

RESOLUTION A. 788(19) adopted on 23 November 1995  
GUIDELINES ON IMPLEMENTATION OF THE INTERNATIONAL SAFETY  
MANAGEMENT (ISM) CODE BY ADMINISTRATIONS



ASSEMBLY  
19th session  
Agenda item 12

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**GUIDELINES ON IMPLEMENTATION OF THE INTERNATIONAL SAFETY  
MANAGEMENT (ISM) CODE BY ADMINISTRATIONS**

THE ASSEMBLY,

RECALLING Article 15(j) of the Convention on the International Maritime Organization concerning the functions of the Assembly in relation to regulations and guidelines concerning maritime safety and the prevention and control of marine pollution from ships,

RECALLING ALSO resolution A.741(18) by which the Assembly adopted the International Management Code for the Safe Operation of Ships and for Pollution Prevention (International Safety Management (ISM) Code),

NOTING that the ISM Code is expected, under the provisions of chapter IX of the International Convention for the Safety of Life at Sea (SOLAS), 1974, to become mandatory for companies operating certain types of ships, as from 1 July 1998,

RECOGNIZING that an Administration, in establishing that safety standards are being maintained, has a responsibility to ensure that Documents of Compliance have been issued in accordance with the Guidelines,

RECOGNIZING ALSO that there may be a need for Administrations to enter into agreements in respect of issuance of certificates by other Administrations in compliance with chapter IX of the 1974 SOLAS Convention and in accordance with resolution A.741(18),

RECOGNIZING FURTHER the need for uniform implementation of the ISM Code,

HAVING CONSIDERED the recommendation made by the Maritime Safety Committee at its sixty-fifth session and the Marine Environment Protection Committee at its thirty-seventh session,

1. **ADOPTS** the Guidelines on Implementation of the International Safety Management (ISM) Code by Administrations set out in the Annex to the present resolution;
2. **URGES** Governments, when implementing the ISM Code, to adhere to the Guidelines, in particular with regard to the validity of the Document of Compliance and the Safety Management Certificate required by the ISM Code;
3. **URGES ALSO** Governments to request the companies concerned to apply for certification under the ISM Code as soon as possible but not later than twelve months prior to the ISM Code becoming mandatory for ships belonging thereto;

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4. **REQUESTS Governments to inform the Organization of any difficulties they have experienced in using the annexed Guidelines;**

5. **REQUESTS ALSO the Maritime Safety Committee and the Marine Environment Protection Committee to keep the annexed Guidelines under review and to amend them as necessary.**

**ANNEX**

**GUIDELINES ON IMPLEMENTATION OF THE INTERNATIONAL SAFETY  
MANAGEMENT (ISM) CODE BY ADMINISTRATIONS**

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## **INTRODUCTION**

### **The ISM Code**

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 will be made 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.

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 (SMS) which includes functional requirements as listed in section 1.4 of the ISM Code.

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.

### **Mandatory application of the ISM Code**

The appropriate organisation of management, ashore and on board, is needed to ensure adequate standards of safety. A systematic approach to management by those responsible for management of ships is therefore required. The objectives of the mandatory application of the ISM Code are to ensure:

- .1 compliance with mandatory rules and regulations related to the safe operation of ships and protection of the environment; and
- .2 the effective implementation and enforcement thereof by Administrations.

Effective enforcement by Administrations must include verification that the Safety Management System (SMS) complies with the requirements as stipulated in the ISM Code, as well as verification of compliance with mandatory rules and regulations.

The mandatory application of the ISM Code should ensure, support and encourage that applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and maritime industry organisations are taken into account.

### **Verification and certification responsibilities**

The Administration is responsible for verifying compliance with the requirements of the ISM Code and issuing Documents of Compliance (DOC) to Companies and Safety Management Certificates (SMC) to ships.

Resolution A.739(18) Guidelines for the Authorization of Organizations Acting on Behalf of the Administration, which has been made mandatory by virtue of the new SOLAS chapter XI and resolution A.740(18) - Interim Guidelines to Assist Flag States, are applicable when Administrations authorize organizations to issue DOC and SMC on their behalf.

