a major non-conformity raised during DOC audit, at least one additional audit of the Company's shore-based operations should be carried out within the time frame indicated in the agreed corrective action plan to verify that effective actions have been implemented.

3.11.3 If an audit is carried out later than the specified time window a major non-conformity shall be raised.

3.11.4 Where a major non-conformity has been raised because a DOC audit has not taken place within the specified time, the associated SMCs continue to remain in place without any additional verification provided that no other major non-conformity remains unresolved.

3.11.5 All major non-conformities, including those that are downgraded before the completion of the audit, shall be reported to the corresponding Administrations as follows:

(i)   Major non-conformities identified during office audits shall be reported to all Administrations on whose behalf DOCs have been issued and by which the RO is authorised.

(ii)   Major non-conformities identified during shipboard audits shall be reported only to the Administration of the ship concerned.

3.11.6 Where the corresponding DOC has been issued by a RO, major non-conformities identified during shipboard audits shall be reported to that RO.

3.11.7 A Certificate cannot be issued, endorsed, renewed or extended before any major non-conformity has been downgraded.

3.12   Withdrawal of Certification

3.12.1 The Company shall be required to notify the affected ships immediately its DOC is withdrawn.

3.12.2 A Company whose Document of Compliance has been withdrawn shall not be issued with an Interim Document of Compliance. Furthermore, a new Document of Compliance shall not be issued unless an initial verification has been carried out. The expiry date of the new Document of Compliance shall be the same as that of the withdrawn document.

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3.12.3 Where the associated Safety Management Certificates are withdrawn as a result of the withdrawal of Document of Compliance caused by a major non-conformity, new Safety Management Certificates shall not be issued unless the Document of Compliance has been reinstated and a verification to the scope of an initial verification has been carried out on board a representative sample of the ships. At least one ship of each type operated by the Company shall be verified.

3.12.4 An Interim Safety Management Certificate shall not be issued to a ship from which the Safety Management Certificate has been withdrawn as a result of a major non-conformity. Furthermore, a new Safety Management Certificate shall not be issued unless an initial verification has been carried out on board the ship. In addition, depending on the nature of the major non-conformity raised against the Safety Management System implemented on board the ship, the validity of the Document of Compliance may also need to be verified by an audit, equivalent in scope to an annual audit, prior to the issue of the Safety Management Certificate. The new Safety Management Certificate shall have the same expiry date as the withdrawn certificate.

Annex 1

COMPANY BRANCH OFFICE VERIFICATION

1   General

1)   Where a Company assigns SMS responsibilities to Branch Offices, the verification shall include a representative sample of those offices. The sample selected shall be sufficient to ensure that all elements of the SMS and all requirements of the ISM Code can be assessed.

2)   The audit of each Branch Office shall address each requirement of the ISM Code relevant to that office.

3)   The Company shall have performed internal audits of all Branch Offices and relevant records shall be made available to the auditors.

4)   Where the Company assigns SMS responsibilities to Branch Offices, the list of Branch Offices shall be indicated in an attachment to the DOC.

2   Initial DOC audit

1)   Where the same activities are performed by all Branch Offices, the number of Branch Offices to be verified is:

      a.   two if the total number of Branch Offices is two or three;

      b.   three if the total number of Branch Offices is from four to six; and

      c.   to be agreed if the total number of Branch Offices is more than six.

2)   Where different activities are performed by Branch Offices, the number of Branch Offices performing the same activities to be verified is:

      a.   two if the total number of Branch Offices performing the same activities is two or three;

      b.   three if the total number of Branch Offices performing the same activities is from four to six; and

      c.   to be agreed if the total number of Branch Offices performing the same activities is more than six.

3)   Notwithstanding the above, if a Company nominates an office as its Head Office then it must be audited as part of the initial verification.

3   Annual DOC audit

1)   Annual audit shall ensure that all Branch Offices are visited during the period of validity of the DOC. The audit of the Branch Offices shall be agreed with the Company. The frequency of Branch Office audits shall be determined based on the nature and extent of the activities undertaken by each Branch Office.

2)   If an additional Branch Office is included by the Company in its SMS during the period of validity of the DOC, it shall be verified no later than at the next scheduled audit at which time the additional Branch Office shall be added to the list of Branch Offices.

Annex 2

COMMUNICATIONS WITH FLAG STATES AND BETWEEN ROs

1)   To ensure that the requirements of SOLAS Chapter I Regulation 6(d), SOLAS Chapter IX, IMO Resolution A.1118(30) and Resolution A.741(18) as amended are fulfilled, the following communication procedures must be followed when a DOC or SMC become invalid according to paragraph 3.11.

