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Circular

中国船级社
船舶安全管理认证部(98)通函第 015 号总第 038 号
1998 年 7 月 1 日（共 12 页）

发：本社 ISM 审核员

澳大利亚港口国检查有关 ISM CODE 的检查项目

ISM 规则于 1998 年 7 月 1 日正式生效，澳大利亚海事安全局就此事在其验船师须知中添加了有关 ISM CODE 方面的检查项目，在其中详细地阐述了港口国检查—— ISM CODE 方面的内容。我社认证部现将“ ISM CODE —— PSC INSPECTION ”的英文原件下发给全社 ISM 审核员，希望大家能够认真学习，了解和掌握“ ISM CODE —— PSC INSPECTION ”中的检查项目，在现场审核中结合港口国检查的内容有重点地进行抽查验证，同时向所在地的船公司传达 AMSA 在港口国检查中有关 ISM CODE 方面的具体条款，提醒船公司应该通告其所属船舶，在前往澳大利亚各港口时能针对“ ISM CODE —— PSC INSPECTION ”的检查项目做好充分准备，顺利通过港口国检查。

附：“ ISM CODE —— PSC INSPECTION ”英文原件一份。

Authority for Document Issue: General Manager, S&PSS
Version No: 1
Document Manager:

Controlled Print out Copy No: .....
Date of Version Issue: 25/05/98
Instruction To Surveyors ITS 63-002

ISM CODE - PSC INSPECTION

Suggestions for improving this document are appreciated and should be forwarded by Email to the Documentation Controller, on form PFM-05-06.

RISK PROFILE

Based on Quality Procedure QP14-002, Risk Assessment & Management, the assessed level of risk to S&PSS resulting from this ITS not being performed as specified herein is:

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1 PURPOSE

To assist the surveyor to assess the adequacy of a ship's SMS when undertaking port state control inspections

2 SCOPE

2.1 This document covers aspects of the ISM code in relation to a PSC inspection. This ITS is expressed in broad terms to allow widespread application. However, sea based management roles will vary according to the particular companies concerned and varying levels of knowledge and awareness of the ISM code elements will be required.

3 APPLICATION OF THE ISM CODE

All commercial ships, regardless of the date of construction, are to comply with the ISM Code from the following dates:

(a) passenger ships, including high speed craft, not later than 1 July 1998;

(b) oil tankers, chemical tankers, gas carriers, bulk carriers and cargo high speed craft, of 500 gross tonnage and upwards, no later that 1 July 1998;

(c) other cargo ships and mobile offshore drilling units of 500 gross tonnage or more, no later than 1 July 2002; and

(d) substantial compliance to livestock carriers by 1 January 1999 (Refer MO 43). ie dedicated L.S. ~~ships~~ ships.

Note: For the purpose of application date of the ISM Code a bulk carrier is defined as:

(i) Ships constructed with single deck, top-side tanks and hopper side tanks in cargo spaces and intended primarily to carry dry cargo in bulk; or

(ii) Ore Carriers ('ore carrier' means a sea-going single deck ship having two longitudinal bulkheads and a double bottom throughout the cargo region and intended for the carriage of ore cargoes in the centre holds only); or

(iii) Combination carriers ("combination carrier" is a tanker designed to carry oil or alternatively solid cargoes in bulk).

4 RELATED DOCUMENTS

SOLAS Chapter IX.

Marine Orders Part 58.

IMO Resolution A.741(18) - International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code).

IMO Resolution A.788(19) - Guidelines on implementation of the ISM Code by administrations.

ICS/ISF Guidelines on the application of the ISM Code.

AMSA quality procedures QP-09-113, QP-09-114 & QP-09-115 ITS 58-001

5 DEFINITIONS & ABBREVIATIONS

Where not specified definitions are as per the ISM code and as specified in the above documents.

Audit means a safety management verification audit, which is an independent examination to determine whether the SMS activities and related results comply with the ISM code and are implemented to achieve objectives.