## **1 SCOPE AND APPLICATION**

### **1.1 Definitions**

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 Organization by resolution A.741(18), 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 responsibilities imposed by the ISM 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 (SMS)" means a structured and documented system enabling Company personnel to effectively implement the Company Safety and Environmental Protection Policy.

1.1.5 "Document of Compliance (DOC)" means a document issued to a Company which complies with the requirements of the ISM Code.

1.1.6 "Safety Management Certificate (SMC)" means a document issued to a ship which signifies that the Company and its shipboard management operate in accordance with the approved SMS.

1.1.7 "Safety management audit" means a systematic and independent examination to determine whether the SMS activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.

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

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

1.1.10 "Non-conformity" means an observed situation where objective evidence indicates the non-fulfilment of a specified requirement.

1.1.11 "Major non-conformity" means an identifiable deviation which poses a serious threat to personnel or ship safety or a serious risk to the environment and requires immediate corrective action; in addition, the lack of effective and systematic implementation of a requirement of the ISM Code is also considered as a major non-conformity.

## **1.2 Scope and application**

1.2.1 These Guidelines establish basic principles:

- .1 for verifying that the Safety Management System (SMS) of a Company responsible for the operation of ships or the SMS for the ship or ships controlled by the company complies with the ISM Code; and
- .2 for the issue and periodical verification of the DOC and SMC.

1.2.2 These Guidelines are applicable to Administrations.

## **2 VERIFYING COMPLIANCE WITH THE ISM CODE**

### **2.1 General**

2.1.1 To comply with the requirements of the ISM Code, Companies should develop, implement and maintain an SMS to ensure that the safety and environmental protection policy of the Company is implemented. The Company policy should include the objectives defined by the ISM Code.<sup>1</sup>

2.1.2 Administrations should verify compliance with the requirements of the ISM Code by determining:

- .1 the conformity of the Company's safety management system (SMS) with the requirements of the ISM Code; and
- .2 that the SMS ensures that the objectives defined in paragraph 1.2.3 of the ISM Code are met.

2.1.3 Determining conformity or non-conformity of the SMS elements with the requirements specified by the ISM Code may demand that criteria for assessment be developed. Administrations are recommended to limit the development of criteria in the form of prescriptive management system solutions. Criteria for assessment in the form of prescriptive requirements may have the effect that safety management in shipping results in Companies implementing solutions prepared by others, it may then be difficult for a Company to develop the solutions which best suit that particular Company, that particular operation or that specific ship.

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<sup>1</sup> The ICS/ISF Guidelines on the application of the International Safety Management Code (A.18/INF.5) provide useful guidance on important individual elements of an SMS and its development by Companies.

2.1.4 Therefore, Administrations are recommended to ensure that these assessments are based on determining the effectiveness of the SMS in meeting specified objectives, rather than conformity with detailed requirements in addition to those contained in the ISM Code so as to reduce the need for developing criteria to facilitate assessment of the Companies' compliance with the ISM Code.

## **2.2 The ability of the SMS to meet general safety management objectives**

2.2.1 The ISM Code identifies general safety management objectives. These objectives are:

- .1 to provide for safe practices in ship operation and a safe working environment;
- .2 to establish safeguards against all identified risks; and
- .3 to continuously improve the safety-management skills of personnel ashore and aboard, including preparing for emergencies related both to safety and environmental protection.

The verification should support and encourage Companies in achieving these objectives.

2.2.2 These objectives provide clear guidance to Companies for the development of SMS elements in compliance with the ISM Code. Since, however, the ability of the SMS in achieving these objectives cannot be determined beyond whether the SMS complies with the requirements of the ISM Code, they should not form the basis for establishing detailed interpretations to be used for determining conformity or non-conformity with the requirements of the ISM Code.

