

Foreword

With the entry into force, on 1 July 1998, of the 1994 amendments to the International Convention for the Safety of Life at Sea (SOLAS), 1974, which introduced a new chapter IX into the Convention, the International Safety Management (ISM) Code was made mandatory. Chapter IX was amended by resolution MSC.99(73), which entered into force on 1 July 2002, and by resolution MSC.194(80), which entered into force on 1 January 2009.

The Code's origins go back to the late 1980s, when there was mounting concern about poor management standards in shipping. Investigations into accidents revealed major errors on the part of management, and in 1987 the IMO Assembly adopted resolution A.596(15), which called upon the Maritime Safety Committee to develop guidelines concerning shipboard and shore-based management to ensure the safe operation of ro-ro passenger ferries.

The ISM Code evolved through the development of the Guidelines on management for the safe operation of ships and for pollution prevention, adopted in 1989 by the IMO Assembly as resolution A.647(16), and the Revised Guidelines, adopted two years later as resolution A.680(17), to its current form, the International Management Code for the Safe Operation of Ships and for Pollution Prevention (International Safety Management (ISM) Code), which was adopted in 1993 as resolution A.741(18). This Code was amended in December 2000 by resolution MSC.104(73), and these amendments entered into force on 1 July 2002. It was further amended in December 2004 by resolution MSC.179(79), and these amendments entered into force on 1 July 2006. It was further amended in May 2005 by resolution MSC.195(80), and these amendments entered into force on 1 January 2009. The ISM Code was also amended in December 2008 by resolution MSC.273(85). This resolution was adopted on 1 January 2010 and the amendments will enter into force on 1 July 2010.

In 1995, the IMO Assembly, recognizing the need for uniform implementation of the ISM Code and that there might be a need for Administrations to enter into agreements in respect of the issuance of certificates by other Administrations in accordance with SOLAS chapter IX and the ISM Code, adopted the Guidelines on implementation of the International Safety Management (ISM) Code by Administrations by resolution A.788(19). These Guidelines were replaced with Revised Guidelines, which were adopted by resolution A.913(22) in November 2001, which revoked resolution A.788(19). Guidelines on implementation of the International Safety Management (ISM) Code by Administrations were adopted by resolution A.1022(26) in December 2009. This resolution revokes resolution A.913(22) with effect from 1 July 2010.

This publication includes the texts of SOLAS chapter IX, the ISM Code and the Guidelines referred to in the previous paragraphs. Additionally, Guidelines for the operational implementation of the International Safety Management (ISM) Code by Companies, Guidance on the qualifications, training and experience necessary for undertaking the role of the designated person under the provisions of the International Safety Management (ISM) Code and Guidance on near-miss reporting are included.

The footnotes given in this Code are inserted for reference and guidance purposes and do not constitute requirements under the Code. However, in accordance with paragraph 1.2.3.2, all relevant guidelines, recommendations, etc. should be taken into account. In all cases the reader must make use of the latest versions of the referenced texts of the document specified in a footnote, bearing in mind that such texts may have been revised or superseded by updated material.  Added by Res.MSC.353(92)

INTERNATIONAL SAFETY MANAGEMENT CODE

PREAMBLE

1 The purpose of this Code is to provide an international standard for the safe management and operation of ships and for pollution prevention.

2 The Assembly adopted resolution A.443(XI) by which it invited all Governments to take the necessary steps to safeguard the shipmaster in the proper discharge of his responsibilities with regard to maritime safety and the protection of the marine environment.

3 The Assembly also adopted resolution A.680(17) by which it further recognized the need for appropriate organization of management to enable it to respond to the need of those on board ships to achieve and maintain high standards of safety and environmental protection.

4 Recognizing that no two shipping companies or shipowners are the same, and that ships operate under a wide range of different conditions, the Code is based on general principles and objectives.

5 The Code is expressed in broad terms so that it can have a widespread application. Clearly, different levels of management, whether shore-based or at sea, will require varying levels of knowledge and awareness of the items outlined.

6 The cornerstone of good safety management is commitment from the top. In matters of safety and pollution prevention it is the commitment, competence, attitudes and motivation of individuals at all levels that determines the end result.

PART A - IMPLEMENTATION

1 GENERAL

1.1 Definitions

The following definitions apply to parts A and B of this Code.

1.1.1 International Safety Management (ISM) Code means the International Management Code for the Safe Operation of Ships and for Pollution Prevention as adopted by the Assembly, as may be amended by the Organization.

1.1.2 Company means the Owner of the ship or any other organization 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 responsibility imposed by the Code.

1.1.3 Administration means the Government of the State whose flag the ship is entitled to fly.

1.1.4 Safety Management System means a structured and documented system enabling Company personnel to implement effectively the Company safety and environmental protection policy.

1.1.5 Document of Compliance means a document issued to a Company which complies with the requirements of this Code.

1.1.6 Safety Management Certificate means a document issued to a ship which signifies that the Company and its shipboard management operate in accordance with the approved safety management system.

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

1.1.8 Observation means a statement of fact made during a safety management audit and substantiated by objective evidence.

1.1.9 Non-conformity means an observed situation where objective evidence indicates the non-fulfillment of a specified requirement.

1.1.10 Major non-conformity* means 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 includes the lack of effective and systematic implementation of a requirement of this Code.

* Refer to the Procedures concerning observed ISM Code major non-conformities (MSC/Circ.1059-MEPC/Circ.401) (KR: Added by Res.MSC.353(92))

1.1.11 Anniversary date means the day and month of each year that corresponds to the date of expiry of the relevant document or certificate.

1.1.12 Convention means the International Convention for the Safety of Life at Sea, 1974 as amended.

1.2 Objectives

1.2.1 The objectives of the Code are to ensure safety at sea, prevention of human injury or loss of life, and avoidance of damage to the environment, in particular, to the marine environment, and to property.

1.2.2 Safety management objectives of the Company should, inter alia:

.1 provide for safe practices in ship operation and a safe working environment;

.2 assess all identified risks to its ships, personnel and the environment and establish appropriate safeguards; and

.3 continuously improve safety management skills of personnel ashore and aboard ships, including preparing for emergencies related both to safety and environmental protection.

1.2.3 The safety and management system should ensure:

.1 compliance with mandatory rules and regulations; and

.2 that applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and maritime industry organizations are taken into account*.

* Refer to the List of codes, recommendations, guidelines and other safety and security-related non-mandatory instruments (MSC.1/Circ.1371)(Added by Res.MSC.353(92))

1.3 Application

The requirements of this Code may be applied to all ships.

1.4 Functional requirements for a Safety Management System (SMS)

Every Company should develop, implement and maintain a Safety Management System (SMS) which includes the following functional requirements:

- .1 a safety and environmental protection policy;
- .2 instructions and procedures to ensure safe operation of ships and protection of the environment in compliance with relevant international and flag State legislation;
- .3 defined levels of authority and lines of communication between, and amongst, shore and shipboard personnel;
- .4 procedures for reporting accidents and non-conformities with the provisions of this Code;
- .5 procedures to prepare for and respond to emergency situations; and
- .6 procedures for internal audits and management reviews.

2 SAFETY AND ENVIRONMENTAL PROTECTION POLICY

2.1 The Company should establish a safety and environmental protection policy which describes how the objectives, given in paragraph 1.2, will be achieved.