Document of Compliance (DOC) means a document issued to a company which complies with the requirements of the ISM Code by the relevant flag state administration Same Company — ve DOC & SMC

Finding means the non-fulfilment of a specific requirement and is a term used by certain approved organisations instead of non-conformance. It may be expressed as Category 1 (major) or Category 2 (minor).

GISM means the Guidelines on the Implementation of the ISM Code by Administrations

ICSG means the ICS/IFS 'Guidelines on the Application of the ISM Code' which will be used for guidance on important individual elements of a SMS and its development by companies.

International Safety Management Code (ISM Code) means the International Management code for Safe Operations of Ships and for Pollution Prevention as adopted by the IMO by resolution A.741(18), as may be amended by IMO.

Major Non-conformance or Major Non-conformity means an identifiable deviation, which poses a serious threat to personnel or ship safety or serious risk to the environment and requires immediate corrective action. In addition a major non-conformity includes a lack of effective and systematic implementation of a requirement of the ISM Code

Note : A major non-conformance may result in the withdrawal of the particular SMS certificate

Non-conformance or Non-conformity means an observed situation where objective evidence indicates the non-fulfilment of a specified requirement or a deviation from an element of the ISM Code, identified at an audit.

Objective evidence means quantitative or qualitative information, records or statements of fact pertaining to safety or to the existence and implementation of a SMS element, which is based on observation, measurement or test and which can be verified

Observation or comment means a statement of fact made during an audit and substantiated by objective evidence. It may be a report by the auditor of a finding that does not infringe the Code, but which may lead to non-compliance in the future. An observation does not necessarily require immediate action on behalf of the company.

Safety Management Certificate (SMC) means an AMSA document issued to a ship whose company and its shipboard management operates according to the company's SMS in compliance with the requirements of the ISM code.

Safety Management System (SMS) means a structured and documented system enabling company personnel to effectively implement the company safety and environmental protection policy. It is the organisational structure, details, responsibilities, procedures, processes and resources needed to implement safety management and to ensure compliance with the ISM Code.

Administration means the government of the state whose flag the ship is entitled to fly.

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

6 FOREIGN FLAG SHIPS - INITIAL PSC & ISM CODE INSPECTIONS

6.1 During all routine PSC inspections, and for any ship visited solely to check compliance with the ISM Code, a check should be made that the ship has in place a SMS in accordance with the ISM code. The ship should hold a valid SMC and have on board a copy of the company's DOC. The surveyor should also check that the DOC is applicable to the type of ship being inspected and that the required audits and endorsements have been made to the certificates.

6.2 The surveyor should also check that all relevant ISM Code documentation is on board. In particular, the surveyor should make random checks/use professional judgement to ensure that relevant functional requirements of the company's SMS are documented and that relevant ship's staff are aware of their responsibilities and duties, in accordance with the ship's documented procedures and instructions. A list of typical documentation is contained in Annex 2.

6.3 Where interim ISM Code certificates have been issued, the surveyor should check that they have been issued in accordance with IMO Res A. 788(19), and that a SMS is in place. A copy of the relevant provisions in the guidelines pertaining to the issue of interim ISM Code certificates is contained in Annex 1.

6.4 Where it is detected that:

(a) the crew may not be aware of their responsibilities under the ISM Code;

(b) the ship's SMC, DOC or other statutory certificates are not in order;

(c) a major non-conformance is observed or

(d) the ship, its machinery and/or equipment are not in a satisfactory condition;

then, a detailed PSC inspection should be carried out. This detailed inspection should include an assessment of the ship's SMS in accordance with section 7

6.5 A number of less serious deficiencies may also be an indication of a deficient SMS. In such cases the surveyor should use professional judgement to decide if a more detailed inspection is warranted.

7 FOREIGN FLAG SHIPS – DETAILED INSPECTION

During a detailed inspection the surveyor will perform a more comprehensive review of the ISM Code documentation and check to ensure that the documented procedures are in place and are being properly implemented. The surveyor should verify compliance with a sufficient number of items as shown in Annex 3. This may be done by interviewing relevant ship's personnel, having the crew perform relevant tasks or drills and examination of the relevant documents.