## **2.3 The ability of the SMS to meet specific requirements of safety and pollution prevention**

2.3.1 The main criteria which should govern the development of interpretations needed for assessing compliance with the requirements of the ISM Code should be the ability of the SMS to meet the specific requirements defined by the ISM Code in terms of specific standards of safety and pollution prevention.

The specific standards of safety and protection of the environment specified by the ISM Code are:

- .1 compliance with mandatory rules and regulations; and
- .2 that applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and other maritime industry organizations are taken into account.

2.3.2 All records having the potential to facilitate verification of compliance with the ISM Code should be open to scrutiny during an examination. For this purpose the Administration should ensure that the Company provide auditors with statutory and classification records relevant to the actions taken by the Company to ensure that compliance with mandatory rules and regulations is maintained. In this regard the records may be examined to substantiate their authenticity and veracity.

2.3.3 Some mandatory requirements may not be subject to statutory or classification surveys, such as:

- .1 maintaining the condition of ship and equipment *between* surveys; and
- .2 certain operational requirements.

Specific arrangements may be required to ensure compliance and to provide for the objective evidence needed for verification in these cases, such as:

- .1 documented procedures and instructions; and



- .2 documentation of the verification carried out by senior officers of day-to-day operation when relevant to ensure compliance.

2.3.4 The verification of compliance with mandatory rules and regulations, which is part of the ISM Code certification, neither duplicates nor substitutes surveys for other maritime certificates. The verification of compliance with the ISM Code does not relieve the Company, the master or any other entity or person involved in the management or operation of the ship of their responsibilities.

2.3.5 Administrations should ensure that the Company has:

- .1 taken into account the recommendations, as referred to in 1.2.3.2 of the ISM Code, when establishing the SMS; and
- .2 developed procedures to ensure that these recommendations are implemented on shore and on board.

2.3.6 Within an SMS, implementation of codes, guidelines and standards recommended by the Organization, Administrations, classification societies and other maritime industry organizations does not make these recommendations mandatory under the ISM Code. Nevertheless auditors should encourage companies to adopt these recommendations whenever applicable to the Company.

### **3 ISSUANCE AND VALIDITY OF DOC AND SMC**

#### **3.1 Issuance and validity of the DOC**

3.1.1 The DOC should be issued to a Company following an initial verification of compliance with the requirements of the ISM Code.

3.1.2 The DOC should be issued following verification that the SMS of the Company complies with the requirements of the ISM Code and determination of objective evidence proving that it is effectively implemented. The verification should include objective evidence demonstrating that the Company SMS has been in operation for at least three months, and an SMS has been in operation on board at least one ship of each type operated by the Company for at least three months. The objective evidence should, *inter alia*, include records from the internal annual audit performed by the Company, ashore and on board.

3.1.3 The DOC is valid for the types of ships on which the initial verification was based.

3.1.4 The validity of a DOC may be extended to cover additional ship types after verification of the Company's capability to comply with the requirements of the ISM Code for such ship types. In this context, ship types are those referred to SOLAS chapter IX.

3.1.5 The DOC is valid for a period of five years.

3.1.6 The validity of the DOC is subject to annual verification within three months before or after the anniversary date to confirm the effective functioning of the SMS. This should include examining and verifying the correctness of the statutory and classification records presented for at least one ship of each type to which the DOC applies. Corrective actions and modifications to the SMS carried out since the previous verification should be verified.

3.1.7 Renewal of the DOC for further period of five years should include assessment of all the elements of the SMS regarding its effectiveness in meeting the objectives specified in the ISM Code.

3.1.8 Only the issuing Administration may withdraw the DOC. The issuing Administration should withdraw the DOC if the periodical verification is not requested or if there is evidence of major non-conformity with the ISM Code. The SMCs associated with the DOC should also be invalidated and withdrawn.

### **3.2 Issuance and validity of the SMC**

3.2.1 The SMC should be issued to a ship following an initial verification of compliance with the requirements of the ISM Code. This includes the verification that the DOC for the Company responsible for the operation of the ship is applicable to that particular type of ship, and assessment of the shipboard SMS to verify that it complies with the requirements of the ISM Code, and that it is implemented. Objective evidence demonstrating that the Company's SMS has been functioning effectively for at least three months on board the ship should be available, including, *inter alia*, records from the internal audit performed by the Company.

