

**CHECKLIST FOR SCRUTINY OF  
COMPANY SMS MANUAL**

Place .....

Scrutiny Report no. ....

Completion date of Scrutiny .....

This form is an appendix to the Document Review Check List.

COMPANY NAME :

COMPANY ID NO :

OFFICE ADDRESS WITH TEL. NO. & FAX NO :

CONTACT PERSON :

No	Item	Yes	No	NA
1	<p>Safety policy is :</p> <ul style="list-style-type: none"> <li>. written in languages(s) understood by shore and shipboard personnel</li> <li>. signed by the top management of the company</li> </ul> <p>. The SMS apex manual is prepared in accordance with <u>MS Notice 09 of 2014</u> and that it provides cross reference to all other related manuals</p>	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>
2	<p>The SMS Apex Manual contains a</p> <ul style="list-style-type: none"> <li>. formal organizational structure</li> <li>. statement on the masters overriding authority</li> <li>. specified command language</li> <li>. specified working language for ship /shore communication</li> </ul>	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>
3	<p>Communication procedure including :</p> <ul style="list-style-type: none"> <li>. the periodic reporting of the ships position at sea</li> <li>. port arrival and departure advice</li> <li>. emergencies</li> <li>. the reporting of hazardous occurrences, incidents and accidents, injuries and near misses</li> </ul>	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>
4	<p>The designated person is familiar with the aspects of safety and environment protection of ship operation and with company's policies. A back up for the designated person is :</p> <ul style="list-style-type: none"> <li>. Identified .....</li> <li>. Available .....</li> </ul> <p>The qualification of Designated person is in accordance with</p>	<input type="checkbox"/>   <input type="checkbox"/>	<input type="checkbox"/>   <input type="checkbox"/>	<input type="checkbox"/>   <input type="checkbox"/>
5	<p>SOLAS Chapter V, Reg. 34-1 (master's discretion for navigation) is specifically addressed within the SMS</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

No	Item	Yes	No	NA
6	<b>Shore Based personnel :</b> . new regulation are reviewed . appropriate recommendations for implementation and timely compliance are given . essential plans and manual for each ship are available . procedure for selection training and recruitment are available . procedure for personnel including newly appointed personnel for familiarization with the SMS is documented . procedure for the identification of training needs are available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	<b>Shipboard Personnel :</b> . a procedure for selection and recruitment including a) appropriate qualification b) medical fitness c) verification of seafarers documents and their adequate understanding in the designated command language is in place d) appraisal system for identification of training needs is available . employment agreements are made in accordance to Merchant Shipping Laws circulars/notices issued there on If any managers or manning agents are used, a system to control the same is in place .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	Procedure for the preparation of plans and instructions for key Shipboard operations are available.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	Procedure to identify describe and respond to emergency situation is available.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10	<b>Emergency plan a shore</b> It has been ensured that the following are included : . composition and duties of the emergency response team (ERS) . procedures to assemble the ERS . procedures for establishing the contact between ship and ashore . checklist for systematic interrogation of the ship appropriate to the type of emergency . reporting methods for ship and shore personnel . procedures to obtain details and contact numbers of persons and organization who must be notified . contact reference data for companies and organizations who May be required to be reported and informed for assistance . back up arrangement in the event for prolonged emergency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11	Risk assessment and procedure for preventive maintenance of the ships equipment / machineries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12	Basis the ship type the company is capable of managing ships, the technical equipment whose failure may result in hazardous situations has been identified and in addition and their preventive maintenance and testing is applied	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13	It is verified that procedures for MS records and maintenance is adequate for ship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14	It is verified that procedure for SMS records and maintenance is adequate for ship type .....(please write the ship type for which the manual was scrutinized)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

This is to declare that undersigned has examined and filled all above parameters of this check list

On completion of scrutiny of the SMS (Apex) manual of the company for ship.....the manual has been approved and it is recommended to the Directorate General of Shipping that the Interim DOC audit of the company may now be undertaken.