2.2 The Company should ensure that the policy is implemented and maintained at all levels of the organization both ship based as well as shore based.

3 COMPANY RESPONSIBILITIES AND AUTHORITY*

* Refer to the Guidelines for the operational implementation of the International Safety Management (ISM) Code by Companies (MSC-MEPC.7/Circ.8). (KR: Inserted by Res.MSC.353(92))

3.1 If the entity who is responsible for the operation of the ship is other than the owner, the owner must report the full name and details of such entity to the Administration.

3.2 The Company should define and document the responsibility, authority and interrelation of all personnel who manage, perform and verify work relating to and affecting safety and pollution prevention.

3.3 The Company is responsible for ensuring that adequate resources and shore based support are provided to enable the designated person or persons to carry out their functions.

4 DESIGNATED PERSON(S)*

* Refer to the Guidance on the qualifications, training and experience necessary for undertaking the role of the Designated Person under the provisions of the International Safety Management (ISM) Code (MSC-MEPC.7/Circ.6) (KR: Inserted by Res.MSC.353(92))

To ensure the safe operation of each ship and to provide a link between the company and those on board, every company, as appropriate, should designate a person or persons ashore having direct access to the highest level of management. The responsibility and authority of the designated person or persons should include monitoring the safety and pollution prevention aspects of the operation of each ship and to ensure that adequate resources and shore-based support are applied, as required.

5 MASTER'S RESPONSIBILITY AND AUTHORITY

5.1 The Company should clearly define and document the master's responsibility with regard to:

- .1 implementing the safety and environmental protection policy of the Company;
- .2 motivating the crew in the observation of that policy;
- .3 issuing appropriate orders and instructions in a clear and simple manner;
- .4 verifying that specified requirements are observed; and
- .5 periodically reviewing the SMS and reporting its deficiencies to the shore based management. (KR: Added by Res.MSC.273(85))

5.2 The Company should ensure that the SMS operating on board the ship contains a clear statement emphasizing the Master's authority. The Company should establish in the SMS that the master has the overriding authority and the responsibility to make decisions with respect to safety and pollution prevention and to request the Company's assistance as may be necessary.

6 RESOURCES AND PERSONNEL

6.1 The Company should ensure that the master is:

- .1 properly qualified for command;
- .2 fully conversant with the Company's SMS; and
- .3 given the necessary support so that the Master's duties can be safely performed.

6.2 The Company should ensure that each ship is: (KR: Replaced by Res.MSC.353(92))

- .1 manned with qualified, certificated and medically fit seafarers in accordance with national and international requirements; and
- .2 appropriately manned in order to encompass all aspects of maintaining safe operations on board*

* Refer to the Principles of minimum safe manning, adopted by the Organization by resolution A.1047(27)

6.3 The Company should establish procedures to ensure that new personnel and personnel transferred to new assignments related to safety and protection of the environment are given proper familiarization with their duties. Instructions which are essential to be provided prior to sailing should be identified, documented and given.

6.4 The Company should ensure that all personnel involved in the Company's SMS have an adequate understanding of relevant rules, regulations, codes and guidelines.

6.5 The Company should establish and maintain procedures for identifying any training which may be required in support of the SMS and ensure that such training is provided for all personnel concerned.

6.6 The Company should establish procedures by which the ship's personnel receive relevant information on the SMS in a working language or languages understood by them.

6.7 The Company should ensure that the ship's personnel are able to communicate effectively in the execution of their duties related to the SMS.

7 DEVELOPMENT OF PLANS FOR SHIPBOARD OPERATIONS

The Company should establish procedures, plans and instructions, including checklists as appropriate, for key shipboard operations concerning the safety of the personnel, ship and protection of the environment. The various tasks should be defined and assigned to qualified personnel. (KR : Replaced by Res.MSC.273(85))

8 EMERGENCY PREPAREDNESS*

* Refer to the Guidelines for a structure of an integrated system of contingency planning for shipboard emergencies, adopted by the Organization by resolution A.852(20), as amended. (KR : Inserted by Res.MSC.353(92))

8.1 The Company should identify potential emergency shipboard situations, and establish procedures to respond to them.

8.2 The Company should establish programmes for drills and exercises to prepare for emergency actions.

8.3 The SMS should provide for measures ensuring that the Company's organization can respond at any time to hazards, accidents and emergency situations involving its ships.

9 REPORTS AND ANALYSIS OF NON-CONFORMITIES, ACCIDENTS AND HAZARDOUS OCCURRENCES*

* Refer to the Guidance on near-miss reporting (MSC-MEPC.7/Circ.7). (KR : Inserted by Res.MSC.353(92))

9.1 The SMS should include procedures ensuring that non-conformities, accidents and hazardous situations are reported to the Company, investigated and analyzed with the objective of improving safety and pollution prevention.

9.2 The Company should establish procedures for the implementation of corrective action, including measures intended to prevent recurrence.

10 MAINTENANCE OF THE SHIP AND EQUIPMENT

10.1 The Company should establish procedures to ensure that the ship is maintained in conformity with the provisions of the relevant rules and regulations and with any additional requirements which may be established by the Company.

10.2 In meeting these requirements the Company should ensure that:

- .1 inspections are held at appropriate intervals;
- .2 any non-conformity is reported with its possible cause, if known;
- .3 appropriate corrective action is taken; and
- .4 records of these activities are maintained.

10.3 The Company should identify equipment and technical systems the sudden operational failure of which may result in hazardous situations. The SMS should provide for specific measures aimed at promoting the reliability of such equipment or systems. These measures should include the regular testing of stand-by arrangements and equipment or technical systems that are not in continuous use. (KR: Res.MSC.273(85))

10.4 The inspections mentioned in 10.2 as well as the measures referred to 10.3 should be integrated in the ship's operational maintenance routine.

11 DOCUMENTATION*

** Refer to the Revised list of certificates and documents required to be carried on board ships 2013(FAL.2/Circ.127, MEPC.1/Circ.817 and MSC.1/Circ.1462). (KR: Inserted by Res.MSC.353(92))*

11.1 The Company should establish and maintain procedures to control all documents and data which are relevant to the SMS.

11.2 The Company should ensure that:

- .1 valid documents are available at all relevant locations;
- .2 changes to documents are reviewed and approved by authorized personnel; and
- .3 obsolete documents are promptly removed.

11.3 The documents used to describe and implement the SMS may be referred to as the "Safety Management Manual". Documentation should be kept in a form that the Company considers most effective. Each ship should carry on board all documentation relevant to that ship.

12 COMPANY VERIFICATION, REVIEW AND EVALUATION

12.1 The Company should carry out internal safety audits on board and ashore at intervals not exceeding twelve months to verify whether safety and pollution-prevention activities comply with the safety management system. In exceptional circumstances, this interval may be exceeded by not more than three months.

12.2 The Company should periodically verify whether all those undertaking delegated ISM-related tasks are acting in conformity with the Company's responsibilities under the Code. (KR: Inserted by Res.MSC.353(92))

12.3 The Company should periodically evaluate the the SMS in accordance with procedures established by the Company.

12.4 The audits and possible corrective actions should be carried out in accordance with documented procedures.

12.5 Personnel carrying out audits should be independent of the areas being audited unless this is impracticable due to the size and the nature of the Company.