3.2.2 The SMC is valid for a period of five years.

3.2.3 The validity of the SMC is subject to at least one intermediate verification, confirming the effective functioning of the SMS, and that any modifications carried out since the previous verification comply with the requirements of the ISM Code. In certain cases, particularly during the initial period of operation under the SMS, the Administration may find it necessary to increase the frequency of the intermediate verification. Additionally, the nature of non-conformities may also provide a basis for increasing the frequency of intermediate verifications.

3.2.4 Renewal of the SMC for a further period of five years should include an assessment of all elements of the SMS pertaining to that ship and regarding its effectiveness of the SMS in meeting the objectives specified in the ISM Code.

3.2.5 Only the issuing Administration may withdraw the SMC. The issuing Administration should withdraw the SMC if intermediate verification is not requested or if there is evidence of major non-conformity with the ISM Code.

### **3.3 Interim DOC and SMC**

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

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

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

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

3.3.5 Before issuing an Interim SMC, the Administration should verify that:

- .1 the DOC, or the Interim DOC, is relevant to that ship;
- .2 the SMS provided by the Company for the ship includes key elements of the ISM Code and has been assessed during the audit for issuance of the DOC or demonstrated for issuance of the Interim DOC (see 3.3.3);
- .3 the master and relevant senior officers are familiar with the SMS and the planned arrangements for its implementation;
- .4 instructions which have been identified as essential to be provided prior to sailing have been given;
- .5 plans for Company audit of the ship within three months exist; and
- .6 the relevant information on the SMS is given in a working language or languages understood by the ship's personnel.

## **4 THE CERTIFICATION PROCESS**

### **4.1 Certification activities**

4.1.1 The certification process relevant for the issuance of a DOC for a Company and an SMC to a ship will normally involve the following steps:

- .1 initial verification;
- .2 periodical or intermediate verification; and
- .3 renewal verification.

These verifications are carried out at the request of the Company to the Administration, or to the organization recognized by the Administration to perform certification functions under the ISM Code.

The verifications will include an audit of the SMS.

### **4.2 Initial verification**

4.2.1 The Company should apply for ISM Code certification to the Administration.

4.2.2 An assessment of the shore side management system undertaken by the Administration would necessitate assessment of the offices where such management is carried out and possibly other locations depending on the Company's organization and functions of the various locations.

4.2.3 On satisfactory completion of the assessment of the shore side SMS, arrangements/planning may commence for the assessment of the Company's ships.

4.2.4 On satisfactory completion of the assessment, a DOC will be issued to the Company, copies of which should be forwarded to each shore side premises and each ship in the Company's fleet. As each ship is assessed and issued with an SMC, a copy of it should also be forwarded to the Company's head office.

4.2.5 In cases where certificates are issued by a recognized organization, copies of all certificates should also be sent to the Administration.

4.2.6 The safety management audit for the Company and for a ship will involve the same basic steps. The purpose is to verify that a Company or a ship comply with the requirements of the ISM Code. The audits include:

- .1 the conformity of the Company's SMS with the requirements of the ISM Code; and
- .2 that the SMS ensures that the objectives defined in paragraph 1.2.3 of the ISM Code are met.

#### **4.3 Periodical verification of DOC**

4.3.1 Periodical safety management audits are to be carried out to maintain the validity of the DOC. The purpose of these audits is to verify the effective functioning of the SMS, and that any modifications made the SMS comply with the requirements of the ISM Code.

4.3.2 Periodical verification is to be carried out within three months before and after each anniversary date of DOC. A schedule not exceeding three months is to be agreed for completion of the necessary corrective actions.

4.3.3 Where the Company has more than one shore side premises, each of which may not have been visited at the initial assessment, the periodical assessments should endeavour to ensure that all sites are visited during the period of validity of the DOC.

