



Directorate General of Shipping

DSM INSTRUCTION MANUAL
FOR AUDITORS

DOCUMENT REVIEW CHECKLIST

Section: Annex A

Page No: 1 of 7

Dt Revised:28.02.2014


Dt Effective:31.03.2014

Prepared by: E&SS(R)

Released by: DyCS(S)

COMPANY NAME:

DSM Code Para	DSM Code Requirement	Documented Yes/No	Remarks
12.4	Objectives		
12.4.1	Are the objectives of the Code documented?		
12.4.2	<p>Does the safety management objective of the Company include all the elements of Paragraph 12.4.2?</p> <p>Has the Company put in place a mechanism for ensuring compliance with mandatory rules/regulations?</p> <p>Do the documented procedures ensure that applicable codes, guidelines etc. of flag state, classification societies, industry associations are implemented?</p> <p>Does the Company have procedure for maintaining the condition of ship and equipment between surveys?</p>		
12.2	<p>APPLICATION</p> <p>Have the requirements of DSM Code been applied to various ship -types operated by the Company?</p> <p>What are the said ship types?</p>		
12.5	<p>FUNCTIONAL REQUIREMENTS FOR A SAFETY- MANAGEMENT SYSTEM</p> <p>For Type 1 & 2 River Sea vessels: Does the documented system address all the functional requirements of the DSM Code?</p> <p>For Type 1 & 2: Are there written procedures and work instructions to facilitate safe practices being taken into account in ship operation?</p>		

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COMPANY NAME:			
DSM Code Para	DSM Code Requirement	Documented Yes/No	Remarks
12.6	SAFETY AND ENVIRONMENTAL- PROTECTION POLICY		
12.6.1	Has the Company established its safety and environment protection policy with the objective of safe ship operation and the prevention of pollution? Has the Head of the Company authorized it?		
12.6.2	Has the Company documented how it ensures that the policy is understood, implemented and maintained at all levels of the Company, both ship-based and shore-based?		
12.7	COMPANY RESPONSIBILITIES AND AUTHORITY		
	<p>If the Owner has assigned responsibilities for various elements of SMS, are they appropriately documented and relevant entities identified?</p> <p>Do the reporting procedures ensure that the Company (DDOC holder) is in full control of all sub-contracted SMS related activities?</p> <p>Is the responsibility, authority and reporting channel of all personnel on shore (Head and Branch Offices) and at River/sea involved in the management of safety and environment protection defined and documented?</p> <p>Is the interface between shore staff and key shipboard personnel defined?</p> <p>Is an organizational chart describing the reporting channels and interrelationships included?</p> <p>Is the required level of competence for various tasks involved defined?</p> <p>Has the Company documented its obligation to provide adequate resources, hardware as well as human resources?</p>		



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12.8	DESIGNATED PERSON (S) (DP)		
	<p>Is the appointment of the Designated Person in line with the requirements of code w.r.t appropriate knowledge on river-sea vessel operation?</p> <p>Does the Designated Person have access to the highest level of management and is it documented?</p> <p>Do the responsibilities of the DP include:</p> <ul style="list-style-type: none"> ■ Monitoring of SMS and safe operation of river-sea vessels; ■ Providing a link between ship and shore in matters related to safety and pollution prevention; ■ Is his commensurate authority and independence adequately documented? 		
12.9	MASTER'S RESPONSIBILITY AND AUTHORITY		
	<p>Is the Master's responsibility for the following tasks documented:</p> <ol style="list-style-type: none"> 1. Implementing safety and environment protection policy. 2. Safe operation of ship. <p>Is there a clear statement emphasizing the Master's overriding authority pertaining to SMS?</p> <p>Is there a statement emphasizing his responsibility to take decisions with respect to SMS and request for Company's assistance when deemed necessary?</p>		



