

# No.9 Procedural Requirements for ISM Code Certification

(Rev.0  
July  
2009)

(Rev.1  
Jan  
2010)

## INTRODUCTION

The IACS "Procedural Requirements for ISM Code Certification" reflect, as applicable, ~~the~~ IMO Resolution A.913(22) "Revised Guidelines on the Implementation of the ISM Code by Administrations" and ~~the~~ 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 ~~issuing a Document of Compliance (DOC) the conduct of audits to a Company~~ verify compliance with the requirements of the ISM Code and/or a for the issuance of the corresponding Documents of Compliance (DOCs) and Safety Management Certificates (SMCs) ~~to a ship, when certifying that their Safety Management System (SMS) is in compliance with the requirements of the International Safety Management (ISM) Code including the issuance of short term and interim DOCs and/or SMCs. Criteria are also~~ Also provided for are procedures governing the actions to be taken by Classification Societies when problems deficiencies associated with the ISM Code are identified by Port State Control Officers (PSCOs).

~~The Where a Classification Societies may perform the Society performs verification necessary for issuing either a DOC or a SMC audits on behalf of the a Flag Administration. When that occurs, any certificates will issued must~~ comply with the format required by the Administration.

Resolution A.739(18) "Guidelines for the Authorisation of Recognised Organisations acting on behalf of the Administrations", which was made mandatory by Chapter XI of SOLAS 74 and Resolution A.996(25) "Code for the implementation of Mandatory IMO Instruments 2007" are applicable when Administrations recognise Classification Societies acting on their behalf.

~~The Classification Society having reasons to invalidate a certificate shall immediately notify the Company who requested the certification and, when acting on behalf of the Administration, the Administration. The Company shall be required to immediately notify all ships covered in the relevant SMS that the DOC is invalid.~~

The Classification Societies have agreed that statutory authorisation as a ~~recognised organisation~~ Recognised Organisation (RO) for ISM Code certification services will be held by the Classification Society itself ~~rather than~~ and not by one of its subsidiaries.

~~There may be Where two or more than one Classification Society Societies are involved in the ISM Code certification process, as companies have been given a degree of choice as to which recognized organization is to perform the ISM audits of the Company and their ships.~~

~~When different Classification Societies are involved in ISM Code certification within the same of a single Company, arrangements should be made for appropriate communications between them with regard to 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.

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**1. GENERAL****1.1 Definitions**

1.1.1 "Audit" means a process of systematic and independent examination verification, through the collection of objective evidence, to determine whether the SMS activities and related results comply with planned arrangements and complies with the requirements of the ISM Code and whether these arrangements are the SMS is implemented effectively and are suitable to achieve the Code's objectives.

1.1.2 "Auditor" means a person performing verification of compliance with the requirements of the ISM Code and who fulfils the personal qualification and other pertinent requirements contained is qualified and authorised to carry out ISM audits in accordance with the requirements of PR10.

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 an office that is part of the Company, is under it's the Company's control and covered by the is subject to the same Safety Management System (SMS).

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 Safety Management System (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 and includes or the lack of effective and systematic implementation of a requirement of this the ISM Code. Any one of these situations may be considered a major non-conformity.

**1.2 Scope and Application**

1.2.1 ~~Document establishes basic procedures:~~

(i) ~~for verifying that a SMS complies with the requirements of the ISM Code; and~~

(ii) ~~for the issue of a DOC to a Company and/or a SMC to a ship and the relevant periodical or intermediate verification of compliance with the requirements of the ISM Code.~~

1.2.2 ~~This document is applicable for use by Classification Societies for issuing DOC and/or SMC when requested by the Company, in the voluntary phase of implementation of the ISM~~

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~~Code, as well as when acting on behalf of the Administration during the mandatory implementation of the ISM Code under SOLAS Chapter IX.~~

1.2.1 This document establishes basic procedures for:

- (i) the conduct of interim, initial, periodic 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 is intended for use by Classification Societies when they are acting as Recognised Organisations on behalf of Administrations under the provisions of SOLAS Chapter IX, and when conducting audits for the issue of voluntary ISM Code Certificates.

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

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**2. VERIFYING COMPLIANCE WITH THE ISM CODE****2.1 Responsibilities of ~~RO~~ the Recognised Organisation**

2.1.1 Criteria for verification of compliance with the requirements of the ISM Code shall be in accordance with the applicable sections of ~~the~~ IMO Resolution A.913(22) "Revised Guidelines on the Implementation of the ISM Code by Administrations" and IMO Resolution A.741(18) "International Safety Management (ISM) Code" as amended.

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

- (i) the rules and regulations with which Companies ~~are to ensure compliance~~ 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; ~~and~~
- (v) the assessment of management systems.

2.1.3 A Classification Society performing verification of compliance with the provisions of the ISM Code shall ensure that ~~independence exists between~~ personnel providing ISM-related consultancy services and ~~these 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) ~~meet the relevant~~ comply with the requirements relating to education, training, work experience and ~~verification~~ audit experience specified; ~~and~~
- (iii) ensure that the qualification and experience of auditor(s) ~~is~~ are adequate and appropriate for the size and ~~of~~ complexity of the Company ~~and/or~~ ship to be audited.

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

This system shall ~~comprise~~ provide for:

- (i) theoretical training, covering all the competence requirements specified in PR 10 and the ~~appropriate~~ application of the procedures ~~relevant to~~ governing the certification process; ~~and;~~
- (ii) supervised practical ~~tutored~~ training; ~~and provide documented evidence of satisfactory completion of the above.~~ as specified in PR 10;
- (iii) the creation and maintenance of records of the theoretical and practical training undertaken by each trainee.