12.6 The results of the audits and reviews should be brought to the attention of all personnel having responsibility in the area involved.

12.7 The management personnel responsible for the area involved should take timely corrective action on deficiencies found.

PART B - CERTIFICATION AND VERIFICATION

13 CERTIFICATION AND PERIODICAL VERIFICATION

13.1 The ship should be operated by a Company which has been issued with a Document of Compliance or with an Interim Document of Compliance in accordance with paragraph 14.1, relevant to that ship.

13.2 The Document of Compliance should be issued by the Administration, by an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government to the Convention to any Company complying with the requirements of this Code for a period specified by the Administration which should not exceed five years. Such a document should be accepted as evidence that the Company is capable of complying with the requirements of this Code.

13.3 The Document of Compliance is only valid for the ship types explicitly indicated in the document. Such indication should be based on the types of ships on which the initial verification was based. Other ship types should only be added after verification of the Company's capability to comply with the requirements of this Code applicable to such ship types. In this context, ship types are those referred to in regulation IX/1 of the Convention.

13.4 The validity of a Document of Compliance should be subject to annual verification by the Administration or by an organization recognized by the Administration or, at the request of the Administration by another Contracting Government within three months before or after the anniversary date.

13.5 The Document of Compliance should be withdrawn by the Administration or, at its request, by the Contracting Government which issued the document, when the annual verification required in paragraph 13.4 is not requested or if there is evidence of major non-conformities with this Code.

13.5.1 All associated Safety Management Certificates and/or Interim Safety Management Certificates should also be withdrawn if the Document of Compliance is withdrawn.

13.6 A copy of the Document of Compliance should be placed on board in order that the master of the ship, if so requested, may produce it for verification by the Administration or by an organization recognized by the Administration or for the purposes of the control referred to in regulation IX/6.2 of the Convention. The copy of the document is not required to be authenticated or certified.

13.7 The Safety Management Certificate should be issued to a ship for a period which should not exceed five years by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government. The Safety Management Certificate should be issued after verifying that the Company and its shipboard management operate in accordance with the approved safety management system. Such a certificate should be accepted as evidence that the ship is complying with the requirements of this Code.

13.8 The validity of the Safety Management Certificate should be subject to at least one intermediate verification by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government. If only one intermediate verification is to be carried out and the period of validity of the Safety Management Certificate is five years, it should take place between the second and third anniversary date of the Safety Management Certificate.

13.9 In addition to the requirements of paragraph 13.5.1, the Safety Management Certificate should be withdrawn by the Administration or, at the request of the Administration, by the Contracting Government which has issued it when the intermediate verification required in paragraph 13.8 is not requested or if there is evidence of major non-conformity with this Code.

13.10 Notwithstanding the requirements of paragraphs 13.2 and 13.7, when the renewal verification is completed within three months before the expiry date of the existing Document of Compliance or Safety Management Certificate, the new Document of Compliance or the new Safety Management 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 Document of Compliance or Safety Management Certificate.

13.11 When the renewal verification is completed more than three months before the expiry date of the existing Document of Compliance or Safety Management Certificate, the new Document of Compliance or the new Safety Management Certificate should be valid from the date of completion of the renewal verification for a period not exceeding five years from the date of completion of the renewal verification.

13.12 When the renewal verification is completed after the expiry date of the existing Safety Management Certificate, the new Safety Management Certificate should be valid from the date of completion of the renewal verification to a date not exceeding five years from the date of expiry of the existing Safety Management Certificate.

13.13 If a renewal verification has been completed and a new Safety Management Certificate cannot be issued or placed on board the ship before the expiry date of the existing certificate, the Administration or organization recognized by the Administration may endorse the existing certificate and such a certificate should be accepted as valid for a further period which should not exceed five months from the expiry date.

13.14 If a ship at the time when a Safety Management Certificate expires is not in a port in which it is to be verified, the Administration may extend the period of validity of the Safety Management Certificate but this extension should be granted only for the purpose of allowing the ship to complete its voyage to the port in which it is to be verified, and then only in cases where it appears proper and reasonable to do so. No Safety Management Certificate should be extended for a period of longer than three months, and the ship to which an extension is granted should not, on its arrival in the port in which it is to be verified, be entitled by virtue of such extension to leave that port without having a new Safety Management Certificate. When the renewal verification is completed, the new Safety Management Certificate should be valid to a date not exceeding five years from the expiry date of the existing Safety Management Certificate before the extension was granted. ( : Added by Res.MSC.273(85))

14 INTERIM CERTIFICATION

14.1 An Interim Document of Compliance may be issued to facilitate initial implementation of this Code when:

.1 a Company is newly established; or

.2 new ship types are to be added to an existing Document of Compliance, following verification that the Company has a safety management system that meets the objectives of paragraph 1.2.3 of this Code, provided the Company demonstrates plans to implement a safety management system meeting the full requirements of this Code within the period of validity of the Interim Document of Compliance. Such an Interim Document of Compliance should be issued for a period not exceeding 12 months by the Administration or by an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government. A copy of the Interim Document of Compliance should be

placed on board in order that the master of the ship, if so requested, may produce it for verification by the Administration or by an organization recognized by the Administration or for the purposes of the control referred to in regulation IX/6.2 of the Convention. The copy of the document is not required to be authenticated or certified.

14.2 An Interim Safety Management Certificate may be issued:

- .1 to new ships on delivery;
- .2 when a Company takes on responsibility for the operation of a ship which is new to the Company; or
- .3 when a ship changes flag.
Such an Interim Safety Management Certificate should be issued for a period not exceeding 6 months by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government.

14.3 An Administration or, at the request of the Administration, another Contracting Government may, in special cases, extend the validity of an Interim Safety Management Certificate for a further period which should not exceed 6 months from the date of expiry.

14.4 An Interim Safety Management Certificate may be issued following verification that:

- .1 the Document of Compliance, or the Interim Document of Compliance, is relevant to the ship concerned;
- .2 the safety management system provided by the Company for the ship concerned includes key elements of this Code and has been assessed during the audit for issuance of the Document of Compliance or demonstrated for issuance of the Interim Document of Compliance;
- .3 the Company has planned the internal audit of the ship within three months;(KR: Inserted by Res.MSC.273(85))
- .4 the master and officers are familiar with the safety management system and the planned arrangements for its implementation;
- .5 instructions, which have been identified as being essential, are provided prior to sailing; and
- .6 relevant information on the safety management system has been given in a working language or languages understood by the ship's personnel

15 VERIFICATION (KR: Added by Res.MSC.104(73))

15.1 All verifications required by the provisions of this Code should be carried out in accordance with procedures acceptable to the Administration, taking into account the guidelines developed by the Organization*.

* Refer to the Guidelines on implementation of the International Safety Management (ISM) Code by Administrations adopted by the Organization by resolution A.788(19)

16 FORMS OF CERTIFICATES (KR: Added by Res.MSC.104(73))

16.1 The Document of Compliance, the Safety Management Certificate, the Interim Document of Compliance and the Interim Safety Management Certificate should be drawn up in a form corresponding to the models given in the appendix to this Code. If the language used is neither English nor French, the text should include a translation into one of these languages.

16.2 In addition to the requirements of paragraph 13.3 the ship types indicated on the Document of Compliance and the Interim Document of Compliance may be endorsed to reflect any limitations in the operations of the ships described in the safety management system.