Name , Signature and Stamp of Surveyor :



**ISM INSTRUCTION MANUAL  
FOR AUDITORS  
DOCUMENT REVIEW CHECKLIST**

SECTION : Annex "A"00  
Page No. : 1 of 9  
Dt. Revised : 14.08.2015      Rev No. 2  
Dt. Effective : 01.09.2015  
Prepared by : E&SS  
Released by : Dy. CS

COMPANY'S NAME :

ISM Code Para	ISM Code requirement	Documented Yes / No	Remarks
1.2	<b>OBJECTIVES</b>		
1.2.1	Are the objectives of the Code documented ?		
1.2.2	Does the safety management objective of the company Include all the elements of paragraph 1.2.2?  Is there a Procedure to Assess all risk associated to the Operations addressed?		
1.2.3.1	Has the Company put in place a mechanism for ensuring Compliance with mandatory rules/regulations?  Does the Company have in place procedures and Instructions defining the process by which it ensures Compliance with mandatory requirements at all times?  Does the Company have procedures for maintaining the Condition of ship and equipment between surveys?		
1.2.3.2	Do the documented procedures ensure that applicable Code, guidelines etc. of flag state, classification societies, Industry association is taken into account?		
1.3	<b>APPLICATION</b> Has the requirements of ISM Code been applicable to Various ship types operated by the Company? What are the ship types?		
1.4	<b>FUNCTIONAL REQUIREMENTS FOR A SAFETY-MANAGEMENT SYSTEM</b>		
	Does the documented system address all the functional Requirements of the ISM Code?  Are there written procedures and work instruction to Facilitate safe practices being taken into account in Ship operation?		
<b>2</b>	<b>SAFETY AND ENVIORNMENTAL-PROTECTION POLICY</b>		
2.1	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?		
2.2	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?		
<b>3</b>	<b>COMPANY RESPONSIBILITIES AND AUTHORITY</b>		
3.1	If the Owner has assigned responsibilities for various elements of SMS, are they appropriately documented and relevant entities identified?  Do the reporting procedures ensure that the Company (DOC holder ) is in full control of all Sub -contracted SMS related activities?		



सत्यमेव जयते

**ISM INSTRUCTION MANUAL  
FOR AUDITORS  
DOCUMENT REVIEW CHECKLIST**

SECTION : Annex "A"00

Page No. : 2 of 9

Dt. Revised : 14.08.2015 Rev No 2

Dt. Effective : 01.09.2015

Prepared by : E&SS

Released by : Dy CS

COMPANY'S NAME :

ISM Code Para	ISM Code requirement	Documented Yes / No	Remarks
3.2	<p>Is the responsibility, authority and reporting channel of all Personnel on shore (Head and Branch Officers) and at 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 interrelationship included?</p> <p>Is the required level of competence for various tasks Involved defined?</p>		
3.3	<p>Has the Company documented its obligation to provide Adequate resources, hardware as well as human resources?</p>		
<b>4</b>	<b>DESIGNATED PERSON (S) (DP)</b>		
	<p>Is the appointment of the Designated Person with access To the highest level of management documented?</p> <p>Do the responsibilities of the DP include:</p> <ul style="list-style-type: none"> <li>• Monitoring of SMS;</li> <li>• Providing a link between ship and shore in matters Of safety and pollution prevention;</li> <li>• Ensuring that adequate resources and shore Based support is applied</li> </ul> <p>Is his commensurate authority and independence Adequately documented?</p>		
<b>5</b>	<b>MASTER'S RESPONSIBILITY AND AUTHORITY</b>		
5.1	<p>Is the Master's responsibility for the following tasks Documented:</p> <ol style="list-style-type: none"> <li>1. Implemented safety and environment protection policy.</li> <li>2. Motivating crew</li> <li>3. Issuing orders and instructions in clear and simple languages;</li> <li>4. Verifying the specified requirements are met.</li> <li>5. Reviewing the SMS and reporting its deficiencies to shore based management.</li> </ol> <p>Is the method for motivating crew specified?</p> <p>Are the methods for issuing orders and instructions Specified?</p> <p>Is it specified how the Master should carry out his verification functions?</p> <p>Is the method and frequency for the Master's review Of SMS specified?</p> <p>Are there any requirements for keeping records of Such reviews?</p> <p>Is there any documented procedures for the Master to Report deficiencies in the SMS?</p>		



**ISM INSTRUCTION MANUAL  
FOR AUDITORS  
DOCUMENT REVIEW CHECKLIST**

SECTION : Annex "A"00

Page No. : 3 of 9

Dt. Revised : 14.08.2015 Rev No 2

Dt. Effective : 01.09.2015

Prepared by : E&SS

Released by : Dy.CS

COMPANY'S NAME :

