



## **INTERNATIONAL SAFETY MANAGEMENT AUDIT CHECKLIST**

VESSEL: \_\_\_\_\_

GRT: \_\_\_\_\_

DOC ISSUED TO: \_\_\_\_\_

DATE/ PLACE: \_\_\_\_\_

### 2.0 SAFETY AND ENVIRONMENTAL-PROTECTION POLICY

1.	Has the company established a safety and environmental protection policy (2.1)	
2.	Verify if the policy has been implemented on board (2.2), generally: - it shall be displayed conspicuously - should be signed by the top management to show commitment - contents shall be made known to all crew members	

### 3.0 COMPANY RESPONSIBILITIES AND AUTHORITY

1.	Does the operator of the vessel differ from the registered owner	
2.	If different, has the Administration been informed of who is responsible for the operation of the ship (3.1)	

### 4.0 DESIGNATED PERSON ASHORE

1.	Has the company nominated a DPA (4.0)	
2.	Has the DPA been given sufficient training to carry out his duties effectively, course attendance is necessary (6.5)	
3.	Does the Master know who the DPA is and what his functions are (3.2)	
4.	Is there sufficient evidence to show that the DPA visits the vessel regularly to monitor the SMS (4.0)(3.3)	

### 5.0 MASTERS RESPONSIBILITY AND AUTHORITY

1.	Implementing the SMS of the company (5.1.1) - check to see if there are records to show all crew have read the manual. As minimum all officers must be familiarised - proper filing system for manual and checklist available (5.1.1)	
2.	Motivating the crew in the implementation (5.1.2) - verify safety meeting minutes - other in house training provided by company	
3.	Issuing orders in clear and simple manner (5.1.3) - look for masters standing orders - engineers standing orders - night order books - cargo operations standing orders - daily work orders - standing orders for embarking/ disembarking of passengers	

4.	Verifying that special requirements are observed (5.1.4) - are the crew using protective gears for their daily work - are the record of draft/ freeboard being kept in the OLB. - are there records to show that the crew have sufficient rest periods as per STCW requirements	
5.	Has the Master carried out the 'Masters review' according to SMS procedures. (5.1.5)	
6.	Does the SMS clearly define the Masters overriding authority is the Master aware of this.	

## 6.0 RECOURES AND PERSONNEL

1.	Is the Master properly qualified for command (6.1.1) - check the restrictions in the COC against safe Manning cert - cert must be STCW format	
2.	Is the Master fully conversant with the SMS (6.1.2)	
3.	The vessel should be manned by qualified, certificated and medically fit seafarers (6.2) - check cert of competency for local off/ crew. - check watch keeping cert and BST cert for watch keeping rtg - check BST for non-watch keeping ratings - newly joined foreign off/ eng should have valid ack.note for COR. - existing foreign off/ eng should have valid COR - check all crew members have medical cert	
4.	Check documentation to show that all newly joined crew members are given the proper familiarization in relation to their duties with particular regard to safety, security and environmental protection. (6.3) - check individually, familiarization documentation - has the familiarization covered relevant rules, regs, codes & guidelines (6.4) - Masters handing over note - Chief engineer handing over note	
5.	Does the company have any procedures to identify training needs to support the SMS. (6.5)	
6.	Have the ships personnel received relevant information on the SMS in their working language/s (6.6)	
7.	the company should ensure the ships personnel are able to communicate effectively in the execution of their duties. (6.7)	

## 7.0 DEVELOPMENT OF PLANS FOR SHIPBOARD OPERATIONS

1.	Has the company prepared plans and procedures for preparation of plans, instructions including checklist for key ship board operations. (7.0) - check and verify entries for arrival/ departure checklist. - check and verify entries for permit to work/ entry into enclosed space. - verify standing orders or checklist for navigation, change of watch, at anchorage - verify standing orders or checklist for engine room watchkeeping. - verify standing orders/ checklist for cargo operations and checking of lashings. - verify checklist for ship to ship transfer - check/ verify passage plan.	
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	<ul style="list-style-type: none"> <li>- verify cargo stowage plans</li> <li>- verify dangerous goods stowage plan &amp; manifest</li> <li>- verify bunkering checklist</li> </ul>	
	<ul style="list-style-type: none"> <li>- verify record of daily tank soundings</li> <li>- verify record of garbage disposal</li> <li>- verify records of crew work/ rest hours and composition of watch keepers.</li> <li>- verify checklist for preparation of docking</li> <li>- verify records of security watch</li> </ul>	

#### 8.0 EMERGENCY PREPAREDNESS

1.	<p>Does the company SMS procedures on how to respond to potential emergency shipboard situations (8.1)</p> <ul style="list-style-type: none"> <li>- collision</li> <li>- grounding</li> <li>- fire/ explosion</li> <li>- flooding</li> <li>- man overboard</li> <li>- steering gear failure/ power failure</li> <li>- piracy/ terrorism</li> <li>- oil spill</li> <li>- cargo shift</li> <li>- bomb search</li> <li>- passenger evacuation</li> </ul>	
2.	<p>Does the company have a schedule for drill to be carried out, Are the drills being carried out as planned, past drill records to be verified. Are the relevant drills being recorded in the OLB Are the drills being review by the management (8.2)</p>	
3.	<p>The company's organization should be able to respond at any time to an emergency situation, check to see if a table top exercise has been carried out involving office staff (8.3)</p>	