APPENDIX

Forms of the Document of Compliance, the Safety Management Certificate,
the Interim Document of Compliance and the Interim Safety Management
Certificate

DOCUMENT OF COMPLIANCE

(Official seal)

(State)

Certificate No.

Issued under the provisions of the INTERNATIONAL CONVENTION FOR THE SAFETY OF
LIFE AT SEA, 1974. as amended

Under the authority of the Government of _____
(name of the State)

BY _____
(person or organization authorized)

Name and address of the Company
(see paragraph 1.1.2 of the ISM Code)

Company identification number

THIS IS TO CERTIFY THAT the safety management system of the Company has been audited
and that it complies with the requirements of the International Management Code for the Safe
Operation of Ships and for Pollution Prevention (ISM Code) for the types of ships listed below
(delete as appropriate) :

- Passenger ship
- Passenger high- speed craft
- Cargo high- speed craft
- Bulk carrier
- Oil tanker
- Chemical tanker
- Gas carrier
- Mobile offshore drilling unit
- Other cargo ship

This Document of Compliance is valid until Subject to periodical verification.
subject to perlod1Cal verification.

Completion date of the verification on which this certificate is based:(dd/mm/yyyy)

Issued at

(place of issue of the document)

Date of issue

.....

(Signature Of the duly authorized official issuing the document)

(Seal or stamp of issuing authority, as appropriate)

ENDORSEMENT FOR ANNUAL VERIFICATION

THIS IS TO CERTIFY THAT, at the periodical verification in accordance With regulation IX/6.1 of the Convention and paragraph 13.4 of the ISM Code, the safety management system was found to comply With the requirements of the ISM Code.

1st ANNUAL VERIFICATION

Signed:.....

(Signature of authorized official)

Place:

Date:.....

2nd ANNUAL VERIFICATION

Signed:.....

(Signature of authorized official)

Place:

Date:.....

3rd ANNUAL VERIFICATION

Signed:.....

(Signature of authorized official)

Place:

Date:.....

4th ANNUAL VERIFICATION

Signed:.....

(Signature of authorized official)

Place:

Date:.....

SAFETY MANAGEMENT CERTIFICATE

(Official seal)

(State)

Certificate No.

Issued under the provisions of the INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974, as amended

Under the authority of the Government of _____

(name of the State)

By _____
(person or organization authorized)

Name of ship:
Distinctive number or letters:
Port of registry:
Type of ship*
Gross tonnage:
IMO Number:
Name and address of Company:
(see paragraph 1.1.2 of the ISM Code)
Company identification number

THIS IS TO CERTIFY THAT the safety management system of the ship has been audited and that It complies with the requirements of the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code), following verification that the Document of Compliance for the Company IS applicable to this type of ship.

This Safety Management Certificate Is valid until.....subject to periodical verification and the Document of Compliance remaining valid.

Completion date of the verification on which this certificate is based:(dd,/mm/yyyy)
Issued at.....
(place of issue of the document)
Date of issue

.....
(Signature of the duly authorized official issuing the certificate)
(Seal or stamp of issuing authority, as appropriate)

*Insert the type of ship from among the following: passenger ship; passenger high-speed craft; Cargo high-speed craft; bulk carrier; oil tanker; chemical tanker; gas carrier; mobile offshore drilling Unit; other cargo ship.

Certificate No.

ENDORSEMENT FOR INTERMEDIATE VERIFICATION AND
ADDITIONAL VERIFICATION (IF REQUIRED)

THIS IS TO CERTIFY THAT, at the periodical verification in accordance With regulation IX/6.1 of the Convention and paragraph 13.8 of the ISM Code, the safety management system was found to comply With the requirements of the ISM Code.

INTERMEDIATE VERIFICATION
(to be completed between the second and
third anniversary date)

signed:
(Signature of authorized official)
Place:.....
Date:

ADDITIONAL VERIFICATION*

signed:
(Signature of authorized official)
Place:.....
Date:

ADDITIONAL VERIFICATION*

signed:
(Signature of authorized official)
Place:.....
Date:

ADDITIONAL VERIFICATION*

signed:
(Signature of authorized official)
Place:.....
Date:

* If applicable. Refer to the relevant provisions of section 4.3, initial verification, of the Revised Guidelines on the implementation of the International Safety Management (ISM) Code by Administrations adopted by the Organization by resolution A.1071(28).

Certificate No.

ENDORSEMENT WHERE THE RENEWAL VERIFICATION
HAS BEEN COMPLETED AM) PART B 13.13 OF
THE ISM CODE APPLIES

The ship complies with the relevant provisions of part B of the ISM Code. and the Certificate should, in accordance with part B 13.13 of the ISM Code, be accepted as valid until

Signed
(Signature of authorized official)
Place
Date

(Seal or stamp of the authority, as appropriate)

ENDORSEMENT TO EXTEND THE VALIDITY OF THE
CERTIFICATE UNTIL REACHING THE PORT OF
VERIFICATION PART B 13.12 OF THE ISM CODE APPLIES
OR FOR A PERIOD OF GRACE WHERE PART B 13.14 OF
THE ISM CODE APPLIES

This Certificate should, in accordance with part B 13, 12 or part B 13.14 of the ISM Code, be accepted as valid until

Signed

(Signature of authorized official)

Place

Date

(Seal or stamp of the authority, as appropriate)

INTERIM DOCUMENT OF COMPLIANCE

(Official seal)

(State)

Certificate No.

Issued under the provisions of the
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974, as amended

Under the authority of the Government of _____

(name of the State)

By _____

(person or organization authorized)

Name and address of the Company

(see paragraph 1.1.2 of the ISM code)

Company identification number

THIS IS TO CERTIFY THAT the safety management system of the Company has been recognized as meeting the objectives of paragraph of the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code), for the type(s) of ships listed below (delete as appropriate)

- Passenger ship
- Passenger high- speed craft
- Cargo high- speed craft
- Bulk carrier
- Oil tanker
- Chemical tanker
- Gas carrier
- Mobile offshore drilling - unit
- Other cargo ship

This Interim Document of Compliance is valid until

Issued at

(place of issue of the document)

Date of issue

.....

(Signature of the duly authorized official issuing the document)

(Seal or stamp of issuing authority, as appropriate)

INTERIM SAFETY MANAGEMENT CERTIFICATE

(Official seal)

(State)

Certificate No.

Issued under the provisions of the
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974, as amended

Under the authority of the Government of _____
(name of the State)

By _____
(person or organization authorized)

Name of ship:

Distinctive number or letters:

Port of registry :.....

Type of ship*:

Gross tonnage:

IMO Number:

Name and address of Company:

(see paragraph 1.1.2 of the ISM Code)

Company identification number

THIS IS TO CERTIFY THAT the requirements of paragraph 14.4 of the ISM Code have been met and that the Document of Compliance Interim Document of Compliance** of the Company is Relevant to this ship.

This Interim Safety Management Certificate is valid until.....
subject to the Document of Compliance Interim Document of Compliance** remaining valid.

Issued at
(place of issue of the document)

Date of issue

.....
(Signature of the duly authorized official Issuing the certificate)

(Seal or stamp of issuing authority, as appropriate)

Certificate No.