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

- (i) ~~contract agreements with companies~~ the establishment of contracts for the provision of ISM certification services;
- (ii) ~~the planning, scheduling and performing verification~~ preparation and conduct of ISM audits;
- (iii) ~~the reporting of ISM audits results from verification;~~
- (iv) ~~the issue of interim and full-term DOCs and SMCs DOC, SMC and Interim DOC and SMC certificates;~~
- (v) ~~the evaluation and follow-up of corrective actions follow-up, including action to be taken in cases of a response to major non-conformity conformities. (Refer to Article 5 of Appendix to IMO Res/A.913(22) and MSC circ.1059/MEPC circ.401).~~

### 2.2 The ability of the SMS to meet safety management objectives

~~2.2.1 Verification of compliance with the ISM Code is designed for the following purposes:~~

- (i) ~~to determine the compliance of the SMS with the specified requirements of the ISM Code; and~~
- (ii) ~~to determine the effectiveness of the implemented SMS in meeting specified 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 ~~examination~~ 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. If the DOC and/or SMC are not issued by the same organisation ~~which that~~ issues the statutory and classification certificates, the Company shall ensure that the auditor has access to those statutory and classification records. ~~A request by the auditing Society to the Society with which the vessel is classed for a copy of the classification and statutory survey status of the vessel is to be accompanied by an authorisation from the Company for release of the information by the classing Society to the auditing Society.~~

~~2.2.3 Implementation within a SMS of codes, guidelines and standards recommended by the International Maritime Organization, Administrations, classification societies and other maritime industry organisations does not make these recommendations mandatory under the ISM Code. Auditors should encourage Companies to adopt these recommendations.~~

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~~2.2.4— Specific arrangements provided by the Company (such as documented procedures and instructions and documentation of verification carried out by senior officers responsible for day to day operations) and objective evidence of its implementation to ensure that the ship and its equipment have been maintained and operated between statutory and classification surveys to conform with mandatory rules and regulations, shall be considered by the auditor.~~

~~2.2.5— The verification of compliance with mandatory rules and regulations neither duplicates nor substitutes surveys for other maritime certificates. The verification of compliance with the ISM Code does not relieve the Company, the master nor any other entity or person involved in the management or operation of the ship of their responsibilities.~~

~~2.2.6~~ 2.2.3 The audit is based upon a sampling process. When no non-conformities have been reported, it should ~~does not mean~~ be assumed that none exists.

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**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 the subsequent 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, to facilitate the review of the auditor's report prior to the issue of the full-term certificate, a DOC with validity not exceeding five (5) months may be issued by the auditor.

~~Reasons for which a DOC shall become invalid include:~~

- ~~(i) — corrective actions are not completed within the agreed schedule;~~
- ~~(ii) — amendments to the ISM Code are not taken into account;~~
- ~~(iii) — there is evidence of an unresolved major non-conformity; and~~
- ~~(iv) — the company does not request the annual verification.~~

~~In this case the Classification Society shall immediately notify the Company and, when acting on behalf of an Administration, the Administration. When the Classification Society is authorised by the Administration to withdraw the DOC, the Classification Society shall give a letter to the Company stating that the DOC is withdrawn from the date of signature of the letter, and request that the DOC be surrendered. A copy of the letter shall be immediately sent by the most expedient means to the Administration. The Company shall be required to immediately notify appropriate ships that the DOC is invalid.~~

~~3.1.1.4 Invalidation of a DOC shall result in the invalidation of the ships' SMCs associated with the DOC.~~

~~3.1.1.5 Where a DOC has been withdrawn, an Interim DOC should not be issued. A new DOC should be issued following an additional verification to the extent and scope of an initial verification being carried out. The new DOC shall have the same expiry date as the DOC withdrawn. The associated SMC's shall be re-issued following an additional verification to the extent and scope of an initial verification being carried out. As a minimum, verification shall be carried out on board one ship of each type operated by the Company.~~

~~3.1.1.6 Where a DOC has been withdrawn by 3.1.1.3(iv), an interim DOC should not be issued. A new DOC shall be issued following an additional verification to the extent and scope of an initial verification being carried out. The new DOC shall have the same expiry date as the DOC withdrawn. The associated SMCs shall be reinstated without any additional verification provided that any of the conditions of 3.1.1.3 were not raised by the additional DOC verification. Where any of the conditions of 3.1.1.3 have been found by an additional DOC verification, the associated SMCs shall be re-issued following an additional certification to the extent and scope of an initial verification being carried out. As a minimum, verification shall be carried out on board one ship of each type operated.~~

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**3.1.2 Safety Management Certificate (SMC)**

3.1.2.1 A SMC shall be issued to a ship following an initial or ~~the subsequent~~ 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 full term DOC (not interim), valid for that type of ship<sup>1</sup>;
- (ii) the maintenance of compliance with the requirements of a Classification Society which meets the requirements of IMO Resolution A.739(18) and A.789(19), as may be amended, or with the national regulatory requirements of an Administration which provide an equivalent level of safety; and
- (iii) the maintenance of valid statutory certificates.

3.1.2.4 On completion of the audit, to facilitate the review of the auditor's report prior to the issue of the full-term certificate, an SMC with validity not exceeding five (5) months may be issued by the auditor.

~~3.1.2.4 Reasons for which a SMC shall become invalid include:~~

- ~~(i) any condition in paragraph 3.1.2.3 is not met;~~
- ~~(ii) corrective actions are not completed within the agreed time schedule;~~
- ~~(iii) amendments to the ISM Code are not taken into account;~~
- ~~(iv) there is evidence of an unresolved major non-conformity; and~~
- ~~(v) the company does not request the intermediate verification for the ship's SMCs associated with the company's DOC.~~

~~In this case the Classification Society shall immediately notify the Company and, when acting on behalf of an Administration, the Administration. When the Classification Society is authorised by the Administration to withdraw the SMC, the Classification Society shall give a letter to the Master of the ship stating that the SMC is withdrawn from the date of signature of the letter, and request that the SMC be surrendered. A copy of the letter shall be immediately sent by the most expedient means to the Administration and to the classification society.~~

~~3.1.2.5 Where an SMC has been withdrawn, an Interim SMC should not be issued. A new SMC should be issued following an additional verification to the extent and scope of an initial verification being carried out on board the ship. Depending on the nature of the major non-conformity of the ship, an additional audit of the Company, with the scope of an annual audit, may need to be carried out prior to issue of the new SMC. The new SMC shall have the same expiry date as the SMC withdrawn.~~

## Footnote:

- ~~1. DOC issued by an Administration or an Organisation recognised by the Administration and applicable to the flag of the ship is recognised as being valid. DOC covering multi-flag fleet needs special consideration.~~
- ~~2. The time of issuing interim DOC/SMC has to be in compliance with decision of MSC.~~

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**3.1.3 Interim DOC and SMC**

3.1.3.1 For a change of flag State or Company, special transitional arrangements are to be made in accordance with these requirements.

