



Renewal audit:	Yes	No
1 The Initial/Renewal Audit was completed without non-Conformities	<input type="checkbox"/>	<input type="checkbox"/>
2 The Initial/ Renewal Audit was completed with non-Conformities as enclosed	<input type="checkbox"/>	<input type="checkbox"/>
3 The Initial/Renewal Audit resulted in major non-Conformities as enclosed	<input type="checkbox"/>	<input type="checkbox"/>
4 Issuance of SMC is RECOMMENDED	<input type="checkbox"/>	<input type="checkbox"/>
5 Additional Audit is required	<input type="checkbox"/>	<input type="checkbox"/>

Intermediate audit:	Yes	No
1 The Intermediate Audit was completed without non-Conformities	<input type="checkbox"/>	<input type="checkbox"/>
2 The Intermediate Audit was completed with non-Conformities as enclosed	<input type="checkbox"/>	<input type="checkbox"/>
3 The Intermediate Audit resulted in major non-Conformities as enclosed	<input type="checkbox"/>	<input type="checkbox"/>
4 Issuance of SMC is RECOMMENDED	<input type="checkbox"/>	<input type="checkbox"/>

Addition audit:

The Additional Audit was completed on .....

- Issuance of SMC is RECOMMENDED
- SMC has been ENDORSED

**Conclusion:**

The undersigned have carried out the above audit and found the Safety Management System;

- in compliance with the requirements of the ISM Code.
- not in compliance w/ the requirements of the ISM Code.
- subject to the corrections of non-conformities mentioned

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Nautical/Engineer Surveyor

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Major Non-Conformity - An identifiable deviation which poses a serious threat to personal or ship safety or a serious risk to the environment that requires immediate corrective action; or the lack of effective and systematic implementation of a requirement of this Code.  
Non-Conformity - An observed situation where objective evidence indicates the Non-fulfillment of a specific requirement.  
Observation - A statement of fact made during a safety management audit and substantiated by objective evidence.



## Ship Audit Checklist

Vessel Name: ..... IMO No: .....

Managers Name: ..... IMO No: .....

Owners Name: ..... IMO No: .....

Type of Vessel: .....

Date of Audit: ..... Place of Audit: ..... Start audit at: ..... Complete at: .....

Type of audit:      Initial            Intermediate            Renewal            Additional     

Operation:      Loading            Discharging            Idle     

Due date for closing out: .....

Corrective action and due date for closing out were identified and agreed by the Master

.....  
Master Acknowledgement

.....  
Auditor

S.N	ITEM	ISM Code	Yes	No	REMARKS
1	Is there a copy of valid DOC placed onboard the ship? (DOC shall NOT be an Interim.)	11.1.2			
2	In case of initial audit, Interim SMC was issued at least 3 months prior to the internal audit has been executed? (In case of initial audit)?				
3	The Master and the Senior Officers are aware of the name(s) of the Company's Designated Person(s)?	4.2			
4	The updated telephone numbers of the DPA(s) and their back up are available to the interested persons onboard?	4.4			
5	The Company has ensured that the policy is implemented and maintained at all levels of the organization on board?	2.2.1			
6	The policy is posted in appropriate locations?	2.2.3			
7	There are written proof that the crew has been informed of the policy?	2.2.4			
8	SMS Manuals are written in a language that can be understood by the Officers and crew with assigned duties?	11.1.3			
9	The updated Safety Management System documents (SMS Manual, Company's manuals, etc.) are available as specified by the relevant distribution lists?	11.2.1.1			
10	Specific responsibilities allocated to shipboard personnel in the implementation of this procedure?	11.2.1.2			
11	Changes are readily identified and notified to relevant personnel onboard. The position of each controlled document determined?	11.2.2			
12	Procedures for ensuring that obsolete documents are removed and destroyed, or kept in file (delete as applicable) are in use?	11.2.3.1			
13	Drug and Alcohol procedures are available, if applicable?	6.2.6			
14	Procedures in place, in case a ship is sold, laid up, in repairs etc.?	11.2.3.2			
15	Procedures and instructions on the SMS written in a language(s) and manner that is understood by shipboard staff that has specific functional responsibilities in the SMS?	6.6.1			
16	Documentation available that all crew members have been properly informed on the SMS?	6.6.2			
17	Officers can easily locate relevant sections in the SMS?	11.3.1			
18	Internal audits are conducted by the Company at least annually on the vessel?	12.1.1			
19	The audits are performed on the basis of a check-list?	12.1.2			
20	Periodicity of audits is in accordance with the SMS Manual?	12.1.3			