ISM Code Para	ISM Code requirement	Documented Yes / No	Remarks
5.2	<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> <p>Is the intent of IMO Resolution A. 443(XI)-Decision, Of the Shipmaster with regards to Maritime Safety and Marine Environment Protection" incorporated?</p>		
<b>6</b>	<b>RESOURCES AND PERSONNEL</b>		
6.1.1	<p>Does the documentation address that the Master should Be properly qualified for command?</p> <p>Has the Company specified minimum requirements for The made qualification and experience?</p>		
6.1.2	Does the Company have procedures to ensure that Master's Are made fully conversant with Company's SMS		
6.1.3	Has the Company documented its obligation to give Necessary support so that the Master can Perform his duties safely?		
	Has the Company specified in what forms this Support is provided?		
6.2.1	<p>Is the manning of each ship with qualified, medically Fit and suitably experienced seafarers in accordance With the relevant rules documented?</p> <p>Is there a procedure to ensure that seafarers are Medically fit prior to their engagement?</p> <p>Is there a procedures to ensure the veracity and authenticity Of Certificate of Competencies of seafarers?</p> <p>Where recruitment is done through a manning agents, does The company have a procedures for verifying that the agent Follows its policy?</p>		
6.2.2	Is the company ensured that the vessel are appropriately manned in order to encompass all aspects of maintaining safe operations on board-.		
6.3	<p>Is there a procedures 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 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> <p>Are the instructions that are essential; to be provided Proper to sailing identified and documented.</p>		



**ISM INSTRUCTION MANUAL  
FOR AUDITORS  
DOCUMENT REVIEW CHECKLIST**

SECTION : Annex "A" 00  
Page No. : 4 of 9  
Dt. Revised : 14.08.2015    Rev No 2  
Dt. Effective : 01.09.2015  
Prepared by : E&SS  
Released by : Dy CS

COMPANY'S NAME :

ISM Code Para	ISM Code requirement	Documented Yes / No	Remarks
6.4	<p>Has the Company identified rules, regulations, Coded and guidelines applicable for its operation? Are these listed and under document control? Is there a system to communicate this information to All personnel involved in the Company 's SMS through Written procedures, fleet circulars formal discussions With Company representative etc?  How does the Company verify that all personnel involved In the Company's SMS have an adequate understanding Of relevant rules, regulations, codes and guidelines?</p>		
6.5	<p>Has the Company documented its procedures for Identifying any training which may be required in Support of the SMS and ensure that such training Is provided to all personnel concerned? Are the individuals having responsibility for establishing Training needs identified in the procedures? Does the procedures define ways of periodically reviewing Individuals training needs and or checking the validity of Recorded qualifications in line with international, national And additional company requirement, if any?  Is the periodically of such reviews defined?</p>		
6.6	<p>Has the Company established working language(s) On board its ships?  Is there a procedure by which the ship's personnel Receive relevant information on the SMS in a working Language or languages understood by them?</p>		
6.7	<p>Is there a procedure by which it is ensured that crew Selected for individuals ships are able to communicate Among themselves in matters related to safety and Pollution prevention duties?</p>		
7	<p><b>DEVELOPMENT OF PLANS FOR SHIPBOARD OPERATIONS</b>  Has the Company identified the key shipboard operations? Is their a procedures for identification of key shipboard Operations? Are there plans and instructions, which may include Procedures and checklists, that governor support Shipboard activities related to the safety of the ship And the prevention of pollution? Is there a procedures for the preparation Of plans and instructions? Does the procedures ensure that the plans and Instructions are kept updated based on its operational Experience and regulatory changes? Has the Company established qualification requirements For those who are assigned to develop, review and Approve such plans and instructions?</p>		
8	<p><b>EMERGENCY PREPARENDNESS</b></p>		



**ISM INSTRUCTION MANUAL  
FOR AUDITORS  
DOCUMENT REVIEW CHECKLIST**

SECTION : Annex "A"00  
Page No. : 5 of 9  
Dt. Revised : 14.08.2015    Rev No 2  
Dt. Effective : 01.09.2015  
Prepared by : E&SS  
Released by : Dy CS

COMPANY'S NAME :