8 AUSTRALIAN SHIPS

8.1 In conjunction with port state control type inspections on Australian ships, AMSA will also carry out routine ISM code inspections. The surveyor should ensure that the SMS is being maintained in accordance with the ISM Code and that the master and crew are aware of their responsibilities.

8.2 As with foreign flag ships an ISM code inspection as specified in section 6 & 7, should be carried out if it is found that the crew are not aware of their responsibilities under the ISM Code, the ship's certificates are not in order, a major non-conformity is observed or that the ship and equipment are not in a satisfactory condition. In addition the company and approved audit organisation are to be notified of any non-conformities issued.

9 ACTIONS TAKEN AS A RESULT OF PSC INSPECTIONS

9.1 Major deficiencies in a ship's structure, main and auxiliary machinery, safety equipment, and crew competence may indicate a serious failure or breakdown within the ship's SMS.

9.2 Where there is objective evidence for believing that there is not an appropriate SMS in operation ie, the master and crew are not familiar with essential shipboard procedures relating the safety of the ship, serious deficiencies or major non-conformities are found on the ship or the ships certificates, including ISM code certificates, are not in order, then, AMSA will hold the ship to be in breach of the Navigation Act and or international regulatory requirements. In such cases the surveyor is to notify the Flag State, the organisation(s) which issued the ISM code and other ships certificates and implement the following actions as appropriate.

10 SHIPS WITHOUT ISM CODE CERTIFICATION

10.1 The absence of appropriate certification is prima facie evidence that a ship does not have in place the required SMS. A ship arriving at an Australian port without appropriate ISM Code certification is to be detained and given a detailed inspection of its hull, machinery, equipment and any safety management system in place on the ship.

10.2 Before allowing the ship to proceed to sea the surveyor will require:

(a) any serious deficiencies to be rectified;

(b) all major ISM Code non-conformities to be rectified; and

(c) conformation from the flag state administration that the ship and its company have an appropriate SMS in place or that the Flag State clears the vessel to sail without the required ISM certification.

10.3 AMSA will publish a monthly list of vessels it finds without the appropriate ISM Code certification.

11 SHIPS WITH INVALID CERTIFICATES

11.1 A ship arriving in an Australian port with expired or otherwise invalid ISM certificates is to be detained and given a detailed inspection of its hull, machinery, equipment and SMS.

11.2 Before allowing the ship to proceed to sea the surveyor will require:

(a) any serious deficiencies to be rectified;

(b) all major ISM Code non-conformities to be rectified;

(c) the vessels SMS to be audited and its certification re-validated; and

(d) conformation from the flag state administration that the ship and its company have an appropriate SMS in place.

12 SHIP WITH A MAJOR NON-CONFORMITY

12.1 Where a major non-conformity is found during a PSC inspection the ship is to be detained and given a detailed inspection of its hull, machinery, equipment and its SMS.

12.2 Before allowing the ship to proceed to sea the surveyor will require:

(a) any serious deficiencies to be rectified;

(b) all major non-conformities to be rectified;

(c) conformation from the flag state administration that the ship and its company have an appropriate SMS in place.

12.3 Whenever possible, serious deficiencies and major non-conformities are to be rectified to the satisfaction of the organisation which issued the relevant certificate, and in all cases to the satisfaction of the AMSA surveyor.

13 MAJOR NON-CONFORMITY

13.1 Major non-conformity means an identifiable deviation, which poses a serious threat to personnel, ship safety or a serious risk to the environment and requires immediate corrective action. The lack of effective and systematic implementation of a requirement of the ISM code is also considered to be a major non-conformity.