#### **4.4 Intermediate verification of SMC**

4.4.1 Intermediate safety management audits should be carried out to maintain the validity of the SMC. The purpose of these audits is to verify the effective functioning of the SMS and that any modifications made to the SMS comply with the requirements of the ISM Code.

4.4.2 If only one intermediate verification is to be carried out, it should take place between the second and third anniversary date of the issue of the SMC.

#### **4.5 Renewal verification**

Renewal verifications are to be performed before the validity of the DOC or the SMC expires. The renewal verification will address all the elements of the SMS and the activities to which the requirements of the ISM Code apply. Renewal verification may be carried out from six months before the expiry date of the DOC or the SMC and should be completed before their expiry date.

#### **4.6 Safety management audits**

The procedure for safety management audits outlined in the following paragraphs includes all steps relevant for initial verification. Safety management audits for periodical verification and renewal verification should be based on the same principles even if their scope may be different.

#### **4.7 Application for audit**

4.7.1 The Company should submit a request for audit to the Administration or to the organization recognized by the Administration for issuing DOC or SMC on behalf of the Administration.

4.7.2 The Administration or the recognized organization should then nominate the lead auditor and, if relevant, the audit team.

#### **4.8 Preliminary review**

As a basis for planning the audit, the auditor should review the safety management manual to determine the adequacy of the SMS in meeting the requirements of the ISM Code. If this review reveals that the system is not adequate, the audit will have to be delayed until the Company undertakes corrective action.

#### **4.9 Preparing the audit**

4.9.1 The nominated lead auditor should liaise with the Company and produce an audit plan.

4.9.2 The auditor should provide the working documents which are to govern the execution of the audit to facilitate the assessments, investigations and examinations in accordance with the standard procedures, instructions and forms which have been established to ensure consistent auditing practices.

4.9.3 The audit team should be able to communicate effectively with auditees.

#### **4.10 Executing the audit**

4.10.1 The audit should start with an opening meeting in order to introduce the audit team to the Company's senior management, summarize the methods for conducting the audit, confirm that all agreed facilities are available, confirm time and date for a closing meeting and clarify possible unclear details relevant to the audit.

4.10.2 The audit team should assess the SMS on the basis of the documentation presented by the Company and objective evidence as to its effective implementation.

4.10.3 Evidence should be collected through interviews and examination of documents. Observation of activities and conditions may also be included when necessary to determine the effectiveness of the SMS in meeting the specific standards of safety and protection of the environment required by the ISM Code.

4.10.4 Audit observations should be documented. After activities have been audited, the audit team should review their observations to determine which are to be reported as non-conformities. Non-conformities should be reported in terms of the general and specific provisions of the ISM Code.

4.10.5 At the end of the audit, prior to preparing the audit report, the audit team should hold a meeting with the senior management of the Company and those responsible for the functions concerned. The purpose is to present the observations to ensure that the results of the audit are clearly understood.

#### **4.11 Audit report**

4.11.1 The audit report should be prepared under the direction of the lead auditor, who is responsible for its accuracy and completeness.

4.11.2 The audit report should include the audit plan, the identification of audit team members, dates and identification of the Company, observations on any non-conformities and observations on the effectiveness of the SMS in meeting the specified objectives.

4.11.3 The Company should receive a copy of the audit report. The Company should be advised to provide a copy of the shipboard audit reports to the ship.

#### **4.12 Corrective action follow-up**

4.12.1 The Company is responsible for determining and initiating the corrective action needed to correct a non-conformity or to correct the cause of the non-conformity. Failure to correct non-conformities with specific requirements of the ISM Code may affect the validity of the DOC and related SMCs.

4.12.2 Corrective actions and possible subsequent follow-up audits should be completed within the time period agreed. The Company should apply for the follow-up audits.

#### **4.13 Company responsibilities pertaining to safety management audits**

4.13.1 The verification of compliance with the requirements of the ISM Code does not relieve the Company, management, officers or seafarers of their obligations as to compliance with national and international legislation related to safety and protection of the environment.