The validity of this Interim Safety Management Certificate is extended to:

Date of extension :

.....
(Signature of the duly authorized official extending the validity)

(Seal or stamp of issuing authority, as appropriate)

* Insert the type of ship from among the following: passenger ship; passenger high-speed Craft; cargo high-speed craft; bulk carrier; oil tanker; chemical tanker; gas carrier; mobile Offshore drilling unit; other cargo ship.

** Delete as appropriate."

MSC-MEPC.7/Circ.5

19 October 2007

GUIDELINES FOR THE OPERATIONAL IMPLEMENTATION OF THE INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE BY COMPANIES

1 The Maritime Safety Committee at its eighty-second session (29 November to 8 December 2006) and the Marine Environment Protection Committee at its fifty-sixth session (9 to 13 July 2007) considered the report of the Group of Independent Experts on the impact of the ISM Code and its effectiveness in the enhancement of safety of life at sea and protection of the marine environment and agreed that guidelines and associated training should be developed to assist companies and seafarers in improving the implementation of the Code.

2 The Marine Environment Protection Committee at its fifty-sixth session (9 to 13 July 2007) and the Maritime Safety Committee at its eighty-third session (3 to 12 October 2007) further agreed that it was essential to review the existing guidelines and develop new guidelines to assist companies in effective and efficient operational implementation of the ISM Code.

3 Accordingly, the Committees approved the guidelines for operational implementation of the ISM Code by Companies as set out in the annex. 4 Member Governments and international organizations concerned are recommended to bring this circular to the attention of all parties concerned.

ANNEX

GUIDELINES FOR THE OPERATIONAL IMPLEMENTATION OF THE INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE BY COMPANIES

1 INTRODUCTION

1.1 The ISM Code

1.1.1 The International Management Code for the Safe Operation of Ships and for Pollution Prevention (International Safety Management (ISM) Code) was adopted by the Organization by resolution A.741(18) and became mandatory by virtue of the entry into force on 1 July 1998 of SOLAS chapter IX on Management for the Safe Operation of Ships. The ISM Code provides an international standard for the safe management and operation of ships and for pollution prevention.

1.1.2 The Maritime Safety Committee, at its seventy-third session, adopted amendments to chapter IX of SOLAS by resolution MSC.99(73), and to sections 1, 7, 13, 14, 15 and 16 of the ISM Code by resolution MSC.104(73).

1.1.3 The ISM Code requires that Companies establish safety objectives as described in section 1.2 of the ISM Code, and in addition that the Companies develop, implement and maintain a safety management system which includes functional requirements as listed in section 1.4 of the ISM Code.

1.1.4 The application of the ISM Code should support and encourage the development of a safety culture in shipping. Success factors for the development of a safety culture are, inter alia, commitment, values and beliefs.

2 SCOPE AND APPLICATION

2.1 Definitions

The terms used in these Guidelines have the same meaning as those given in the ISM Code.

2.2 Scope and Application

2.2.1 These Guidelines establish the basic principles for:

.2 the role of the Designated Person under the ISM Code;

.3 reporting and analysing of non-conformities, accidents and hazardous occurrences (including near-misses); and

.4 performing internal audits and management reviews, and do not reduce or replace the Company's responsibilities outlined in the ISM Code.

3 DEVELOPMENT OF THE SAFETY MANAGEMENT SYSTEM

3.1 The ISM Code requires that Companies establish safety objectives as described in section 1.2 of the ISM Code, and in addition that Companies develop, implement and maintain a safety management system (SMS) which includes functional requirements as listed in section 1.4 of the ISM Code.

3.2 Given the self-regulatory principles of the ISM Code, the internal verification and review processes are key elements in the implementation of each SMS. The Company should consider the outcome of internal audits, internal SMS reviews and analysis of non-conformities, accidents and hazardous occurrences to enhance the effectiveness of operations and procedures within their SMS. To comply with the Code, the Company should:

.1 designate a person or persons with direct access to the highest level of management who should monitor the safe operation of each ship (section 4);

.2 ensure that adequate resources and shore-based support are provided to enable the designated person or persons to carry out their functions (section 3.3);

.3 define and document the master's responsibility with regard to reviewing the safety management system and reporting its deficiencies to the shore-based management (section 5.1);

.4 establish procedures for reporting and analysis of non-conformities, accidents and hazardous occurrences (section 9.1);

.5 periodically evaluate the effectiveness of, and when needed, review the safety management system (section 12.2); and

.6 perform internal audits to verify whether safety management activities comply with the requirements of the safety management system (section 12.1).

4 DESIGNATED PERSON

4.1 A key role, as identified by the ISM Code, in the effective implementation of a safety management system is that of the Designated Person. This is the person based ashore whose influence and responsibilities should significantly affect the development and implementation of a safety culture within the Company.

4.2 The designated person should verify and monitor all safety and pollution prevention activities in the operation of each ship. This monitoring should include, at least, the following internal processes:

- .1 communication and implementation of the safety and environmental protection policy;*
- .2 evaluation and review of the effectiveness of the safety management system;*
- .3 reporting and analysis of non-conformities, accidents and hazardous occurrences;*
- .4 organizing and monitoring of internal audits;*
- .5 appropriate revisions to the SMS; and*
- .6 ensuring that adequate resources and shore-based support are provided.*

4.3 To enable the designated person to carry out this role effectively, the Company should provide adequate resources and shore-based support. These include:

- .1 personnel resources;*
- .2 material resources;*
- .3 any training required;*
- .4 clearly defined and documented responsibility and authority; and*
- .5 authority for reporting non-conformities and observations to the highest level of management.*

4.4 Designated Person(s) should have the qualifications, training and experience as set out in MSC-MEPC.7/Circ.6*, to effectively verify and monitor the implementation of the safety management system in compliance with the ISM Code.

* See *MSC-MEPC.7/Circ.6*

5 REVIEW OF THE SAFETY MANAGEMENT SYSTEM

5.1 The Company should, when needed, review and evaluate the effectiveness of the SMS in accordance with procedures established by the company. Further, it is one of the master's responsibilities to review the safety management system and to report its deficiencies to the shore-based management. Shore based and ship board internal audits should be performed at least once a year.

5.2 Management reviews support companies' efforts in achieving the general safety management objectives as defined in section 1.2.2 of the ISM Code. Based upon the results of such reviews, the Company should implement measures to improve further the effectiveness of the system. The review should be performed on a periodical basis or when needed, e.g., in case of serious system failures. Any deficiencies found during the management review should be provided with appropriate corrective action taking into account the Company's objectives. The results of such reviews should be brought to the attention of all personnel involved in a formal way. The management review should at least take into account the results of the internal audits, any non-conformities reported by the personnel, the master's reviews, analysis of non-conformities, accidents and hazardous occurrences and any other evidence of possible failure of the SMS, like non-conformities by external parties, PSC inspection reports, etc.

6 REPORTING AND ANALYSING OF NON-CONFORMITIES, OBSERVATIONS, ACCIDENTS AND HAZARDOUS OCCURRENCES

6.1 The SMS should contain procedures to ensure that non-conformities, observations and hazardous occurrences are reported to the responsible person of the management. The Company should have a system in place for recording, investigating, evaluating, reviewing and analysing such reports, and to take action as appropriate.