13.2 Examples of Possible Major non-conformities of ISM Code Requirements:

(a) lack of a safe working environment *(1.2.2.1 of ISM Code)*

(b) lack of safeguards against identified risks *(1.2.2.2)*

(c) lack of compliance with rules and regulations and account not being taken of applicable codes guidelines and recommendations by IMO, the administration, classification society and the maritime industry *(1.2.3)*

(d) lack of appropriate instructions and procedures *(1.4.2) (1.4.5) (10.1)*

(e) lack of adequate lines of communication *(1.4.3) (6.7)*

(f) contact person ashore cannot be identified or readily contacted *(4)*

(g) there is no statement on board emphasising the master's authority and/or the master is not aware of their responsibility with respect to safety and pollution prevention *(5)*

(h) the vessel is not manned with the required qualified, and medically fit seafarers *(6)*

(i) key shipboard operations not defined and assigned to appropriately qualified persons *(7)*

(j) lack of procedures to respond to emergency situations or program's for drills and exercises *(8.1)*

(k) documentation relevant to maintaining the SMS is not on board or not being properly updated and controlled *(11)*

(l) risks not identified/assessed.

13.3 The surveyor will need to use professional judgment in determining the seriousness of a non-conformity (ie minor or major). -Account should be taken of the ship's documentation and interviews of the master and crew. The area manager should be consulted whenever a ship is considered to have a major non-conformity.

14 **CONSULTATION WITH HEAD OFFICE**

The General Manager, S&PSS is to be consulted, through the Area Manager, prior to any of the following actions being taken.

(a) initiation of prosecution action against a master or company for taking a ship to sea without a valid SMC or DOC . *(MO58 provision 5 and 6);*

(b) acceptance or rejection of an exemption or equivalence issued by a flag state administration or by an organisation on behalf of the flag state;

(c) acceptance or rejection of an interim certificate (DOC and or SMC).

15 **SUBSEQUENT ACTION TO BE TAKEN AGAINST SHIPS DETAINED FOR ISM VIOLATION**

The surveyor is to take the following action following upon detaining a vessel for ISM violation:

(a) AMSA will forward details of the ship and its deficiencies to all other MOU states.

(b) The ship may be subjected to a detailed ISM Code inspection when it returns to Australia.

(c) All other ships of that company are to be given priority for PSC inspections.

(d) Where applicable, issue of single voyage permit will not be recommended by AMSA to the appropriate departmental officials.

16 **QUALITY RECORDS**

QUALITY RECORD TITLE	RECORD CUSTODIAN	CUSTODIAN DURATION	ARCHIVES DURATION

17 **VERSION ISSUE RECORD**

Version	Date of Approval	Approved By	Summary of Change from Previous Version

ANNEX 1

GUIDELINES FOR ISSUE OF INTERIM DOC AND SMC

IMO Resolution A.788(19)

In cases of change of flag of Company, special transitional arrangements should be made in accordance with these Guidelines.

An interim DOC may be issued to facilitate initial implementation of the ISM Code and implementation where a Company is newly established or where new ship types are added to an existing DOC.

An administration may issue an Interim DOC valid for no more than twelve months, to a Company following a demonstration that the Company has an SMS that meets the objectives of paragraph 1.2.3 of the ISM Code. The administration should require the Company to demonstrate plans to implement an SMS meeting the full requirements of the ISM Code within the period of validity of the Interim DOC.

An Interim SMC, valid for not more than six months may be issued to new ships on delivery, and when a Company takes on the responsibility for the management of a ship which is new to the Company. In special cases the administration may extend the validity of the Interim SMC for a further six months.

Before issuing an Interim SMC, the administration should verify that:

1. the DOC, or the Interim DOC, is relevant to that ship;
2. the SMS provided by the Company for the ship includes key elements of the ISM Code and has been assessed during the audit for issuance of the DOC or demonstrated for issuance of the Interim DOC.
3. the master and relevant senior officers are familiar with the SMS and the planned arrangements for its implementation;
4. instructions which have been identified as essential to be provided prior to sailing have been given;
5. plans for Company audit of the ship within three months exist; and
6. the relevant information on the SMS is given in a working language or languages understood by the ship's personnel.

ANNEX 2

CHECK LIST FOR WHEN CARRYING OUT AN INITIAL PSC INSPECTION

1. **Safety Management System Documentation:** The following is a non-exhaustive list of the documentation (either paper or electronic form) which a SMS would typically require.

- Safety Management Manual
- Logbooks
- Statutory and other Maritime Documents and Certificates
- Navigational Procedures
- Deck Operations
- Cargo Operations
- Crew Training Plans
- Ship Safety Manual
- Engine Room Operations
- Pollution Prevention Precautions and Procedures
- Emergency Procedures
- Communication Procedures
- Ship and Machinery Maintenance Plans
- List and Safety Equipment

2. **Plans for Shipboard Operations:** The following typical tasks, as applicable to a particular ship, should be documented and assigned to responsible qualified personnel.

General

- shipboard organisation
- functional responsibilities
- provision and maintenance of documents and records
- passenger control, where applicable
- communications between ship and company
- inspections by master, chief engineer and senior officers
- medical arrangements
- reporting procedures
- fitness for duty and avoidance of excessive fatigue
- alcohol & other drug policies & procedures
- operational and maintenance instructions for equipment
- checklists for sea worthiness and cargo worthiness

The Ship in Port:

- accepting cargo and passengers
- loading and discharging procedures
- harbour watches and patrols
- liaison with shore authorities
- monitoring trim and stability
- response to pollution incidents
- procedures when the ship is temporarily immobilised
- accidental spillage of liquid cargoes and ship's bunkers
- use of reception facilities for oil, noxious liquids and garbage

Preparing for Sea:

- verification of passenger numbers, where applicable
- checking and recording draughts
- checking stability condition
- assessment of weather conditions
- tests of engines, steering gear, navigation and communications equipment, generators, emergency lighting and anchoring equipment
- securing cargo, hatches and all openings in the hull
- harbour stations
- documentation of sailing condition
- verification of pollution prevention equipment and arrangements
- verifying that up-to-date nautical charts and publication are carried as per SOLAS, Chapter 5, regulation 20.

The Ship and Sea:

- bridge and engine room watch-keeping arrangements
- special requirements in bad weather and fog
- radio communications, including use of VHF
- manoeuvring data
- emergency procedures
- security patrols, fire patrols and other arrangements for surveillance
- discharge into the sea of oily water from machinery space bilges, cargo residues from oil tankers, noxious liquid substances and garbage

'Preparing for Arrival in Port:

- tests of engines, steering gear, navigation and communication equipment, generators and anchoring equipment
- harbour stations
- port information and communications
- assessment of weather conditions
- sailing directions, tide tables and charts
- ballast operations
- helicopter operations
- stability and watertight integrity
- pilotage

3. **Emergency Preparedness:** Potential typical emergency shipboard situations for which procedures should be available and/or drills and exercises should be held.

- fire and boat drills
- use of emergency equipment
- salvage procedures
- charging of fresh air breathing apparatus bottles
- engine room flooding
- actions taken to gain control of a situation
- the availability of ship particulars, plans, stability information, and safety and environmental protection equipment carried on board
- back up arrangements for the company's initial response in the event of a protracted emergency
- hazardous substances clean up
- operational tests and running of the life boat engines
- loss of steering and use of emergency steering drills
- emergency medical procedures /evacuations
- confined space rescue
- ship response procedures to a pollution incident
- search and rescue
- maintenance of communications between the ship and shore
- maintenance of fire fighting equipment, life saving appliance and personal protection equipment
- procedures to be followed in response to different types of accidents or hazardous occurrences
- ship safety inspections

Contingency plans should be on board ship to describe how to deal with emergency situation related to damage, fire, pollution, personnel, security and cargo, and may include:

- abandoning ship
- collision
- entry into enclosed spaces
- fire
- flooding
- grounding/stranding
- heavy weather damage
- loss of electrical power
- main engine failure
- man overboard/search and rescue.
- serious injury
- shifting of cargo and cargo jettisoning
- steering gear failure
- structural failure

Emergency drills and exercises should be carried out regularly to test the effectiveness and clarity or the emergency plans and to develop the confidence and competence of the personnel who may be involved in actual emergencies. The drills should, as appropriate, mobilise the company management emergency contingency plans under simulated conditions. Records of these drills and exercises should be maintained and be available for verification purposes.'

ANNEX 3

ADDITIONAL ITEMS FOR WHEN CARRYING OUT A DETAILED PSC INSPECTION

(a) Is the company safety and environmental protection policy in place and are the crew familiar with it? *(2.2 of ISM Code)* eg

(i) provision of safe practices in ship operations;

(ii) safety assessment done and risks identified;

(iii) safeguards against all identified risks;

(iv) provision of a safe working environment;

(v) means for continuously improving crew's safety management skills and preparation for safety and pollution emergencies.

(vi) compliance with mandatory rules and regulations.

(vii) account taken of applicable codes, guidelines and standards.

(b) Who is responsible of the operation of the ship? *(3.1)*

(c) Are the crew aware of their responsibilities and functions and are these responsibilities and functions documented? *(3.2)*. Documentation to define the responsibility, authority and interrelationship of personnel who manage, perform and verify work relating to and affecting safety and pollution prevention.

(d) Who is the designated person and how can this person be contacted? *(4)*

(e) Can the master provide documents detailing his responsibilities and explain responsibilities regarding: *(5.1)*

(i) implementing the safety and environmental protection policy.

(ii) issuing orders and instructions.

(iii) verifying that specified requirements are observed, and

(iv) reviewing the SMS and reporting its deficiencies to the shore based management.

(f) Can the deck and engineer officers and relevant members of the crew provide documents detailing their functions and responsibilities?

(g) Can the master demonstrate and explain his overriding authority? *(5.2)*. Produce documentation describing the masters authority.

(h) Are new personnel or personnel transferred to new assignments made familiar with their functions and duties? Are instructions which are essential prior to sailing documented and in place? *(6.3)*

(i) Can operational deficiencies be linked to resources or personnel? *(6.4 to 6.7)*

(j) Are appropriate plans and instructions for key shipboard operations available on board? *(7)*

(i) the various tasks involved should be defined and assigned to qualified personnel.

(ii) documented procedures should be available for the appropriate tasks listed above 2.

(k) Are there procedures, program and drills on board to respond to potential emergency shipboard situations? Documentation should include a list indicating telephone numbers and / or contact points of the responsible person to be reached during/outside office hours available. The type of emergency situations which should, where appropriate, be covered are listed above. *(8)*

(l) Are non-conformities, accidents and hazardous situations been reported to the company? *(9.1)* Have timely corrective actions been implemented by the company? *(9.2)*

(m) Is there a planned maintenance system being implemented? *(10.1 & 10.2)*

(n) Are operational maintenance routines and inspections of all equipment and technical systems being followed? (10.3 & 10.4)

(o) Are procedures for maintaining the relevant documentation being followed? (11) Look at documentation, note revision status and randomly check that all copies are being kept up-to-date.

(p) Are procedures in place for internal audits and have these been carried out? (12) Sight audit reports and check whether timely corrective action is being taken on non-conformances found.

(q) For a passenger ship, are documents detailing the responsibilities with respect to crowd control, passenger safety, evacuation, fire fighting and damage control on board. Check also for clear chain of command, authority and responsibility, and action in case of an incident.

(r) For a tanker and bulk carrier check documents detailing responsibilities with respect to the loading, safe carriage and discharge of the cargo. Check clear chain of command, authority and responsibility, for both normal and emergency operations and in case of incidents.

Note: Where deficiencies relating to ship equipment (eg life saving or fire fighting equipment) are noted, the surveyor should check the SMS documentation regarding the maintenance of these items. If there are no instructions covering the maintenance of defective items the surveyor may issue a deficiency relevant to the ISM code.