21	Date of last internal audit of the ship?	12.1.4			Date .....
22	The auditors belong to the Company's staff or external organization?	12.1.5			
23	Audit reports and possible non-conformity forms are available?	12.1.6			
24	All non-conformities are closed in time and all related documentation is available?	12.1.7			
25	All non-conformities are investigated and all related documentation is available?	12.1.8			
26	The report of the last audit from Flag and the list of non-conformities are available?	12.1.9			
27	The corrective actions taken to close-out the non-conformities have been reviewed by Flag and are considered effective?	12.1.10			
28	The Company has established procedures to ensure that all new personnel and personnel transferred to new assignments are given proper familiarization on with the ship, the safety and their duties before assigned to such duties?	6.3.1			
29	Records are available for each individual on board?	6.3.2			
30	Sufficient time has been allowed for the familiarisation, which was carried out in a language understood by the crew member?	6.3.5			
31	All forms are signed by supervising officer and crew as appropriate?	6.3.6			
32	The task of familiarisation supervision is assigned to specific officer(s)?	6.3.7			
33	All crew-members have completed familiarization in required time and this is properly documented	6.3.9			
34	Are valid Statutory, Commercial certificate, Continuous Synopsis Record (CSR) and survey records available?	1.2.3.1			
35	The validity of statutory certificates reported to the manager as per SMS procedures?	10.1 / 11.1			
36	Vessel manned in compliance with the Safe Manning Certificate?	6.2.			
37	Master, Officer hold a Certificate of competency in accordance with STCW?	6.2.1			
38	Are Navigational / Engine-room watch and Catering Department Ratings duly certificated?	6.2.1			
39	Valid medical certificate and employment contract is available for all on board?	6.2.2			
40	Drug and Alcohol tests carried out on board, if required?	6.2.8			
41	Do all Officers including Master hold dangerous cargo endorsement for the type of vessel?	6.2.1			
42	Do Rating hold dangerous cargo endorsement for support level for the type of vessel?	6.2.1			

43	The watch-keeping personnel is provided with at least the minimum rest periods as prescribed by the STCW Code?	6.2.9			
44	Do all Navigating officer including Master hold Specific familiarization for ECDIS operation?	6.3 / 6.5			
45	The Company's statement that the master has overriding authority and responsibility for safety and pollution prevention can be shown by the Master?	5.3.1			
46	The Company has ensured that the master is made fully conversant with the SMS?	6.1.1			
47	Procedure exist for the change of command and are documented?	6.1.2			
48	The Company has ensured that training is provided for all personnel with responsibilities within the SMS (SOLAS Ch. III Reg. 10 Par 4)?	6.5.1			
49	Appraisal forms for crew-members are used?	6.5.10			
50	All crew-members have completed training in required time and this is properly documented?	6.5.11			
51	A common shipboard working language has been established by the Company?	6.7.1			This is.....
52	Crew members can communicate effectively with each other in the conduct of normal duties and in emergencies?	6.7.2			
53	Deck and Engine log books are maintained to date and include entries required under SOLAS and SMS?	7.0 / 8.2			
54	Domestic (accommodation, galley.), Hygiene inspections are conducted to ensure that acceptable standards are maintained?	7.1.2			
55	Ballast water exchange records are maintained and are to date?	7.1.3			
56	Procedures to control activities which have been identified as having increased risk, permit to work procedure etc., are in place and used?	7.1.4			
57	Arrangement for the provision and maintenance of medical and first aid facilities on board is in use?	7.1.5			
58	Safety committee system in use and documented?	7.1.6			
59	Procedure for controlling the working hours of all shipboard personnel in use?	7.1.7			
60	All personnel are wearing safety equipment when and where required?	7.1.8			
61	The Chief Engineer's Standing Orders are signed by C/E and posted in engine room?	7.1.9			
62	Stability calculations made prior to commencement of loading?	7.2.2			
63	Adequate precautions are taken against accidental spillage onboard the vessel?	7.2.5			
64	Disposal of oil, noxious liquids is recorded?	7.2.6			