6.2 The system should ensure such reports are reviewed and evaluated by the responsible person(s) in order to determine appropriate corrective action and to ensure that recurrences are avoided. The evaluation of reports may result in:

- .1 appropriate corrective actions;*
- .2 amendments to existing procedures and instructions; and*
- .3 development of new procedures and instructions.*

6.3 The responsible person should properly monitor the follow-up and closing-out of the non-conformities/deficiency reports. The receipt of reports should be acknowledged to those persons who have raised the reports. This should include the status of the report and any decisions made.

6.4 The Company should encourage the reporting of near-misses to maintain and improve safety awareness (see MSC/Circ.1015). A near miss can be defined as hazardous situation where an accident was avoided. The reporting and analysis of such incidents are essential for an effective risk assessment by the Company, especially where accident information is not available.

7 INTERNAL AUDITS

7.1 Companies should carry out internal audits at least once per year to verify whether shore-based and shipboard activities comply with the SMS. These internal verifications should be prepared and conducted in accordance with procedures established by the Company. The procedures should at least consider the following elements:

- .1 responsibilities;*
- .2 competence and selection of auditors;*
- .3 audit scheduling;*
- .4 preparing and planning the audit;*
- .5 executing the audit;*
- .6 audit report; and*
- .7 corrective action follow-up.*

8 QUALIFICATIONS, TRAINING AND EXPERIENCE

8.1 The ISM Code requires the Company to ensure that all personnel involved in the Company's SMS have an adequate understanding of relevant rules, regulations, codes and guidelines. The Company should ensure that all personnel have the qualifications, training and experience that may be required in support of the SMS.

MSC-MEPC.7/Circ.6

GUIDANCE ON THE QUALIFICATIONS, TRAINING AND EXPERIENCE NECESSARY FOR UNDERTAKING THE ROLE OF THE DESIGNATED PERSON UNDER THE PROVISIONS OF THE INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE

1 The Marine Environment Protection Committee at its fifty-sixth session (9 to 13 July 2007) and the Maritime Safety Committee at its eighty-third session (3 to 12 October 2007) noted that the Maritime Safety Committee, at its seventy-fourth session (30 May to 8 June 2001), agreed that the Designated Person has a key role in the development and implementation of the safety management system within a shipping company with a view to

ensuring safety at sea, prevention of human injury or loss life, and avoidance of damage to the environment, in particular to the marine environment and to property.

2 The Committees also agreed that there was an urgent need to provide guidance to shipping companies on the qualifications, training and experience for undertaking the role of Designated Person under provisions of the International Safety Management (ISM) Code.

3 Accordingly, the Committees developed Guidance on the experience, qualifications and training for undertaking the role of Designated Person under the provisions of the International Safety Management (ISM) Code as set out in the annex.

4 Member Governments and international organizations concerned are recommended to bring this circular to the attention of all parties concerned.

ANNEX

GUIDANCE ON THE QUALIFICATIONS, TRAINING AND EXPERIENCE NECESSARY FOR UNDERTAKING THE ROLE OF THE DESIGNATED PERSON UNDER THE PROVISIONS OF THE INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE

1 INTRODUCTION

The present Guidance applies to persons undertaking the role of the Designated Person under the provisions of the International Safety Management (ISM) Code.

2 QUALIFICATIONS

2.1 Designated Person should have a minimum of formal education as follows:

- .1 qualifications from a tertiary institution recognized by the Administration or by the recognized organization, within a relevant field of management, engineering or physical science, or*
- .2 qualifications and seagoing experience as a certified ship officer pursuant to the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers (STCW), 1978, as amended, or*
- .3 other formal education combined with not less than three years practical senior level experience in ship management operations.*

3 TRAINING

3.1 Designated Person should have undergone training relating to safety management elements in compliance with the requirements of the ISM Code, particularly with regard to:

- .1 knowledge and understanding of the ISM Code;
- .2 mandatory rules and regulations;
- .3 applicable codes, guidelines and standards as appropriate;
- .4 assessment techniques of examining, questioning, evaluating and reporting;
- .5 technical or operational aspects of safety management;

- .6 appropriate knowledge of shipping and shipboard operations;
- .7 participation in at least one marine-related management system audit; and
- .8 effective communications with shipboard staff and senior management.

4 EXPERIENCE

4.1 Designated Person should have experience to:

- .1 present ISM matters to the highest level of management and gain sustained support for safety management system improvements;
- .2 determine whether the safety management system elements meet the requirements of the ISM Code;
- .3 determine the effectiveness of the safety management system within the Company and the ship by using established principles of internal audit and management review to ensure compliance with rules and regulations;
- .4 assess the effectiveness of the safety management system in ensuring compliance with other rules and regulations which are not covered by statutory and classification surveys and enabling verification of compliance with these rules and regulations;
- .5 assess whether the safe practices recommended by the Organization, Administrations, classification societies, other international bodies and maritime industry organizations to promote a safety culture had been taken into account; and
- .6 gather and analyse data from hazardous occurrences, hazardous situations, near misses, incidents and accidents and apply the lessons learnt to improve the safety management system within the Company and its ships.

5 COMPANY REQUIREMENTS AND RECORDS

5.1 The Company should provide training courses covering qualification, training and experience and the appropriate procedures connected to compliance with the ISM Code including practical training and continuous updating. The Company should also provide documentary evidence that the Designated Person has the relevant qualification, training and experience to undertake the duties under the provisions of the ISM Code.

MSC-MEPC.7/Circ.7 10 October 2008 GUIDANCE ON NEAR-MISS REPORTING

1 The Maritime Safety Committee, at its eighty-fourth session (7 to 16 May 2008), and the Marine Environment Protection Committee, at its fifty-eighth session (6 to 10 October 2008), noted that the Maritime Safety Committee, at its seventy-fourth session (30 May to 8 June 2001), considered the issue of reporting near-misses and how to promote a no-blame culture and issued MSC/Circ.1015 to encourage reporting of near-misses.

2 The Committees further noted that guidance was required:

.1 to encourage reporting of near-misses so that remedial measures can be taken to avoid recurrences; and

.2 on the implementation of near-miss reporting in accordance with the requirements of section 9 of the ISM Code with respect to reporting of hazardous situations.

3 Accordingly, in order to encourage the reporting of near-miss occurrences and promote a safety culture, the Committees approved the guidance as set out in the annex.

4 Member Governments and international organizations concerned are recommended to bring this circular to the attention of all parties concerned.

ANNEX

GUIDANCE ON NEAR-MISS REPORTING

1 Introduction

1.1 Companies should investigate near-misses as a regulatory requirement under the "Hazardous Occurrences" part of the ISM Code. Aside from the fact that near-miss reporting is a requirement, it also makes good business and economic sense because it can improve vessel and crew performance and, in many cases, reduce costs. Investigating near-misses is an integral component of continuous improvement in safety management systems. This benefit can only be achieved when seafarers are assured that such reporting will not result in punitive measures. Learning the lessons from near-misses should help to improve safety performance since near-misses can share the same underlying causes as losses.

1.2 For a company to realize the fullest potential benefits of near-miss reporting, seafarers and onshore employees need to understand the definition of a near-miss to ensure that all near-misses are reported. The company also needs to be clear about how the person who reports the near-miss and those persons involved will be treated. The guidance that follows suggests that the company should encourage near-miss reporting and investigation by adopting a "just culture" approach.