2)   When a certificate is invalidated, the issuing RO shall without undue delay but not later than within 5 working days, from the decision to invalidate, inform the flag State and other ROs using the form "Notification of Invalidation of ISM Certification" attached to this document as Annex 7 or by other means including the same information.

3)   The communication shall be limited to the identity of the ship, the Company, the substance of the major non-conformity and the date of audit.

Annex 3

PORT STATE CONTROL

1)   When attending a ship as a result of a Port State Control action, the RO that issued the SMC shall consider the objective evidence presented by the PSCO.

2)   Where the auditor considers that the evidence indicates the presence of a major non-conformity, the major non-conformity shall be documented in the usual way, the Company shall be notified immediately and the auditor shall proceed as indicated in paragraph 3.11.

3)   In the absence of any specific instructions to the contrary, the scope of any additional audit carried out following the detention of a ship that holds an interim SMC shall include, as a minimum, the deficiencies identified by PSCO. Implementation will be verified to the extent that the available evidence permits.

4)   In cases where the PSCO alleges that there is evidence of a major non-conformity, and the auditor of the SMC-issuing RO considers that there is not, the PSCO, under the authority vested in the officer by the authorities of the port, will decide what further action is to be taken.

5)   If the auditor of the SMC-issuing RO disagrees with the actions taken by the PSCO, the auditor is to provide the PSCO with a written explanation of the disagreement and inform the flag State.

Annex 4

SHIP TYPES ON ISM CERTIFICATES

1   Determination of ship types to be listed on DOCs and SMCs

1)   The ship types listed on DOCs and SMCs shall be consistent with the ship types defined in SOLAS IX Regulation 1 and on pertinent SOLAS documentation aboard ship.

2)   Some ships are designed for use in multiple services (for example Oil Tanker/Chemical Tanker). The ship type(s) listed on the DOC and SMC shall reflect the service(s) in which the ship is fit to serve, and the safety management system shall include appropriate procedures for these ship types.

2   Retention of ship types on DOCs

1)   The auditor shall determine at each scheduled (see 3.6.1) audit of the Company, the ship types operated by the Company at the time of the audit. If the auditor discovers that the Company no longer operates a ship type listed on the DOC, the auditor shall either document an observation to formally advise the Company that the ship type will be removed from the DOC if this situation persists at the next scheduled audit or immediately remove the ship type no longer operated from the existing DOC.

2)   If, at a scheduled audit, the auditor determines that the Company has not been operating ships of a particular type since a previous scheduled audit the DOC(s) shall be replaced with new DOC(s) without the ship type no longer operated. If however, the Company continues to manage ships of a particular type within its fleet then, unless otherwise instructed by the Administration, all DOC's may be endorsed for this ship type.

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Annex 5

COMPANY CERTIFICATION SCENARIOS

	Scenario	Type of audit	Minimum scope of audit	Carried out by:	Certificate issued
1	Change of Company name and/or address	Verification on site	- Verify that Company organisation and responsibilities remain essentially unchanged. - Ensure that necessary changes have been made to SMS documentation. - Verify that changes have been reported to Administration(s) to update the CSR for each vessel.	Auditor	Reissue DOC and SMCs with new name. (expiry date as previous certificates)
2	Change to RO from a Classification Society not holding a QSCS certificate	Initial audit	- Audit to address all elements of the ISM Code. - All corrective action to be verified and previous NCNs to be closed out by the gaining society.	Auditor	DOC with validity not exceeding 5 years from audit completion date
3	Additional ship type on DOC	Interim audit on site	- Review changes to SMS to accommodate new ship type. - Review plans to implement changes (minimum of 1 ship required).	Auditor	Interim DOC for new ship type
4	Change from Interim DOC to DOC in Scenario 3	Additional audit on site	- Verify additional requirements for ship type have been implemented. - Review results of internal audit.	Auditor	DOC (expiry date as for existing ship type)
5	Minor change to SMS	Verify at next audit	- Assess potential impact on SMS when advised and decide whether visit is required.		No action
6	Major change to SMS	Verify on site	- Verify changes are appropriate and adequate for new circumstances.	Auditor	No action
7	Additional flag	Additional audit on site	- Verify availability of flag State instructions and their incorporation into the management system.	Auditor	DOC with same expiry date as the DOC issued on behalf of the other flag State(s)

Note: Above scenarios may be subject to flag State requirements and shall only be applied in the absence of any instructions from the Administration.