3.1.3.2 An Interim DOC may be issued to a Company following a demonstration, at the company's premises, that the Company has a documented SMS which addresses all elements of the ISM Code, and that plans exist for its implementation throughout the organisation and its fleet within the period of validity of the Interim DOC. The progress of such implementation may be reviewed and verified at intervals during the validity of the Interim DOC<sup>2</sup>.

3.1.3.3 An Interim SMC may be issued to new ships on delivery, to ships whose flag is changed and to ships which are new to the Company. In special cases the validity of the Interim SMC may be extended for a further six months.

**3.1.4 Short Term certificates**

3.1.4.1 A short term certificate may be issued at the closing of an ISM Code audit to cover the period until a full term certificate is issued.

3.1.4.2 The short term DOC or SMC may be issued provided no major non-conformities remain and the auditor formally recommends certification of the company.

3.1.4.3 The validity of the short term DOC or SMC, as appropriate, is not to exceed five months from the date of the ISM Code audit.

**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 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 months on board the ship. The objective evidence should also include records of the internal audits performed by the

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Company.**3.2 Initial verification**

3.2.1 ~~The initial verification for issuing a DOC to a Company consists of the following steps:~~

- (i) ~~Document Review (see 3.8)~~
- (ii) ~~Company audit in order to verify the effective functioning of the SMS, including objective evidence that the Company's SMS has been in operation for at least three months, and at least three months on board at least one ship of each type operated by the Company. The objective evidence is to inter alia, include records from the internal audits performed by the Company, ashore and on board, examining and verifying the correctness of the statutory and classification records for at least one ship of each type operated by the Company.~~

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

- (i) ~~verification that the Company DOC is valid and relevant to that type of ship, 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; and~~
- (ii) ~~verification of the effective functioning of the SMS, including objective evidence that the SMS has been in operation for at least three months on board the ship. The objective evidence should also include records from the internal audits performed by the Company.~~

3.2.3 ~~If the Company already has a valid DOC relevant for the flag and ship type(s) issued by another Classification Society or the Administration, that DOC shall be accepted as evidence of compliance with the ISM Code, unless there is evidence indicating otherwise.~~

**3.3 Annual verification of the Document of Compliance**

3.3.1 ~~Annual safety management audits are to~~ shall be carried out to maintain the validity of the DOC. The purpose of these audits is, inter alia, to verify:

- (i) the effective functioning of the SMS;
- (ii) that ~~possible~~ any modifications ~~of~~ made to the SMS comply with the requirements of the ISM Code;
- (iii) that corrective action has been implemented; ~~and~~
- (iv) that statutory and classification certificates are valid; and that no surveys are overdue.

3.3.2 ~~Verification of the~~ The statutory and classification certificates ~~is to be carried out on certification for~~ at least one ship of each type identified on the DOC: shall be verified.

3.3.3 ~~Annual verification is to be carried out within three months before and after the anniversary date of the DOC.~~

**3.4 Intermediate verification of Safety Management Certificates**

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3.4.1 Intermediate safety management audits ~~are to~~ shall be carried out to maintain the validity of the SMC. The purpose of these audits is, inter alia, to verify:

- (i) the effective functioning of the SMS;
- (ii) that ~~possible~~ any modifications ~~of~~ made to the SMS comply with the requirements of the ISM Code;
- (iii) that corrective action has been implemented; ~~and~~
- (iv) that statutory and classification certificates are valid; ~~and~~ that no surveys are overdue.

~~3.4.2 Intermediate verification is to take place between the second and third anniversary date of the SMC.~~

**3.5 — Renewal verification**

~~3.5.1 Document review shall be part of the renewal verification if modifications to the Company and/or shipboard SMS have taken place.~~

~~3.5.2 When a renewal verification is completed within three months of the expiry date of the existing certificate, the new certificate should be valid from the date of completion of the renewal verification for a period not exceeding five years from the date of expiry of the existing certificate.~~

~~3.5.3 When a renewal verification is completed more than three months before the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of the renewal verification for a period not exceeding five years.~~

**3.6 — Safety Management Audits**

~~3.6.1 DOC and/or SMC verification shall be carried out according to the same principles given in paragraphs 3.2.1 and 3.2.2 for the initial verification, including all elements of the SMS and the effectiveness of the SMS in meeting the requirements of the ISM Code.~~

**3.7 — Application for audit**

~~3.7.1 The Company's application for audit to the Classification Society, and the relevant information, must include the size and total number of each ship type covered by the SMS and any other documentation considered necessary.~~

**3.8 — Preliminary Review (Document Review)**

~~3.8.1 In order to verify that the SMS and any relevant documentation comply with the requirements of the ISM Code, the auditor is to review the safety management manual. If this review reveals that the system is not adequate, the audit may have to be delayed until the company undertakes corrective action. Amendments made to the system documentation to correct deficiencies identified during this review may be verified remotely or during the subsequent implementation audit described in 3.2.1.~~

**3.95 Preparing the audit**

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

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3.95.2 The audit plan ~~is to~~ should 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 ~~is to~~ shall be communicated to all the company and those involved in the audit.

The audit plan shall include:

- (i) identification of the individuals or organizational units having significant direct responsibilities ~~regarding~~ within the SMS;
- (ii) identification of the auditor(s);
- (iii) the language of the audit;
- (iv) the date and place where the audit is to be conducted; ~~and~~
- (v) the schedule of meetings to be held with Company's management.

3.95.3 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.

### **3.406 Executing the audit**

3.6.1 DOC and SMC intermediate, annual and renewal audits shall be carried out according to the principles specified in paragraphs 3.2.1 and 3.2.2 for initial verification, including the effectiveness of the SMS in meeting the requirements of the ISM Code.

~~3.40.4~~ 3.6.2 The audit ~~is to start~~ shall begin with an opening meeting, the purpose of which is to:

- (i) introduce the auditor(s) to the Company's ~~and/or ship's~~ 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 ~~line~~ links between the auditor(s) and the Company ~~and/or the ship~~ shipboard personnel;
- (v) confirm that the resources, documentation and facilities needed to perform the audit are available; ~~and~~
- (vi) confirm the time and date of the closing meeting and any possible interim meetings.

~~3.40.26.3~~ Working documents ~~may be used~~ to facilitate the audit and to document the results, ~~which~~ may include:

- (i) checklists used for evaluating SMS elements, and
- (ii) forms for reporting observations and documenting supporting evidence.

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

~~3.10.3 The auditor(s) is to review the SMS on the basis of the documentation presented by the Company and objective evidence of its effective implementation, which shall be collected through interviews and examination of documents. Observation of activities and conditions may also be included when necessary to determine the effectiveness of the SMS in meeting the specific standards of safety and protection of the environment required by the ISM Code.~~

3.6.4 Consideration should 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. Further visits may be necessary to complete the audit.

3.6.5 The auditor should 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.

~~3.10.4~~ 3.6.7 Annual and renewal audits of the company may include a review of non-conformities reported in relation to ~~previously conducted company~~ previous internal and ship external Company and shipboard audits. The auditor ~~may~~ should select a sample of the reported non-conformities and audit the company's investigation, analysis, and resolution of the non-conformities in accordance with the requirements of sections 9 and 12 of the Code.

~~3.10.5~~ 6.8 When auditing a Company managing ships classed by another society, or for which the Administration or another society performs the statutory surveys, the auditor shall, at the beginning of the audit, 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 ~~are to~~ shall be made available at the Company's office (refer to 2.2.2).

~~3.10.6~~ 9 When auditing a ship that is classed by another society or which the Administration or another RO have performed statutory surveys or has issued the DOC to the Company, the auditor shall, at the beginning of the audit, review the statutory and classification survey records which should be made available onboard (refer to 2.2.2).

~~3.6.10~~ 7 The auditor is entitled to acquire ~~the~~ the information ~~he needs~~ he needs from the other societies or, ~~if relevant~~ the Administration, in order to check the veracity of the information presented to ~~him~~ the auditor by the Company (refer to 2.2.2).

~~3.10.8~~ 6.11 Audit findings ~~are to~~ 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.

~~3.10.9~~ 6.12 At the end of the audit, prior to preparing the audit report, the auditor(s) ~~is to~~ 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's and/or ship's~~ Company or shipboard management, in such a manner ~~so as to ensure~~ that they clearly understand the results of the audit.

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**3.117 Audit report**

3.117.1 The audit report ~~is to 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, reflecting the content of the audit, ~~and is to should~~ include the following items, ~~as applicable~~:

- (i) the date of completion of the audit ~~and submission of the audit report~~;
- (ii) the scope and objectives of the audit;
- (iii) auditor(s), Company's representatives; ~~and~~
- (iv) all major non-conformities, non-conformities, and observations.

3.117.2 The audit report ~~is to be submitted shall be made available~~ to the Company, ~~which should be advised to provide the or ship with a copy of the relevant shipboard audit report as applicable~~.

3.117.3 The Company ~~is to should~~ maintain audit report reports and records of all audits performed both ashore and ~~aboard ship on board its ships~~ (refer to 2.2.2).

**3.128 Corrective Action Follow-up**

3.128.1 The non-conformity report (NCR) ~~is to should~~ state clearly ~~state the fact the act or situation~~ identified as non-compliant with ~~a requirement of~~ the Company's SMS or the ISM Code.

3.128.2 The content of the non-conformity report ~~is to shall~~ be complete and concise, and written in such a manner as to be easily understood ~~by a second party reviewing the non-conformity report~~. Clarity should not be sacrificed for the sake of brevity.

3.128.3 ~~Whenever possible~~ When writing NCRs auditors ~~are to endeavour to write NCRs in should, whenever possible, include a reference to a the applicable~~ requirement of the Company's SMS, and when necessary for the sake of clarity, restate the requirement.

3.128.4 ~~Non-conformities are to be classified against the pertinent requirement~~ NCRs shall include a reference to the relevant clause or sub-clause of the ISM Code.

3.128.5 A DOC or SMC ~~is not to may~~ be issued, endorsed or renewed ~~if a major non-conformity exists. Immediate corrective action is at least necessary to downgrade 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 major non-conformity to a non-conformity and shall be such as to remove the serious threat to personnel or ship or a serious risk to the environment. A major non-conformity, which is raised on a ship, shall be downgraded before the ship sails. If a non-conformity remains after downgrading, a schedule not exceeding three months is to be agreed for completion implementation of the necessary corrective actions. At least one additional audit shall be carried out within the time frame indicated in the agreed corrective action plan to verify effective actions are taken.~~

3.12.6 ~~A DOC or SMC may be issued, endorsed or renewed before other non-conformities have been closed out, provided that a schedule has been agreed between the Company and auditor(s) for completion of necessary corrective actions. The Company is responsible to apply for any follow-up audit required by the auditor.~~

## No.9 (cont)

~~3.8.6 3.12.7~~—Additional ~~verification~~ audit(s) may be necessary to confirm the validity of a DOC and/or SMC depending on the nature of ~~any modifications or non-conformities identified to the Company and/or shipboard SMS. The Company shall be requested to immediately notify the Classification Society when modifications to the Company and/or shipboard SMS are introduced. The Company is responsible for applying for any follow-up audit required by the auditor.~~

~~3.12.8.7~~ The Company is responsible for ~~determining~~ formulating and implementing corrective ~~action~~ actions for the non-conformities identified by the auditor(s). ~~Prior to implementation, a~~ A corrective action plan ~~is to~~ shall be submitted to the auditor within an agreed time period. ~~A schedule not exceeding three months is to be~~ The proposals will be accepted if, as written, they appear to be an appropriate response to the non-conformities identified. A schedule not exceeding three months from the date of completion of the audit shall be agreed for the implementation of the necessary corrective actions. Verification of the The effectiveness of the corrective actions shall be ~~done~~ verified not later than the next scheduled ~~coming due~~ (annual, intermediate or renewal).

~~3.12.98.8~~ The review of ~~Company non-conformity resolution and verification activities performed in accordance with 3.10.4 may be used to verify corrective actions in relation 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.

### **3.439 Company responsibilities pertaining to safety management audits**

~~3.439.1~~ 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.

~~3.439.2~~ The Company is responsible for:

- (i) ~~informing relevant employees or organizational units about the objectives and a 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 ~~permit~~ ensure that the audit objectives ~~being~~ are achieved;
- (vi) ~~assigning internal audit teams such that persons in the same department ashore or persons onboard the same ship cannot audit their respective departments or ships; and 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. conducting annual audits ashore and on board.

**No.9**

(cont)

**~~3.14 — Responsibilities of the organization performing the ISM Code certification~~**

~~3.14.1 The Classification Society performing the ISM Code certification is responsible for ensuring that the certification process is performed according to these and relevant flag state requirements. This includes management control of all aspects of the certification according to paragraphs 2.1.2 to 2.1.6 of this document.~~

**3.4510 Responsibilities of the verification audit team**

3.4510.1 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 ~~as and when appropriate~~ necessary;
- (v) clearly communicating and clarifying the non-conformities and observations to the Company and/or the ship shipboard management immediately;
- ~~(vi) communicating any observations;~~
- (vii) reporting the full audit results clearly, conclusively and without undue delay;
- (viii) submitting making the audit report available to the Company or shipboard management; and
- ~~(ixviii) verifying the effectiveness of corrective actions taken by the Company.~~

3.4510.2 ~~Personnel participating shall ensure confidentiality of documents~~ Documents and information pertaining to the certification ~~and treating privileged information with discretion shall be treated in confidence.~~

3.4510.3 An ISM auditor identifying a technical deficiency deemed to present a serious threat to safety or ~~harm to the environment~~ or that requires attention by class or the flag administration shall:

- (i) establish if the company has taken appropriate action to correct the technical deficiency. In every case the auditor shall ~~ensure~~ establish that such technical deficiencies ~~are dealt with by~~ have been reported to the responsible Class Society, ~~and or flag administration;~~
- (ii) establish whether the technical deficiency constitutes or is symptomatic of a major non-conformity within the SMS and, if so, follow the requirements of section 3.42 11, ~~and 3.1.2.4 if applicable.~~

~~3.15.4 When there is evidence of an unresolved major non-conformity the auditor shall act as prescribed under 3.1.2.4, advising Port State authority as appropriate.~~

**No.9**

(cont)

**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 months should be agreed for completion of the necessary corrective actions.

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

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 flag administrations.

3.11.6 A DOC or SMC cannot be issued, endorsed or renewed if a major non-conformity exists.

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

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 should 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 should 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 should 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 should have the same expiry date as the withdrawn certificate.

**COMPANY BRANCH OFFICE VERIFICATION****1 General**

4.1(i) Where a Company assigns SMS responsibilities to Branch Offices, the verification shall include a representative sample of those offices, ~~such that the~~. The sample includes selected offices sufficient to ensure that all appropriate offices necessary to cover each requirement element of the SMS and all requirements of the ISM Code can be assessed.

4.2(ii) The audit of each branch office shall address each requirement of the ISM Code relevant to that office.

4.3(iii) The Company shall have performed internal audits of all branch offices and relevant records shall be made available to the auditors.

4.4(iv) Where the Company assigns SMS responsibilities to Branch Offices, the list of Branch Offices shall be indicated in ~~the DOC as an attachment to the DOC.~~

**2 Initial DOC verification audit**

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

- (i) ~~a.~~ two if the total number of Branch Offices is two or three;
- (ii) ~~b.~~ three if the total number of Branch Offices is from four to six; and
- (iii) ~~c.~~ to be agreed ~~on a case by case basis~~ if the total number of Branch Offices is more than six.

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

- (i) ~~a.~~ two if the total number of Branch Offices performing the same activities is two or three;
- (ii) ~~b.~~ three if the total number of Branch Offices performing the same activities is from four to six; and
- (iii) ~~c.~~ to be agreed ~~on a case by case basis~~ if the total number of Branch Offices performing the same activities is more than six.

2.3) Notwithstanding the above, if a Company nominates an office as its head office then it ~~will always~~ must be audited as part of the initial verification.

**3 Periodical Annual DOC verification audit**

3.1) ~~Periodical verification~~ 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.

**No.9**  
(cont)

3-2) 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 at the next ~~periodical~~ scheduled verification. The additional Branch Office shall be included in the DOC<sub>7</sub> when the DOC is endorsed.

## Annex 2

## No.9

(cont)

**COMMUNICATIONS WITH FLAG STATES AND BETWEEN  
CLASSIFICATION SOCIETIES**

1-) To ensure that the requirements of SOLAS Chapter I Regulation 6(d), SOLAS Chapter IX, IMO Resolution A.913(22) and Resolution A.741(18) as amended are fulfilled, the following communication procedures must be followed when a DOC ~~and/or~~ SMC become invalid according to paragraph 3.1-1.3 and/or 3.1-

2) A Classification Society that identified a major non-conformity during the SMC audit shall notify the body that issued the DOC. In cases where one or more of these RO(s) is not identifiable, the flag Administration shall be requested to forward the relevant information to the respective RO(s).

~~2.3) The Classification Society~~ When a certificate is invalidated, the issuing society ~~identifying the reasons for invalidation of certification~~ shall 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. ~~This communication is also to be copied to the other relevant ROs (i.e. if a DOC is invalidated, the ROs issuing the SMCs under that DOC are to be informed; if a SMC is invalidated the RO issuing the DOC is to be informed).~~ In cases where one or more of these ROs is not identifiable, the flag Administration is to be requested to forward a copy to the relevant RO(s).

~~4.3.)~~ The communication ~~is to~~ shall be limited to the identity of the ship, the Company, the substance of the major non-conformity and the date of audit.

~~4. The Classification Society identifying a major non-conformity during the SMC audit which was downgraded shall notify the RO or flag Administration issuing the DOC. In cases where one or more of these RO(s) is not identifiable, the flag Administration is to be requested to forward relevant information to the respective RO(s).~~

## Annex 3

## No.9

(cont)

## PORT STATE CONTROL

- 1-) When attending a ~~vessel~~ ship as a result of a Port State Control action, the Classification Society that issued the SMC ~~is to~~ shall consider the objective evidence presented by the PSCO. ~~In cases where~~
- 2) ~~Where the auditor concludes that there is~~ considers that the evidence indicates the presence of a major non-conformity, the auditor is to notify major non-conformity shall be documented in the usual way, the company shall be notified immediately and request corrective action. When requested by the company or Flag Administration, the auditor is to perform an 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.
2. ~~If the major non-conformity is not downgraded to a non-conformity, the auditor is to issue a major non-conformity and proceed in the same manner as when a major non-conformity is identified during a routine audit.~~
- 3.4) In cases where the PSCO alleges that there is evidence of a major non-conformity, and the auditor of the SMC-issuing Classification Society 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.
- 4.5) If the auditor of the SMC-issuing Classification Society disagrees with the actions taken by the PSCO, the auditor is to document provide the PSCO with a written explanation of the disagreement to the PSCO and inform the flag State.

## Annex 4

**No.9**

(cont)

**SHIP TYPES ON ISM CERTIFICATION CERTIFICATES****1 Determination of ship types to be listed on DOCs and SMCs**

1.1) The ship types listed on DOCs and SMCs ~~are to~~ shall be consistent with the specific ship types defined in SOLAS and on pertinent SOLAS documentation aboard ship.

1.2) The ship types listed on DOCs and SMCs ~~are to~~ shall be consistent with the service in which the ship operates. Some ships are designed for use in multiple services (for example OBOs). The ship types listed on the DOC and SMC ~~are to accurately~~ must reflect the service(s) in which the ship is ~~actively~~ actually trading, and fit to serve.

1.3) In the event that a multipurpose ship is voluntarily operated in only one of the services for which it is designed, then the DOC and SMC ~~may~~ should list only ~~that the~~ the ship type ~~which the corresponding to that service. When a ship is being operated as. In the event that the ship is to change operation transferred~~ to another service for which it is designed, an interim DOC and SMC, identifying the ship type appropriate to the new service may be issued ~~to allow the vessel to operate until the SMS adequately addresses the new service. The ship may then operate for up to six months while the SMS is changed as necessary, and documentary evidence of a full three months of operation under the procedures specific to the ship type are implemented.~~ Subsequent to satisfactory verification of the ship's operation under a fully functional SMS for the additional ship type, the DOC and SMC may be reissued listing the pertinent ship types.

**2 Retention of ship types on DOCs**

2.1) The auditor ~~is to~~ shall determine at each annual 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 is to document an observation, and formally (documented) request the Company to inform the issuing Classification Society should it not operate the identified ship type for a period exceeding one year. Upon receipt of this advice, the DOC shall be re-issued, no longer listing the ship type that is no longer operated.

**3 ~~Other Cargo Ships~~**

3.1 ~~— The ship types listed on DOCs and SMC are to be consistent with the specific ship type(s) defined in SOLAS and on pertinent SOLAS documentation aboard ship, and the service(s) in which the ship is operating.~~

3.2 ~~— The SMS of a ship which is an "other cargo ship" (SOLAS IX/2.1.3) is to adequately address the specific service, operation and shipboard procedures pertinent to the particular ship.~~

## Annex 5

No.9

(cont)

## COMPANY CERTIFICATION SCENARIOS

	Scenario	Type of Audit	Minimum Scope of Audit	Carried Out by:	Certificate Issued
1	New Change of Company name and/or address	Interim Verification Audit on site	<ul style="list-style-type: none"> <li>- Verification of the requirements of PR-9 sec. 3.1.3.2. - Verify that Company organisation and responsibilities remain essentially unchanged.</li> <li>- Ensure that necessary changes have been made to SMS documentation.</li> <li>- Verify that changes have been reported to flag(s) to update the CSR for each vessel.</li> </ul>	Auditor	Interim Reissue DOC with new name. (expiry date as previous certificate)
2	Change of Company name to RO from a Classification Society not holding a QSCS certificate	Verification on-site Initial Audit	<ul style="list-style-type: none"> <li>- Verify Company organisation and responsibilities essentially unchanged.</li> <li>- Ensure necessary changes made to SMS.</li> <li>- Audit to address all elements of the ISM Code.</li> <li>- All corrective action to be verified and previous NCNs to be closed out by the gaining society.</li> </ul>	Auditor	Reissue Full Term DOC with new name. (expiry valid 5 years from date as previous cert.) of audit.
3	Change of Company address Additional ship type on DOC	Verification Interim Audit on site	<ul style="list-style-type: none"> <li>- Verify changes at next annual audit.</li> <li>- Review changes to SMS to accommodate new ship type.</li> <li>- Review plans to implement changes (minimum of 1 ship required).</li> </ul>	Auditor	Reissue DOC with new address. (expiry date as previous cert.) Interim DOC for new ship type.
4	Change to RO from a Classification Society holding a QSCS certificate Change from Interim DOC to full DOC in Scenario 3	Additional audit Audit on site. (or next PVA or renewal audit)	<ul style="list-style-type: none"> <li>- Based on review of previous Company and shipboard audits.</li> <li>- Review plans to implement changes. (minimum of 1 ship required)</li> <li>- Verify additional requirements for ship type have been implemented.</li> <li>- Review results of internal audit.</li> </ul>	Auditor	Reissue DOC (expiry date as previous cert. unless renewal) for existing ship type)
5	Change Minor change to SMS RO from a Classification Society not holding a QSCS certificate	Initial Audit Verify at next audit	<ul style="list-style-type: none"> <li>- Audit to address all elements of the ISM Code.</li> <li>- All previous NCN's to be verified and closed out during the audit by the gaining society (PR 18).</li> <li>- Assess potential impact on SMS when advised and decide whether visit is required.</li> </ul>	Auditor	Full Term DOC valid 5 years from date of audit. No action
6	Additional ship type on DOC Major change to SMS	Interim Verification Verify on site	<ul style="list-style-type: none"> <li>- Review Verify changes to SMS to accommodate are appropriate and adequate for new ship type.</li> <li>- Review plans to implement changes. (minimum of 1 ship required) circumstances.</li> </ul>	Auditor	Interim DOC for new ship type. No action
6A7	Change from Interim DOC to full DOC in Scenario 6 Additional Flag	Additional Verification on-site No action	<ul style="list-style-type: none"> <li>- Verify additional requirements ship type implemented.</li> <li>- Review results of internal audit.</li> </ul>	Auditor	If accepted by Flag, issue DOC (expiry date as existing ship type) other Flags)
7	Minor change to SMS	Verify at next audit	<ul style="list-style-type: none"> <li>- Assess impact on SMS when advised.</li> <li>- Visit may be required.</li> </ul>		No action
8	Major change to SMS	Verify on site.	<ul style="list-style-type: none"> <li>- Verify changes are appropriate and adequate for new circumstances.</li> </ul>	Auditor	No action

# No.9

(cont)

<b>9</b>	Additional Flag WITHOUT Additional requirements	No action			If accepted by Flag, issue DOC (expiry date as other Flags)
<b>10</b>	Additional Flag WITH additional requirements	Verification on-site	<ul style="list-style-type: none"> <li>-Review changes to SMS to accommodate additional requirements.</li> <li>-Review plans to implement requirements on applicable ship.</li> </ul>	Auditor	Issue Interim DOC for new Flag
<b>10A</b>	Change from Interim DOC to full DOC in Scenario 10	Additional Verification on-site	<ul style="list-style-type: none"> <li>-Verify additional Flag requirements are implemented.</li> <li>-Review results of internal audit</li> </ul>	Auditor	DOC (expiry date as existing Flag State)

Note: The above shall apply in the absence of any special instructions to the contrary from the Flag Administration.

## Annex 6

## SHIP CERTIFICATION SCENARIOS

	Scenario	Type of Audit	Minimum Scope of Audit	Carried Out By:	Certificate Issued
1	New Ship upon delivery <u>Change of Name</u>	Interim Verification on board	<ul style="list-style-type: none"> <li>- Verification of the requirements of ISM</li> <li>- Code sec 14.4 with the ship manned in accordance with Safe Manning Certificate.</li> <li>- Evidence of Owners information to Flag.</li> <li>- <u>Verify correct name on all Certificates and Documents.</u></li> </ul> <p>Note: Must be amended by issuing RO or by special arrangement.</p>	Auditor or Surveyor	Interim Change name on existing SMC and subsequently <u>issue new certificate</u>
2	Change of Name-Flag	Verification on board	<ul style="list-style-type: none"> <li>- <u>Verify correct name on all Certificates and Documents.</u></li> </ul> <p>Note: Must be amended by issuing RO or _____ by special arrangement.</p> <ul style="list-style-type: none"> <li>- <u>Valid DOC for new Flag sighted.</u></li> <li>- <u>Evidence of Owners information to new Flag sighted.</u></li> <li>- <u>Valid statutory certificates, safe manning certificate and Flag endorsement.</u></li> <li>- <u>Verification of crew certification compliance with Flag requirements.</u></li> <li>- <u>Masters awareness of, and availability of any relevant Flag Regulations.</u></li> </ul>	Issuing Classification Society Auditor or Surveyor	Change name on existing SMC and subsequently <u>issue new certificate Issue new SMC. (expiry date as previous certificate)</u>
3	Change to a Flag WITHOUT additional requirements <u>Change of IMO ship type with new shipboard operations</u>	Verification Interim audit on board	<ul style="list-style-type: none"> <li>- <u>Valid DOC _____ Review documentation and plans for new Flag sighted.</u></li> <li>- <u>Evidence implementation of Owners information procedures relating to operation of new ship type.</u></li> <li>- <u>Flag sighted.</u></li> <li>- <u>Valid Check valid statutory certificates safe manning certificate and Flag endorsement.</u></li> <li>- <u>Crew to comply-complying with STCW and new Flag requirements.</u></li> </ul>	Issuing Classification Society Auditor or Surveyor	Issue new Interim SMC- (expiry date as previous certificate)
4	Change to a Flag WITH additional requirements <u>Adding IMO ship Type (e.g. from bulk carrier to OBO)</u>	Interim Verification audit on board	<ul style="list-style-type: none"> <li>- <u>Valid DOC _____ Review documentation and plans for new Flag sighted.</u></li> <li>- <u>Evidence implementation of Owners information procedures relating to operation of new ship type.</u></li> <li>- <u>Flag sighted.</u></li> <li>- <u>Valid-Check valid statutory certificates, safe manning certificate and Flag endorsement.</u></li> <li>- <u>Crew to comply with STCW and new Flag requirements and relevant Flag</u></li> </ul>	Auditor	Interim SMC (in addition to existing SMC)

# No.9

(cont)

	Scenario	Type of Audit	Minimum Scope of Audit	Carried Out By:	Certificate Issued
			<ul style="list-style-type: none"> <li>-endorsement.</li> <li>-Master awareness of, and availability of</li> <li>-and any relevant Flag Regulation crew's qualifications.</li> </ul>		
<b>4A5</b>	Change from Interim SMC to full SMC in Scenario 4 Change to RO from a Classification Society not holding a QSCS certificate	Additional Verification on-board <u>Initial audit</u>	<ul style="list-style-type: none"> <li>-Check additional Flag requirements are implemented.</li> <li>- <u>Audit to address all elements of ISM Code.</u></li> </ul>	Auditor	Issue SMC (expiry date as previous Full term SMC) (maximum 5 years from date of audit)
<b>56</b>	Change of Company IMO ship Type, dual to single (e.g. OBO to oil tanker)	Interim Verification Audit on board	<ul style="list-style-type: none"> <li>-Verification of the requirements of ISM</li> <li>-Code sec. 14.4 with vessel manned in accordance with safe manning Certificate.</li> <li>-Evidence of Owners information to Flag</li> <li>-sighted.</li> <li>- 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).</li> </ul>	Auditor or surveyor	Interim Amend SMC to reflect new ship type and subsequently issue new certificate (same expiry date)
<b>67</b>	Change of Owner from Non Convention to Convention	No action required <u>Interim audit on Board</u>	<ul style="list-style-type: none"> <li>- Verification of requirements of ISM Code sec.14.4 with vessel manned in accordance with Safe Manning Certificate.</li> <li>- Check valid statutory certificates.</li> <li>- Evidence of Owners information to Flag.</li> <li>- to be verified at next visit.</li> </ul>	- Auditor	No action required <u>Interim SMC</u>
<b>78</b>	Change of IMO ship type Ship more than 6 months out of service	Interim Verification on-board <u>verification</u>	<ul style="list-style-type: none"> <li>- Review documentation and plans for implementation of procedures relating to</li> <li>-operation of new ship type.</li> <li>-Check valid statutory certificates comply</li> <li>-with STCW.</li> <li>- <u>Interim verification.</u></li> </ul>	Auditor	Issue Interim SMC
<b>8</b>	Adding IMO ship Type (e.g. OBO in Bulk)	Interim Verification on-board	<ul style="list-style-type: none"> <li>-Review documentation and plans for implementation of procedures relating to</li> <li>-operation of new ship type.</li> <li>-Check valid statutory certificates and crew's qualification.</li> </ul>	Auditor	Interim SMC (in addition to existing SMC)
<b>9</b>	Change to RO from a Classification Society not holding a QSCS certificate <u>Intermediate audits requested after the end of the audit time window</u>	<u>Initial Intermediate Audit</u>	<ul style="list-style-type: none"> <li>-Audit to address all elements of ISM Code.</li> <li>- Scope extended to that of initial</li> <li>- Major NC raised that may be downgraded based on completion of <u>audit</u></li> <li>- Additional audit within 3 months <u>required</u></li> </ul>	Auditor	Issue The <u>reinstated SMC</u> (maximum 5 years from date of audit) <u>to be endorsed as "Validity reinstated with scope as initial"</u>