4.13.2 The Company is responsible for:

- .1 informing relevant employees about the objectives and scope of the ISM Code certification;
- .2 appointing responsible members of staff to accompany members of the team performing the certification;
- .3 providing the resources needed by those performing the certification to ensure an effective and efficient verification process;
- .4 providing access and evidential material as requested by those performing the certification; and
- .5 co-operating with the verification team to permit the certification objectives to be achieved.

#### **4.14 Responsibilities of the organization performing the ISM Code certification**

The organization performing the ISM Code certification is responsible for ensuring that the certification process is performed according to the ISM Code and these Guidelines. This includes management control of all aspects of the certification according to appendix 1 to these Guidelines.

#### **4.15 Responsibilities of the verification team**

4.15.1 Whether the verifications involved with certification are performed by a team or not, one person should be in charge of the verification. The leader should be given the authority to make final decisions regarding the conduct of the verification and any observations. His responsibilities should include:

- .1 preparation of a plan for the verification; and
- .2 submission of the report of the verification.

4.15.2 Personnel participating in the verification are responsible for complying with the requirements governing the verification, ensuring confidentiality of documents pertaining to the certification and treating privileged information with discretion.

#### **4.16 Forms of DOC and SMC**

The DOC, SMC and Interim DOC and Interim SMC should be drawn up in the form corresponding to the models given in appendix 2 to these Guidelines. If the language used is neither English or French, the text should include a translation into one of these languages.

## APPENDIX 1

### STANDARDS ON ISM CODE CERTIFICATION ARRANGEMENTS

#### 1 INTRODUCTION

The audit team, and the organization under which it may be managed, involved with ISM Code certification should comply with the specific requirements stated in this annex.

#### 2 STANDARD OF MANAGEMENT

2.1 Organizations managing verification of compliance with the ISM Code should have, in their own organization, competence in relation to:

- .1 ensuring compliance with the rules and regulations including certification of seafarers, for the ships operated by the Company;
- .2 the approval, survey and certification activities relevant for the maritime certificates;
- .3 the terms of reference that must be taken into account under the SMS as required by the ISM Code; and
- .4 practical experience of ship operation.

2.2 The 1974 SOLAS Convention requires that organizations recognized by Administrations for issuing DOC and SMC at their request should comply with resolution A.739(18).

2.3 Any organization performing verification of compliance with the provisions of the ISM Code should ensure that there exists independence between the personnel providing consultancy services and those involved in the certification procedure.

#### 3 STANDARDS OF COMPETENCE

##### 3.1 ISM Code certification scheme management

Management of ISM Code certification schemes should be carried out by those who have practical knowledge of ISM Code certification procedures and practices.

##### 3.2 Basic competence for performing verification

3.2.1 Personnel who are to participate in the verification of compliance with the requirements of the ISM Code should have a minimum of formal education comprising the following:

- .1 qualifications from a tertiary institution recognized by the Administration or by the recognized organization within a relevant field of engineering or physical science (minimum two years programme), or



- .2 qualifications from a marine or nautical institution and relevant sea-going experience as a certified ship officer.

3.2.2 They should have undergone training to ensure adequate competence and skills for performing verification of 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 the terms of reference which the ISM Code requires that Companies should take into account;
- .4 assessment techniques of examining, questioning, evaluating and reporting;
- .5 technical or operational aspects of safety management;
- .6 basic knowledge of shipping and shipboard operations; and
- .7 participation in at least one marine related management system audit.

3.2.3 Such competence should be demonstrated through written or oral examinations, or other acceptable means.

### **3.3 Competence for initial verification and renewal verification**

3.3.1 In order to assess fully whether the Company or the ship complies with the requirements of the ISM Code, in addition to the basic competence stated under section 3.2 above, personnel who are to perform initial verifications or renewal verifications for a DOC or SMC, must possess the competence to:

- .1 determine whether the SMS elements conform or do not conform with the requirements of the ISM Code;
- .2 determine the effectiveness of the Company's SMS, or that of the ship, to ensure compliance with rules and regulations as evidenced by the statutory and classification survey records;
- .3 assess the effectiveness of the SMS 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; and
- .4 assess whether the safe practices recommended by the Organization, Administrations, classification societies and maritime industry organizations have been taken into account.