Annex 6

SHIP CERTIFICATION SCENARIOS

	Scenario	Condition	Action required	Scope of audit and certification
1	Change of ship's name	Conducted by a surveyor or an auditor	Verification on board	1. Verify correct ship's name on all Certificates and Documents. 2. Amend/reissue SMC with new ship's name, as appropriate. *Note:* SMC must be amended by issuing RO or by special arrangement[1]. Replacement SMC shall have the same expiry date as the current SMC.
2	Change of flag	Conducted by an auditor.	Interim audit on board	1. Interim audit as required by ISM Code, 14.4 2. Issue interim SMC.
3	Change in IMO ship type	Conducted by an auditor.	Interim audit on board	1. Interim audit as required by ISM Code, 14.4. 2. Issue Interim SMC with new ship type.
4	Adding IMO ship type (e.g. from bulk carrier to OBO)	Conducted by an auditor	Interim audit on board	1. Interim audit as required by ISM Code, 14.4. 2. Issue interim SMC with both ship types.
5	Change of ship type, dual to single (e.g. OBO to oil tanker)	Conducted by a surveyor or an auditor	Verification on board	1. Evidence of surrender of SOLAS or MARPOL related certificates for the original ship type. (e.g. surrender of IOPP Supp. B when going from OBO to bulk on permanent basis). 2. Amend/issue replacement SMC with appropriate ship type and same expiry date as the current SMC. *Note:* SMC must be amended by issuing RO or by special arrangement[1].
6	Change to RO from a Classification Society not holding a QSCS certificate	Conducted by an auditor	Initial audit on board[2]	1. Audit to address all elements of ISM Code. 2. Issue SMC.
7	Ship out of service between 3 and 6 months[3]	Conducted by an auditor	Additional audit if required by the flag State	Endorse SMC as appropriate.
8	Ship out of service more than 6 months[3]	Conducted by an auditor	Interim audit on board	1. Interim verification. 2. Issue Interim SMC.
9	Intermediate audits requested after the end of the audit time window	Conducted by an auditor	Intermediate audit on board	1. Major NC raised that may be downgraded based on completion of audit. 2. Additional audit within 3 months required. 3. If reinstated, SMC to be endorsed with a statement (e.g. Validity reinstated with scope as initial). If re-issued, SMC to have same expiry date as previous certificate.
10	Change of Company name and/or address		Attendance on board not required	1. Verify DOC has been reissued with new Company name and address. 2. Reissue SMC with the new Company name and address.

Note: Above scenarios may be subject to flag State requirements and shall only be applied in the absence of any instructions from the Administration.

[1] The RO may with permission from the Administration authorize a surveyor from the vessel's Classification Society, if other than the ISM RO, to amend SMC.

[2] Vessels with interim SMC, and which are not yet ready for initial audit, shall be issued with an interim SMC with same validity as the certificate issued by the losing RO. The auditor shall take into account that there may not yet be records for all activities.

[3] These instructions do not apply to ships for which seasonal lay-ups are a normal part of their operational routine – refer to MSC-MEPC.7/Circ.9.

Annex 7

NOTIFICATION OF INVALIDATION OF ISM CERTIFICATION

☐   Document of Compliance

☐   Safety Management Certificate

Ship's Name:	IMO No.
Company Name and Address	Certificate No.
	Issued by:

The audit was conducted on behalf of the government of:

Type of audit: Annual (office) ☐   Intermediate (ship) ☐   Additional ☐   Renewal ☐

(Tick as appropriate)

REASON FOR INVALIDATION OF CERTIFICATION (specify):

Name:	Position:	Society:	Date:

Distribution:

- To Company
- Copy to Administration
- Copy to Port State Authority (if appropriate)
- Copies to ROs responsible for issue of SMCs (office audit)
- Copy to RO responsible for issue of DOC (ship audit)
- Copy to Classification Society (ship audit)

Annex 8

VERIFICATION OF COMPLIANCE WITH FLAG STATE REQUIREMENTS

1)   Unless otherwise instructed by the Administration, auditors shall verify compliance with flag State requirements by sampling in the same way that compliance with other mandatory requirements is verified.

2)   Where Administrations have specified requirements to be verified at every scheduled audit, either on board or ashore, the RO may formulate an appropriate audit plan considering the additional time that may need to be added to the audit duration and inform the company/ship accordingly.

End of
Document