1.3 A "just culture" features an atmosphere of responsible behaviour and trust whereby people are encouraged to provide essential safety-related information without fear of retribution. However, a distinction is drawn between acceptable and unacceptable behaviour. Unacceptable behaviour will not necessarily receive a guarantee that a person will not face consequences.

1.4 It is a crucial requirement that the company clearly defines the circumstances in which it will guarantee a non-punitive outcome and confidentiality. The company should provide training and information about its approach to "just culture" near-miss reporting and investigation for all persons involved.

2 Defining near-miss

2.1 Near-miss: A sequence of events and/or conditions that could have resulted in loss. This loss was prevented only by a fortuitous break in the chain of events and/or conditions. The potential loss could be human injury, environmental damage, or negative business impact (e.g., repair or replacement costs, scheduling delays, contract violations, loss of reputation).

2.2 Some general examples of a near-miss help to illustrate this definition:

.1 Any event that leads to the implementation of an emergency procedure, plan or response and thus prevents a loss. For example, a collision is narrowly avoided; or a crew member double checks a valve and discovers a wrong pressure reading on the supply side.

.2 Any event where an unexpected condition could lead to an adverse consequence, but which does not occur. For example, a person moves from a location immediately before a crane unexpectedly drops a load of cargo there; or a ship finds itself off-course in normally shallow waters but does not ground because of an unusual high-spring tide.

.3 Any dangerous or hazardous situation or condition that is not discovered until after the danger has passed. For example, a vessel safely departs a port of call and discovers several hours into the voyage that the ship's radio was not tuned to the Harbour Master's radio frequency; or it is discovered that ECDIS display's scale does not match the scale, projection, or orientation of the chart and radar images.

3 Overcoming barriers to reporting near-misses

3.1 There are many barriers related to the reporting of near-misses. In many cases, near-misses are only known by the individual(s) involved who chose to report or not report the incident. Some of the main barriers to the reporting of near-misses include the fear of being blamed, disciplined, embarrassed, or found legally liable. These are more prevalent in an organization that has a blame-oriented culture. Amongst other barriers are unsupportive company management attitudes such as complacency about known deficiencies; insincerity about addressing safety issues and discouragement of the reporting of near-misses by demanding that seafarers conduct investigations in their own time.

3.2 These barriers can be overcome by management initiatives such as:

.1 Encouraging a "just-culture" in the company which covers near-miss reporting.

.2 Assuring confidentiality for reporting near-misses, both through company policy and by "sanitizing" analyses and reports so that personal information (information identifying an individual) of persons associated with a near-miss is removed and remain confidential. Personal information should not be retained once the investigation and reporting processes are complete.

.3 Ensuring that investigations are adequately resourced.

.4 Following through on the near-miss report suggestions and recommendations. Once a decision has been made to implement, or not implement, the report's recommendations should be disseminated widely.

4 The near-miss investigation process

- 4.1 As a minimum, the following information should be gathered about any near-miss:
- .1 *Who and what was involved?*
 - .2 *What happened, where, when, and in what sequence?*
 - .3 *What were the potential losses and their potential severity?*
 - .4 *What was the likelihood of a loss being realized?*
 - .5 *What is the likelihood of a recurrence of the chain of events and/or conditions that led to the near-miss?*

4.2 The answer to these questions will determine if an in-depth investigation is needed, or if a cursory report will suffice. An in-depth investigation is required of those near-misses which are likely to recur and/or which could have had severe consequences.

4.3 Once a decision has been taken to proceed with a full investigation, further decisions are taken about levels of staffing required, who should be responsible, and what resources are required for the investigation to be completed successfully. The main steps in the investigation are: Gathering near-miss information

4.4 Regardless of the nature of the near-miss, the basic categories of data that should be gathered include: people, paper documents, electronic data, physical, and position/location. These data are vital for ensuring that an understanding can be reached about what, how, who, and eventually why the near-miss occurred. Data gathering is done by interviews of key personnel and the collection of physical, position and location data, using such things as photographs, VDR recordings, charts, logs, or any damaged components. Furthermore, information should be gathered regarding safeguards in place to protect the persons on board and the public, and the operational systems impacting the near-miss event.

Analysing information

4.5 Applying data analysis techniques helps to identify information that still needs to be collected to resolve open questions about the near-miss and its causes. This can make the collection of additional data more efficient. The end goal of this activity is to identify all causal factors.

Identifying causal factors

4.6 At this point the who, what, where, why, and when of the near-miss is understood, and the human errors, structural/machinery/equipment/outfitting problems, and external factors that led to the near-miss, have been identified. The next step is to better understand the causal factors that contributed to the near-miss. There are a variety of identification methods for this purpose, including taxonomies of causes. These can be used for deep probing past the most evident causes.

Developing and implementing recommendations

4.7 Any recommendations made need to address all of the identified causal factors to improve organizational and shipboard policies, practices and procedures. Implementing appropriate recommendations is the key to eliminating or reducing the potential for the reoccurrence of similar near-misses or more serious losses.

5 Completing the investigation

5.1 Completion of the investigation process requires the generation of a report (either brief or extensive, depending on the depth of analysis performed and the extent of risk), and collating and storing the information in a way that supports subsequent (long term) trend analysis.

5.2 The ultimate objective of near-miss reporting and investigating is to identify areas of concern and implement appropriate corrective actions to avoid future losses. To do so requires that reports are to be generated, shared, read, and acted upon. Companies are encouraged to consider whether their report should be disseminated to a wider audience.

5.3 It may take years for safety trends to be discerned, and so reporting must be archived and revisited on a timely basis. Near-miss reports should be considered along with actual casualty or incident reports to determine trends. There should be consistency in the identification and nomenclature of causal factors across near-miss and casualty/incident reports.

MSC-MEPC.7/Circ.8

28 June 2013

REVISED GUIDELINES FOR THE OPERATIONAL IMPLEMENTATION OF THE INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE BY COMPANIES

1 The Maritime Safety Committee, at its ninety-second session (12 to 21 June 2013), and the Marine Environment Protection Committee, at its sixty-fifth session (13 to 17 May 2013), agreed to review the existing Guidelines for the operational implementation of the International Safety Management (ISM) Code by Companies (MSC-MEPC.7/Circ.5), with a view to enhancing the efficiency and user-friendliness of the ISM Code.

2 Accordingly, the Committees approved the Revised Guidelines for the operational implementation of the International Safety Management (ISM) Code by Companies, as set out in the annex.

3 Member Governments and international organizations concerned are recommended to bring this circular to the attention of all parties concerned.

4 This circular revokes MSC-MEPC.7/Circ.5.

ANNEX

REVISED GUIDELINES FOR THE OPERATIONAL IMPLEMENTATION OF THE INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE BY COMPANIES

1 INTRODUCTION

1.1 The ISM Code

1.1.1 *The International Management Code for the Safe Operation of Ships and for Pollution Prevention (International Safety Management (ISM) Code) was adopted by the Organization by resolution A.741(18) and became mandatory by virtue of the entry into force on 1 July 1998 of SOLAS chapter IX on Management for the Safe Operation of Ships. The ISM Code provides an international standard for the safe management and operation of ships and for pollution prevention.*

1.1.2 *The Maritime Safety Committee, at its ninety-second session (12 to 21 June 2013), adopted by resolution MSC.353(92) amendments to sections 3, 6, 12, 14, and footnotes of the ISM Code. As a result it was necessary to revise the Guidelines for the operational implementation of the International Safety Management (ISM) Code by Companies (MSC-MEPC.7/Circ.5) which are superseded by these Revised Guidelines.*

1.1.3 *The ISM Code requires that Companies establish safety objectives as described in section 1.2 (Objectives) of the ISM Code, and in addition that the Companies develop, implement and maintain a safety management system which includes functional requirements as listed in section 1.4 (Functional requirements for a safety management system) of the ISM Code.*

1.1.4 *The application of the ISM Code should support and encourage the development of a safety culture in shipping. Success factors for the development of a culture that promotes safety and environmental protection are, inter alia, commitment, values and beliefs and clarity of the Safety Management System.*

2 SCOPE AND APPLICATION

2.1 Definitions

The terms used in these Revised Guidelines have the same meaning as those given in the ISM Code.