3.3.2 This competence can be accomplished by teams which together possess the total competence required.

3.3.3 Personnel who are to be in charge of initial verification or renewal verification of compliance with the requirements of the ISM Code should have at least five years experience in areas relevant to the technical or operational aspects of safety management; and have participated in at least three initial

verifications or renewal verifications. Participation in verification of compliance with other management standards may be considered as equivalent to participation in verification of compliance with the ISM Code.

### **3.4 Competence for periodical, intermediate and interim verification**

Personnel who are to perform periodical, intermediate and interim verifications should satisfy basic requirements for personnel participating in verifications and should have participated in a minimum of two periodical, renewal or initial verifications. They should have received special instructions needed to ensure that they possess the competence required to determine the effectiveness of the Company's SMS.

## **4 QUALIFICATION ARRANGEMENTS**

Organizations performing ISM Code certification should have implemented a documented system for qualification and continuous updating of the knowledge and competence of personnel who are to perform verification of compliance with the ISM Code. This system should comprise theoretical training courses covering all the competence requirements and the appropriate procedures connected to the certification process, as well as practical tutored training, and it should provide documented evidence of satisfactory completion of the training.

## **5 CERTIFICATION PROCEDURES AND INSTRUCTIONS**

Organizations performing ISM Code certification should have implemented a documented system to ensure that the certification process is performed in accordance with this standard. This system should, *inter alia*, include procedures and instructions for the following:

- .1 contract agreements with Companies;
- .2 planning, scheduling and performing verification;
- .3 reporting results from verification;
- .4 issuance of DOC, SMS and Interim DOC and SMC; and
- .5 corrective action and follow-up of verifications, including actions to be taken in cases of major non-conformity.

APPENDIX 2

FORMS OF DOC, SMC AND INTERIM DOC AND SMC

DOCUMENT OF COMPLIANCE

(Official seal)

(State)

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)

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.

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)

\* Adopted by the Organization by resolution A.741(18).

**ENDORSEMENT FOR ANNUAL VERIFICATION**

THIS IS TO CERTIFY THAT, at the periodical verification in accordance with regulation 6 of chapter IX of the Convention, 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)

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)

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 validity of the Document of Compliance.

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.

\*\* Adopted by the Organization by resolution A.741(18).

**ENDORSEMENT FOR PERIODICAL VERIFICATION AND  
ADDITIONAL VERIFICATION (IF REQUIRED)**

THIS IS TO CERTIFY THAT, at the periodical verification in accordance with regulation 6 of chapter IX of the Convention, the safety management system was found to comply with the requirements of the ISM Code.

**INTERMEDIATE VERIFICATION**

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

Signed: .....  
(Signature of authorized official)

Place: .....

Date: .....

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**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: .....

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\* If applicable

## INTERIM DOCUMENT OF COMPLIANCE

(Official seal)

(State)

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)

THIS IS TO CERTIFY THAT the safety management system of the Company has been recognized as meeting the objectives of paragraph 1.2.3 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)

\* Adopted by the Organization by resolution A.741(18).

## INTERIM SAFETY MANAGEMENT CERTIFICATE

(Official seal)

(State)

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)

THIS IS TO CERTIFY THAT the safety management system of the ship complies with the provisions of paragraphs 3.3.4 and 3.3.5 of the Guidelines on Implementation of the International Safety Management (ISM) Code by Administrations.\*\*

This Interim Safety Management Certificate is valid until .....

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)

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.

\*\* Adopted by the Organization by resolution A.788(19).



RESOLUTION A. 788(19) adopted on 23 November 1995  
GUIDELINES ON IMPLEMENTATION OF THE INTERNATIONAL SAFETY  
MANAGEMENT (ISM) CODE BY ADMINISTRATIONS