#### 9.0 REPORTS AND ANALYSIS OF NC'S, ACCIDENTS AND NEAR MISSES.

1.	<p>Check that Master is familiar with procedures of reporting non-conformances and near misses (9.1)</p> <p>Verify if Master has been accurately reporting NC's and near misses.</p>	
2.	<p>Verify previous non-conformances/ near misses (if any):</p> <ul style="list-style-type: none"> <li>- have they been closed effectively by the agreed time (9.2)</li> <li>- was the NC investigated and analyzed in order to improve the standards on board (9.1)</li> </ul>	

#### 10.0 MAINTENANCE OF SHIP AND EQUIPMENT

1.	Verify that maintenance inspections are being held at regular intervals (10.2.1)	
2.	Verify that any non-conformity is being reported (10.2.3)	
3.	Verify that corrective actions are being taken in a timely manner(10.2.3)	
4.	Records of all maintenance activities up to date (10.2.4)	
5.	Regular testing and maintenance of stand-by equipment (10.3) should include but not be limited to:	

	<p><b>FFA</b></p> <ul style="list-style-type: none"> <li>-Hoses/ nozzles/ hose box</li> <li>- extinguishers</li> <li>-breathing apparatus</li> <li>-EEBD</li> <li>- fire mans outfits</li> <li>- emergency fire pump</li> <li>-main fire pump</li> <li>- foam applicators</li> <li>- fixed fire extinguishing system</li> <li>- fire detection system</li> <li>- fire flaps/ dampers</li> <li>- fire hydrants</li> </ul> <p><b>LSA</b></p> <ul style="list-style-type: none"> <li>- life boat/ rescue boat inc. davit and falls</li> <li>- boat equipments</li> <li>- boat engine</li> <li>- life raft</li> <li>- life jackets</li> <li>- life buoys</li> <li>- TPA/ Immersion suits</li> <li>- SART</li> <li>- EPIRB (cert for annual testing)</li> <li>- line throwing apparatus</li> <li>-aldis lamp</li> <li>- quick closing valves</li> <li>- remote stopping of ventilators</li> <li>- emergency steering gear system</li> <li>- navigation lights</li> <li>- emergency lighting for deck/ eng. accom. (inc. maintenance of batteries)</li> <li>- lifting appliances</li> <li>- communication, w/h-steering-eng.rm</li> <li>- high level bilge alarm</li> <li>- portable gas detectors</li> <li>- water tight doors</li> <li>- oily water separator</li> <li>- M/E standby systems inc. emer.stop, high temp. low press.</li> </ul>	
6.	<p>Verify entries and contents of the planned maintenance schedule, standby items above should be included for (10.4):</p> <ul style="list-style-type: none"> <li>-Deck Department</li> <li>-Engine Department</li> </ul>	

#### 11.0 DOCUMENTATION

1.	Does the company have procedures to control all documents relevant to the SMS (11.1)	
2.	<p>Check to ensure that:</p> <p>Valid documents are available at all relevant locations (11.2.1)</p> <p>Changes to documents are reviewed and approved by authorized personnel (11.2.2)</p> <p>Obsolete documents are promptly removed (11.2.3)</p>	

3.	Is the company SMS kept in a form that is practical and effective. All documentation relevant to the ship should be carried on board (11.3)	
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## 12.0 COMPANY VERIFICATION, REVIEW AND EVALUATION

1.	Has the company carried out internal safety audits to verify that the safety and pollution prevention activities comply with the SMS (12.1)	
2.	Does the company periodically carry out a management review of the safety management system and timely corrective actions effected (12.2) (12.6) the results of the audits being brought to the attention of all parties involved (12.5)	
3.	Are the audits and corrective actions being carried out according to documented procedures. (12.3)	
4.	The auditor should be independent of the area being audited unless this is impracticable due to the size and nature of the company (12.4)	

## ANNEX 1: DOCUMENTS, PUBLICATIONS, CERTIFICATES and RECORDS TO BE VERIFIED (verify entries where applicable):

TRADING CERTIFICATES		
1. Class		
2. Safety Construction		
3. Load line		
4. Safety equipment		
5. Safety radio		
6. IOPP		
7. ISSC		
8. Tonnage		
9. DOC		
10. Dangerous goods compliance		
11. DSL		
12. Radio station license		
13. Certificate of Registry		
14. Safe manning certificate		
15. Test certificate for lifting appliance		
16. Passenger ship safety cert		
17. Permit to operate HSC		
18. Safety management certificate		
OFFICER'S AND ENGINEERS CERTIFICATES, GMDSS CERTIFICATE AS PER SAFE MANNING, MEDICAL CERTIFICATES		
MUSTER LIST UPDATED AND DISPLAYED		
SOLAS TRAINING MANUAL		
DECK LOG BOOK		
ENGINE LOG BOOK		
OIL RECORD BOOK		
SHIPBOARD OIL POLLUTION AND EMERGENCY MANUAL		
CHARTS AND PUBLICATION		
OFFICIAL LOG BOOK		
APPROVED STABILITY BOOKLET/ DAMAGED & INTACT		
CARGO GEAR CERTIFICATE		

COMPASS ERROR BOOK		
FIRE FIGHTING & APPLIANCE TRAINING MANUAL c/w FIRE SAFETY OPERATIONAL BOOKLET		
APPROVED FIRE PLAN		
FUEL OIL PIPE HIGH PRESSURE JACKET		
IMO NUMBER		
AIS		
SHIP SECURITY ALERT SYSTEM		
ISPS SECURITY MANUAL		
CARGO SECURING MANUAL		
IMDG CODE (if applicable)		
ROUTE OPERATION MANUAL		
CRAFT OPERATION MANUAL		
MANUALS FOR EQUIPMENT FITTED ON BOARD		

AUDITORS REMARKS: