

No.9 Procedural Requirements for ISM Code Certification

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INTRODUCTION

The IACS "Procedural Requirements for ISM Code Certification" reflect, as applicable, IMO Resolution A.1022(26) "Revised Guidelines on the Implementation of the 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 Classification Society performs verification audits on behalf of a Flag Administration, any certificates 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 Societies have agreed that statutory authorisation as a Recognised Organisation (RO) for ISM Code certification services will be held by the Classification Society itself and not by one of its subsidiaries.

Where two or more Classification Societies are involved in the ISM Code certification of a single Company, arrangements should 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.

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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 SMS is implemented effectively to achieve the Code's objectives.

1.1.2 "Auditor" means a person who 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 the Company's control and 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 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, 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 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 IMO Resolution A.1022(26) "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 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 Classification Society 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 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 perform verification of compliance with the ISM Code.

This system shall provide for:

- (i) theoretical training covering all the competence requirements specified in PR 10 and the application of the procedures governing the certification process;
- (ii) supervised practical training as specified in PR 10;
- (iii) the creation and maintenance of records of the theoretical and practical training undertaken by each trainee.

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 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 issue of interim and full-term DOCs and 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.1022(26) 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. If the DOC or SMC are not issued by the same organisation that issues the statutory and classification certificates, the Company shall ensure that the auditor has access to those statutory and classification records.

2.2.3 The audit is based upon a sampling process. Where no non-conformities have been reported, it should not 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 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.

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 full term 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 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.

3.2 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

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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 Company.

3.3 Annual verification of the Document of Compliance

3.3.1 Annual safety management audits 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 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 of Safety Management Certificates

3.4.1 Intermediate safety management audits 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 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 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 shall be communicated to all those involved in the audit.

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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);
- (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.

3.6 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.

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

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.

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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.

3.6.7 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 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.

3.6.8 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 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 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 The auditor is entitled to acquire information from other societies 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 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.

3.6.12 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 should include the following items:

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

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

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3.7.3 The Company should 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) should 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 should not be sacrificed for the sake of brevity.

3.8.3 When writing NCRs auditors should, 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 the non-conformities identified by the auditor(s). A corrective action plan shall be submitted to the auditor within an agreed time period. 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 corrective actions. The effectiveness of the corrective actions shall be verified not later than the next scheduled audit (annual, intermediate or renewal).

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.

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;

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- (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 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 establish that such technical deficiencies have been reported to the responsible Class Society or flag 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 months should be agreed for completion of the necessary corrective actions.

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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.

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(cont)**Annex 1****COMPANY BRANCH OFFICE VERIFICATION****1 General**

- (i) 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.
- (ii) The audit of each branch office shall address each requirement of the ISM Code relevant to that office.
- (iii) The Company shall have performed internal audits of all branch offices and relevant records shall be made available to the auditors.
- (iv) 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.

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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 scheduled verification. The additional Branch Office shall be included in the DOC when the DOC is endorsed.

Annex 2**No.9**

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**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.1022(26) 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) 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).
- 3) When a certificate is invalidated, the issuing society 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.
- 4) 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.

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PORT STATE CONTROL

- 1) When attending a ship as a result of a Port State Control action, the Classification Society 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 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.
- 5) If the auditor of the SMC-issuing Classification Society 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

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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 specific ship types defined in SOLAS and on pertinent SOLAS documentation aboard ship.
- 2) The ship types listed on DOCs and SMCs 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 must reflect the service(s) in which the ship is actually trading and fit to serve.
- 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 should list only the ship type corresponding to that service. When a ship is 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. 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

- 1) The auditor 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.

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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	Audit 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 flag(s) to update the CSR for each vessel.	Auditor	Reissue DOC with new name. (expiry date as previous certificate)
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	Full Term DOC valid 5 years from date of audit.
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 full 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	No action			If accepted by Flag, issue DOC (expiry date as other Flags)

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

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Annex 6

SHIP CERTIFICATION SCENARIOS

	Scenario	Type of Audit	Minimum Scope of Audit	Carried Out By:	Certificate Issued
1	Change of Name	Verification on board	- Verify correct name on all Certificates and Documents. Note: Must be amended by issuing RO or by special arrangement.	Auditor or Surveyor	Change name on existing SMC and subsequently issue new certificate
2	Change of Flag	Verification on board	- Valid DOC for new flag sighted. - Evidence of Owners information to new Flag sighted. - Valid statutory certificates, safe manning certificate and Flag endorsement. - Verification of crew certification compliance with Flag requirements. - Masters awareness of, and availability of any relevant Flag Regulations.	Issuing Classification Society Auditor or Surveyor	Issue new SMC. (expiry date as previous certificate)
3	Change of IMO ship type with new shipboard operations	Interim audit on board	- Review documentation and plans for implementation of procedures relating to operation of new ship type. - Check valid statutory certificates complying with STCW.	Auditor	Interim SMC
4	Adding IMO ship Type (e.g. from bulk carrier to OBO)	Interim audit on board	- Review documentation and plans for implementation of procedures relating to operation of new ship type. - Check valid statutory certificates and crew's qualifications.	Auditor	Interim SMC (in addition to existing SMC)
5	Change to RO from a Classification Society not holding a QSCS certificate	Initial audit	- Audit to address all elements of ISM Code.	Auditor	Issue SMC (maximum 5 years from date of audit)
6	Change of IMO ship Type, dual to single (e.g. OBO to oil tanker)	Audit on board	- 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).	Auditor or surveyor	Amend SMC to reflect new ship type and subsequently issue new certificate (same expiry date)
7	Change from Non Convention to Convention	Interim audit on Board	- Verification of requirements of ISM Code sec.14.4 with vessel manned in accordance with Safe Manning Certificate. - Check valid statutory certificates. - Evidence of Owners information to Flag.	Auditor	Interim SMC
8	Ship more than 6 months out of service	Interim verification	- Interim verification.	Auditor	Issue Interim SMC

No.9

(cont)

	Scenario	Type of Audit	Minimum Scope of Audit	Carried Out By:	Certificate Issued
9	Intermediate audits requested after the end of the audit time window	Intermediate Audit	- Scope extended to that of initial - Major NC raised that may be downgraded based on completion of audit - Additional audit within 3 months required	Auditor	The reinstated SMC to be endorsed as "Validity reinstated with scope as initial"

Note: The above shall apply in the absence of any 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

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)

No.9

(cont)

Annex 8**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