2.2 Scope and application

2.2.1 *These Revised Guidelines establish the basic principles for:*

- .1 reviewing the safety management system by a Company;*
- .2 the role of the Designated Person under the ISM Code;*
- .3 reporting and analysing of non-conformities, accidents and hazardous occurrences (including near-misses);*
- .4 performing internal audits and management reviews,*

and do not reduce or replace the Company's responsibilities outlined in the ISM Code.

3 DEVELOPMENT OF THE SAFETY MANAGEMENT SYSTEM

3.1 The ISM Code requires that Companies establish safety objectives as described in section 1.2 of the ISM Code, and in addition that Companies develop, implement and maintain a safety management system (SMS) which includes functional requirements as listed in section 1.4 of the ISM Code.

3.2 Given the self-regulatory principles of the ISM Code, the internal verification and review processes are key elements in the implementation of each SMS. The Company should consider the outcome of internal audits, internal SMS reviews and analysis of non-conformities, accidents and hazardous occurrences to enhance the effectiveness of operations and procedures within their SMS.

To comply with the Code, the Company should:

- .1 designate a person or persons with direct access to the highest level of management who should monitor the safe operation of each ship (section 4);*
- .2 ensure that adequate resources and shore-based support are provided to enable the designated person or persons to carry out their functions (section 3.3);*
- .3 define and document the master's responsibility with regard to reviewing the safety management system and reporting its deficiencies to the shore-based management (section 5.1);*
- .4 establish procedures for reporting and analysis of non-conformities, accidents and hazardous occurrences (section 9.1);*
- .5 periodically evaluate the effectiveness of, and when needed, review of the safety management system (section 12.2); and*
- .6 perform internal audits to verify whether safety management activities comply with the requirements of the safety management system (section 12.1).*

4 DESIGNATED PERSON

4.1 A key role, as identified by the ISM Code, in the effective implementation of a safety management system is that of the Designated Person. This is the person based ashore whose influence and responsibilities should significantly affect the development and implementation of a safety culture within the Company.

4.2 The designated person should verify and monitor all safety and pollution prevention activities in the operation of each ship. This monitoring should include, at least, the following internal processes:

.1 communication and implementation of the safety and environmental protection policy;

.2 evaluation and review of the effectiveness of the safety management system;

.3 reporting and analysis of non-conformities, accidents and hazardous occurrences;

.4 organizing and monitoring of internal audits including verification of independence and training of internal auditors;

.5 appropriate revisions to the SMS; and

.6 ensuring that adequate resources and shore-based support as identified in paragraph 4.3 below are provided by the Company.

4.3 To enable the designated person to carry out this role effectively, the Company should provide adequate resources and shore-based support. These include:

.1 personnel resources;

.2 material resources;

.3 any training required;

.4 clearly defined and documented responsibility and authority; and

.5 authority for reporting non-conformities and observations to the highest level of management.

4.4 Designated Person(s) should have the qualifications, training and experience as set out in MSC-MEPC.7/Circ.6, to effectively verify and monitor the implementation of the safety management system in compliance with the ISM Code.

5 REVIEW OF THE SAFETY MANAGEMENT SYSTEM

5.1 The Company should periodically review and evaluate the effectiveness of the SMS in accordance with procedures established by the Company. Further, it is one of the master's responsibilities to review periodically the safety management system and to report its deficiencies to the shore-based management.

5.2 Management reviews support Companies efforts in achieving the general safety management objectives as defined in section 1.2.2 of the ISM Code. Based upon the results of such reviews, the Company should implement measures to improve further the effectiveness of the system. The review should be performed on a periodical basis as defined by the Company or when needed, e.g. in case of serious system failures. Any deficiencies found during the management review should be provided with appropriate corrective action taking into account the Company's objectives. The results of such reviews should be brought to the attention of all personnel involved in a formal way. The management review should at least take into account the results of the internal audits, any non-conformities reported by the personnel, the master's reviews, analysis of non-conformities, accidents and hazardous occurrences and any other evidence of possible failure of the SMS, like non-conformities by external parties, PSC inspection reports, etc.

6 REPORTING AND ANALYSING OF NON-CONFORMITIES, OBSERVATIONS, ACCIDENTS AND HAZARDOUS OCCURRENCES

6.1 The SMS should contain procedures to ensure that non-conformities, observations and hazardous occurrences are reported to the responsible person of the management. The Company should have a system in place for recording, investigating, evaluating, reviewing and analysing such reports, and to take action as appropriate.

6.2 The system should ensure such reports are reviewed and evaluated by the responsible person(s) in order to determine appropriate corrective action and to ensure that recurrences are avoided. The evaluation of reports may result in:

- .1 appropriate corrective actions;*
- .2 amendments to existing procedures and instructions; and*
- .3 development of new procedures and instructions.*

6.3 The responsible person should properly monitor the follow-up and closing-out of the non-conformities/deficiency reports. The receipt of reports should be acknowledged to those persons who have raised the reports. This should include the status of the report and any decisions made.

6.4 The Company should encourage the reporting of near-misses to maintain and improve safety awareness. The reporting and analysis of such incidents are essential for an effective risk assessment by the Company, especially where accident information is not available.

7 INTERNAL AUDITS

Companies should carry out internal shore-based and shipboard audits at intervals not exceeding 12 months to verify whether shore-based and shipboard activities comply with the SMS. In exceptional circumstances as documented by the Company, this period may be exceeded by not more than three months. These internal verifications should be prepared and conducted in accordance with procedures established by the Company. The procedures should at least consider the following elements:

- .1 responsibilities;*
- .2 competence and selection of auditors;*
- .3 audit scheduling;*
- .4 preparing and planning the audit;*
- .5 executing the audit;*
- .6 audit report; and*
- .7 corrective action follow-up.*

8 QUALIFICATIONS, TRAINING AND EXPERIENCE

The ISM Code requires the Company to ensure that all personnel involved in the Company's SMS have an adequate understanding of relevant rules, regulations, codes, guidelines. The Company should ensure that all personnel have the qualifications, training and experience that may be required in support of the SMS. All persons performing internal audits should have successfully completed a relevant auditor training course.

9 THE COMPANY'S RESPONSIBILITIES

The Company which has taken over all the duties and responsibilities imposed by the Code should provide adequate resources (e.g. technical, financial and human resources) to ensure that the safety management objectives will be achieved. ISM-related tasks being carried out by the Company's branch offices or by external entities should be outlined in the SMS. The Company should verify that all those undertaking ISM-related tasks perform in accordance with established procedures.