ISM Code Para	ISM Code requirement	Documented Yes / No	Remarks
8.1	<p>Has the company established procedures to identify, Describe and respond to potential emergency shipboard Situations? Are the emergency shipboard situations identified, Appropriate for the type or ship and its operation?</p> <p>Does the contingency plans include the following, As applicable:</p> <ul style="list-style-type: none"> <li>• Procedures to be followed in response to different Types of emergency situations;</li> <li>• Procedure for establishing and maintaining contact between ship and shore;</li> <li>• Checklists appropriate to the type of emergency, Which may assist in ensuring that no steps in Emergency response procedures is omitted.</li> <li>• List of names and contact details of all pertinent Organizations e.g. Insurance, P&amp;I club, Salvage Association; Classification Society; Flag State; Media consultant ;Legal advisor Manning agent; Coastal State authority etc.</li> <li>• The composition and duties of the persons acting Within the contingency plan;</li> <li>• Procedures for notifying and liaising with next of kin;</li> <li>• Procedure for issuing press statements and Answering media and public</li> <li>• Back up arrangement after the Company initial Response in the case of a protracted emergency.</li> </ul>		
8.2	<p>Has the Company established programmes for drills And exercises to prepare for emergency actions?</p> <p>Does the SMS require maintenance of drills Having been carried out and be available for verification?</p>		
8.3	<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 equipments for responding to a shipboard Emergency?</p> <p>Are the shipboard contingency plan and shore side Contingency plan compatible with each other?</p>		
9	<b>REPORTS AND ANALYSIS OF NON-CONFORMITIRES, ACCIDENTS AND HAZARDOUS OCCURANCES</b>		
9.1	<p>Are there procedures to ensure that non-conformities, accidents and hazardous situations are reported to the Company, investigated and analyzed with the objective of improving safety and pollution prevention?</p>		



**ISM INSTRUCTION MANUAL  
FOR AUDITORS  
DOCUMENT REVIEW CHECKLIST**

SECTION : Annex "A"00  
Page No. : 6 of 9  
Dt. Revised : 14.08.2015    Rev No 2  
Dt. Effective : 01.09.2015  
Prepared by : E&SS  
Released by : Dy.CS

COMPANY'S NAME :

ISM Code Para	ISM Code requirement	Documented Yes / No	Remarks
	Has the Company specified exactly what is to be reported as non-conformity? 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 ? Has the responsibilities for reporting and analyzing been identified?		
9.2	Has the Company established a procedure for implementing corrective and preventive actions ?		
<b>10</b>	<b>MAINTENANCE OF THE SHIP AND EQUIPMENT</b>		
10.1	Has the Company established procedures to ensure that the ship is maintained in conformity with the provisions of the relevant rules and regulations and with any additional requirements of the Company ?  Does these requirements apply to the maintenance of the hull, the deck machinery and the life-saving and fire-fighting equipment as they do to engine room items ?		
	Do the maintenance procedure take following into account ?		
	1. the maintenance recommendations and specifications of the equipment manufacturer;		
	2. the history of the equipment including failures, defects and damage, and the corresponding remedial action;		
	3. the results of third-party inspections;		
	4. the age of the ship;		
	5. identified critical equipment or systems;		
	6. the consequences of the failure of the equipment on the safe operation of the ship;		
	Is there a requirement for periodic testing of lubricating oil for monitoring purposes as part of machinery maintenance and the disposal method of used lubricants ?		
10.2	Are there procedures to ensure that :		
	1. Inspections are held at appropriate intervals;		
	2. Technical deficiencies (defect in, or failure in the operation of, a part of the ship's structure or its machinery, equipment of fittings) are reported with their possible causes, if known;		
	3. Appropriate corrective action is taken, and		
	4. Records of these activities are maintained. Do the above procedures address :		
	1. the maintenance intervals;		
	2. the definition of the methods and frequency of		



**ISM INSTRUCTION MANUAL  
FOR AUDITORS  
DOCUMENT REVIEW CHECKLIST**

SECTION : Annex "A"00  
Page No.: 7 of 9  
Dt. Revised : 14.08.2015    Rev No 2  
Dt. Effective : 01.09.2015  
Prepared by : E&SS  
Released by : Dy. CS

COMPANY'S NAME :