65	Oil record book entries are to date?	7.2.7			
66	Garbage record entries are to date?	7.2.8			
67	The access to and from the vessel is in compliance with the requirements	7.2.9			
68	Authorised visitors on board are logged?	7.2.10			
69	A fire plan is located at the gangway or outside the entrance to the Accommodation?	7.2.13			
70	Sufficient crew are on board at all times to attend moorings?	7.2.14			
71	A port Log is maintained recording all port activities?	7.2.15			
72	Ozone depleting records are maintained and are to date?				
73	Watch schedules are posted where they are easily accessible?	6.2.10			
74	Passage planning is recorded?	7.3.4			
75	Pre-sailing functional checks of engines, steering gear, navigation and communications equipment, generators, emergency lighting and anchoring equipment are recorded?	7.3.6			
76	The ship's manoeuvring characteristics are displayed on the bridge?	7.3.8			
77	Stowaway search is conducted and results records?	7.3.11			
78	Procedures for the bridge and engine room watch-keeping in use?	7.4.1			
79	Procedures for security patrols, fire patrols and other arrangements for surveillance in use?	7.4.3			
80	Discharge into the sea of oily water from machinery space bilges, cargo residues from oil tankers, noxious liquids and garbage is recorded?	7.4.4			
81	Function tests of all critical equipment prior to arrival in port (tests of engines, steering gear, navigation and communications equipment, generators and anchoring equipment) is documented?	7.5.1			
82	The procedures give guidance to the master on dealing with the following broad range of possible emergency situations: Shipboard fires / explosions / Emergency evacuation and abandonment / Flooding / Severe weather / weather damage / Collision / Structural failure / Main engine failure / Steering gear failure / Electrical failure / DG failure / blackout / Grounding / stranding / Cargo shift / Pollution aspects as per SOPEP/SMPEP / Serious illness/injury/fatality / Serious illness/injury/fatality / Terrorism / piracy / armed robbery / Casualty handling in general / Helicopter operations if applicable?	8.2			
83	Approved and updated SOPEP on board. SOPEP /SMPEP drills every 3 months /initial follow up reports for each drill?	8.2.2			

84	SOLAS Training Manual is up-to-date and distributed correctly?	8.2.3			
85	Emergency drills and exercises are held at intervals as per drill/ exercise programme and evaluated?	8.2.4			
86	The drills and emergencies involve the company's shore based contingency organization?	8.2.6			
87	Meeting minutes available. Date of last safety committee meeting.	8.2.9			Date .....
88	RISKS Identified and assessed?	8.2.12			
89	Non - conformities, accidents and hazardous occurrences are reported to the company ashore, investigated and analysed?	9.1.1			
90	All non-conformities have been closed in time and properly filed?	9.1.3			
91	The maintenance system includes systematic plans and actions designed to address all those items and systems covered by class and statutory survey and ensure that the vessel's condition is satisfactorily maintained at all times?	10.1.1			
92	Preventative maintenance procedures developed and implemented?	10.1.3			
93	Periodicity of superintendent's inspections is in accordance with the SMS Manual?	10.2.1.1			
94	Date of last superintendent's inspection to the ship.	10.2.1.2			Date .....
95	No outstanding defects / n-c's not rectified / closed from sup. int's reports?	10.2.1.4			
96	No outstanding conditions of class?	10.2.1.5			
97	No outstanding flag state defects?	10.2.1.6			
98	No outstanding port state defects?	10.2.1.7			
99	Defects are reported to the Company with its possible cause (if known)?	10.2.2			
100	Does the SMM include equipment and technical systems the sudden operational failure of which may result in hazardous situation?	10.3.1			