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12.10	RESOURCES AND PERSONNEL		
12.10.1	<p>Is the manning of each ship with qualified, medically fit & suitably experienced seafarers in accordance with the relevant rules as documented?</p> <p>Is there a procedure to ensure that seafarers are medically fit prior to their engagement?</p> <p>Is there a procedure to ensure the veracity and authenticity of Certificate of Competencies of seafarers?</p> <p>Where recruitment is done through a manning agent, does the company have a procedure for verifying that the agent follows its policy?</p>		
12.10.2	<p>Is there a procedure to ensure that all seafarers who are newly employed onboard are given sufficient opportunity to become familiar with the shipboard equipment, operating procedures and other arrangements needed for the proper performance of their duties, before being assigned to those duties?</p> <p>Does the procedure include familiarization applicable to new or transferred shore staff with respect to their SMS related responsibilities?</p>		
12.11	<p>DEVELOPMENT OF PLANS FOR SHIPBOARD OPERATIONS</p> <p>Has the Company identified the key shipboard operations?</p> <p>Is there a procedure for identification of key shipboard operations?</p> <p>Are there plans and instructions, which may include procedures and checklists that govern or support shipboard activities related to the safety of the ship and the prevention of pollution?</p> <p>Is there a procedure for the preparation of plans and instructions?</p> <p>Does the procedure ensure that the plans and Instructions are kept updated based on its operational experience and regulatory changes?</p> <p>Has the Company established qualification requirements for those who are assigned to develop,review and approve such plans and instructions?</p>		

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COMPANY NAME:

DSM Code Para	DSM Code Requirement	Documented Yes/No	Remarks
12.12	EMERGENCY PREPAREDNESS		
12.12.1	<p><i>Has the Company established procedures to identify, describe and respond to potential emergency shipboard situations?</i></p> <p>Has the Company considered potential emergencies likely to be encountered by River-Sea vessels?</p> <p>Are the emergency shipboard situations identified, appropriate for the type of ship and its operation?</p> <p>Does the contingency plans include the following, as applicable:</p> <ul style="list-style-type: none"> procedures to be followed in response to different types of emergency situations; procedure for establishing and maintaining contact between ship and ashore; checklists appropriate to the type of emergency, which may assist in ensuring that no steps in emergency response procedure is omitted. Updated list of names and contact details of all pertinent organizations e.g. Insurance, P & I Club, Salvage Association; Classification Society; Flag State; Media consultant; Legal advisors; Manning agent; Coastal State authority etc. the composition and duties of the persons acting within the contingency plan; procedure for notifying and liaising with next of kin; procedure for issuing press statements and answering media and public; back up arrangement after the Company's initial response in the case of a protracted emergency. 		

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12.12.2	Has the Company established programmes for drills and exercises to prepare for emergency actions and evacuation from River Sea vessels?		
12.12.3	<p>Has company established programmes for drills /exercises which, where possible, would include all personnel ashore and onboard?</p> <p>Does the contingency plan provide for measures ensuring that the Company's shore side organization can respond at any time to hazards, accidents and emergency situations involving its ships?</p> <p>Does the contingency plan ensure that the Company has available the shore side organizational structure, resources, means and procedures for communications and equipment for responding to a shipboard emergency?</p> <p>Are the shipboard contingency plan and shore side contingency plan compatible with each other?</p>		
12.12.4	Does the SMS require maintenance of record of drills having been carried out and are available for verification?		
12.13	REPORTING OF ACCIDENTS		
12.13.1	<p>Does the system for reporting of accidents, non-conformities and near misses include a description of the possible causes and proposal for corrective and preventive actions?</p> <p>Have the responsibilities for reporting and analyzing been identified?</p>		
12.14	CERTIFICATION AND REVIEW		
12.14.7	Has the company established requirement for carrying out review of its safety management system at least once every five years?		

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COMPANY NAME:			
DSM Code Para	DSM Code Requirement	Documented Yes/No	Remarks
12.15.3	Non Conformities and Corrective action		
12.15.3.1	Has the Company specified exactly what is to be reported as non-conformity?		
12.15.3.2.a	Are the procedures for remedial action in the event of a major Non Conformity as per DSM Code 12.15.3.2 (a)?		
12.15.3.2.b	Are the procedures for closing out Non Conformity clearly defined and as per DSM Code Clause 12.15.3.2(b) and 12.15.3.3?		