ISM Code Para	ISM Code requirement	Documented Yes / No	Remarks
	inspection;		
3.	the specification of the type of inspection and measuring equipment to be used, and the accuracy required of it;		
4.	the establishment of appropriate acceptance criteria (pass/fail);		
5.	the assignment of responsibility for inspection activities to appropriately qualified personnel;		
6.	the assignment of responsibility for maintenance activities to appropriately qualified personnel;		
7.	the clear definition of reporting requirements and mechanisms.		
	Are there requirements to maintain the following records ?		
	Externally-generated records		
1.	Class records, reports and certificates		
2.	Statutory records, reports and certificates		
3.	Port State control reports		
4.	Reports of vetting organizations		
	Internally-generated records		
1.	Records of routine shipboard inspections		
2.	Records of maintenance work carried out		
3.	Records of the testing of stand-by and other critical equipment		
4.	Records of the testing of alarms and emergency shut-downs		
5.	Superintendents' visit and inspection reports		
6.	Internal and third party audit reports		
7.	Reports of non-conformities, accidents and hazardous occurrences		
8.	Records of the implementation and verification of corrective action		
9.	Spare part requests, acknowledgements, delivery notes etc.		
10.3	Are there procedures to identify equipment and technical systems the sudden operational failure of which may result in hazardous situations ?		
	Are these equipment and technical systems listed?		
	Are there procedures providing for specific measures aimed at promoting the reliability of such equipment or systems ?		
	Do these measures include regular testing of stand-by arrangements and equipment or technical systems that are not		



**ISM INSTRUCTION MANUAL  
FOR AUDITORS  
DOCUMENT REVIEW CHECKLIST**

SECTION : Annex "A"00  
Page No. : 8 of 9  
Dt. Revised : 14.08.2015      Rev No 2  
Dt. Effective : 01.09.2015  
Prepared by : E&SS  
Released by : Dy.CS

COMPANY'S NAME :

ISM Code Para	ISM Code requirement	Documented Yes / No	Remarks
	in continuous use.		
10.4	Are the inspections mentioned in 10.2 as well as the measures referred to in 10.3 integrated into the ship's operational maintenance documents ?		
<b>11</b>	<b>DOCUMENTATION</b>		
11.1	Are there procedures to control all documents, which are relevant to the SMS to ensure that applicable documents are available at places of use and that obsolete documents are promptly removed to obviate the possibility of unintended use ?  Do they include :		
	1. internally generated documents like SMS Procedures, Checklists, Reporting Forms, Work Instructions, Fleet Circulars, etc; and		
	2. externally generated documents like navigation charts, mandatory statutory rules and conventions, ship's plans, maintenance and operation manuals of equipments, industry guidelines, as applicable. Are the responsibilities for control and distribution of documents ashore and on board ships clearly defined ?		
11.3	Has the Company established a document structure for all the documentation that constitutes the SMS ?		
<b>12</b>	<b>COMPANY VERIFICATION, REVIEW AND EVALUATION</b>		
12.1	Has the Company established requirement for carrying out internal safety audits covering all functional areas ashore and on board ships, to verify whether safety and pollution-prevention activities comply with the SMS requirements ?  Have procedures been established for the Company Senior Management to periodically evaluate the efficiency of and review the SMS ?  Does the above procedure specify the agenda items for the review meetings, the members of the review committee and the frequency of such reviews ?		
12.2	Has the Company documented procedures or a policy to periodically verify whether all those undertaking delegated ISM-related tasks are acting in conformity with the Company's responsibilities under the Code."		
12.3	Has the company established a policy to conduct a Management review of the Safety Management System? Is there a procedure established for the same .		
12.4	Has the Company established documented procedures for conduct of internal audits and subsequent corrective and preventive actions?		



**ISM INSTRUCTION MANUAL  
FOR AUDITORS  
DOCUMENT REVIEW CHECKLIST**

SECTION : Annex "A"00  
Page No. : 9 of 9  
Dt. Revised : 14.08.2015 Rev No 2  
Dt. Effective : 01.09.2015  
Prepared by : E&SS  
Released by : Dy.CS

COMPANY'S NAME :

ISM Code Para	ISM Code requirement	Documented Yes / No	Remarks
	Do the documented procedure define :-		
	1. The specific areas and activities to be audited;		
	2. The qualification of internal auditors;		
	3. Procedure for reporting non-conformities;		
	4. Procedure for review and closure of non-conformities within defined time frames;		
	5. Periodicity of internal audits;		
	6. Roles and responsibilities; and		
	7. Record keeping.		
12.5	Does the above procedure specify that 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	Does it specify that results of audits and reviews be brought to the attention of all personnel having responsibility in the area involved?		
12.7	Is it specified that the management personnel responsible for the area involved should take timely corrective action on deficiencies found?		

Approved by : Chief Surveyor with the Govt. of India