# No.9

(cont)

	Scenario	Type of Audit	Minimum Scope of Audit	Carried Out By:	Certificate Issued
10	Change to RO from a Classification Society holding a QSCS certificate	Additional audit on board	<ul style="list-style-type: none"> <li>-Review of previous lost society's shipboard audit reports. All previous</li> <li>-NCN's to be closed out.</li> </ul>	Auditor	SMC (same expiry date)
11	Change of IMO ship Type, dual to single (e.g. OBO to oil tanker)	Verification on-board	<ul style="list-style-type: none"> <li>-Evidence of surrender of SOLAS or MARPOL related certificates for the original ship type. (e.g. surrender of IOPP</li> <li>-Supp B when going from OBO to bulk on</li> <li>-permanent basis).</li> </ul>	Surveyor	Amend SMC to reflect new ship type and subsequently issue new certificate (same expiry date)
12	Change from Non Convention to Convention	Interim Verification on Board	<ul style="list-style-type: none"> <li>-Verification of requirements of ISM Code</li> <li>-sec. 14.4 with vessel manned in accordance with Safe Manning Certificate.</li> <li>-Check valid statutory certificates.</li> <li>-Evidence of Owners information to Flag.</li> </ul>	Auditor	Interim SMC
13	Change from Non Convention (voluntary certificate) to Convention	Additional Audit on board	<ul style="list-style-type: none"> <li>-Check differences between national and</li> <li>-International requirements are implemented.</li> </ul>	Auditor	SMC with same expiry Date
14	Ship more than 3 Months out of service	Additional audit on board (Re-activation audit)	<ul style="list-style-type: none"> <li>-Renewal or Intermediate audit if due or</li> <li>-within the window of such an audit,</li> <li>-OR</li> <li>-Interim audit with requirement to comply</li> <li>-with ISM Code sec. 3, 4, 5, 6 and 10.</li> </ul>	Auditor	Existing SMC to be endorsed
15	Ship more than 12 Months out of service	Interim Verification on-board	<ul style="list-style-type: none"> <li>-Verification of the requirements of ISM</li> <li>-Code sec. 14.4 with the ship manned in</li> <li>-accordance with Safe Manning Certificate.</li> <li>-Evidence of Owners information to Flag.</li> </ul>	Auditor	Interim SMC

Note: The above shall apply in the absence of any special instructions to the contrary from the Flag Administration.

**No.9**  
(cont)

**Annex 7**

**Notification of Invalidation of ISM Certification**

- Document of Compliance  
 Safety Management Certificate (Tick as appropriate)

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) <input type="checkbox"/> Intermediate (ship) <input type="checkbox"/> Additional <input type="checkbox"/> Renewal <input type="checkbox"/> (Tick as appropriate)	

REASON FOR INVALIDATION OF CERTIFICATION (tick as appropriate): <input type="checkbox"/> Periodical verification audit not requested <input type="checkbox"/> Corrective action not completed within agreed schedule <input type="checkbox"/> Unresolved major non-conformity (copy attached) <input type="checkbox"/> Amendments to the ISM Code are not taken into account <input type="checkbox"/> Transfer of Certification of Management System (TCMS, PR 18) Other reason (please Specify): _____ _____ _____		
Name: _____	Position: _____	Society: _____
Signature: _____	Date: _____	
Receipt by company representative: Name: _____ Position: _____ Signature: _____ Date: _____		

Distribution:

- ~~Original to To~~ company
- ~~Copy to Master (SMC)~~
- Copy to Administration
- Copy to Port State Authority (if appropriate)
- ~~Copy/Copies to issuing organization~~
- ~~Copy (copies) to RO (ROs) responsible for issue of SMC(s) (office audit)~~
- Copy to RO responsible for issue of DOC (ship audit)
- Copy to classification society (ship audit)

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Annex 8**No.9**

(cont)

**VERIFICATION OF COMPLIANCE WITH FLAG ADMINISTRATION REQUIREMENTS**

- 1) Unless otherwise instructed by the administration, auditors will verify compliance with particular flag state requirements by sampling in the same way that compliance with other mandatory requirements is verified.
- 2) The same approach will be adopted when a ship changes flag. Compliance with any special requirements that are imposed by the new flag will be verified by sample at the next scheduled audit. An audit for the issue of an interim certificate in relation to any additional flag state requirements, followed by verification of full implementation, will be carried out only when specifically requested by the administration concerned.
- 3) Where flag administrations require routine verification of compliance with specific flag state requirements at every scheduled audit, either on board or ashore, the classification societies will make an estimation of, and reach agreement on, the additional time that will need to be added to the usual audit duration. The flag will then be informed of the outcome and the fact that the audit duration will be increased accordingly.

End of Document
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