[CLIENT/LOGO]

[VESSEL]

HULL No.: [IF AVAILABLE]
IMO#: XXXXXXX

International Safety Management

INTERNAL AUDIT
**[DATE OF AUDIT]**

✠[OTHER INFORMATION HERE, FOR EXAMPLE]
[CLASS NOTATION OR SIMILAR]

|  |  |  |  |
| --- | --- | --- | --- |
| Doc. Title | **[VESSEL NAME]ISM Internal Audit** | **Aluciant Ref.** | **ALU-[JOB]-[Insp.]-RXX** |
| Client Ref. |  | **Template Rev.** | **ALUH-ISMAudit-Rev.1** |
| Distribution List |  |

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| **Rev.** | **Section/Page** | **Description of Change** |
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****EXECUTIVE SUMMARY****

**Doc. No.**

ALU-XXXXXX-XXX-XX Rev.X

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Aluciant, LLC were instructed by [CLIENT] of [COMPANY] to complete an Internal Audit of the ISM system of the [VESSEL] at [LOCATION]

[INSPECTOR] attended the vessel at [LOCATION].The audit was completed on the [DATE].

The audit was coordinated with the vessels Master or his nominee and included assistance from [CREW MEMBERS] and [SHORE MANAGEMENT]

Additional information here as required. This is basically the executive summary area and should include:

Inspection requested by, attendance on, attendance by.

High level points on the ISM system etc.

Degree of knowledge from the vessel crew

Details on close-out meeting

Any observations

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Standard Abbreviations List

|  |  |
| --- | --- |
| ABB | ASEA Brown Boveri |
| ABS | American Bureau of Shipping |
| AC | Alternating Current |
| ACU | Air Conditioning Unit |
| AHU | Air Handling Unit |
| AHV | Anchor Handling Vessel |
| AMS | Alarm Management System |
| ASOG | Activity Specific Operating Guidelines |
| AVC | Automatic Vessel Control system |
| AVR | Automatic Voltage Regulator |
| BV | Bureau Veritas |
| BT | Bow Thruster |
| BTT | Bow Tunnel Thruster |
| CAM | Critical Activity Mode |
| CAN | Control Area Network |
| CB | Circuit Breaker |
| CCR | Central Control Room |
| CCTV | Closed Circuit Television |
| CCW | Counter Clockwise |
| CMF | Common Mode Failure |
| CPP | Controllable Pitch Propeller |
| CPU | Central Processing Unit |
| CW | Cold/Cooling Water or Clockwise |
| DC | Direct Current |
| DG | Diesel Generator |
| DGNSS | Differential Global Navigation Satellite System |
| DGPS | Differential Global Positioning System |
| DNV | Det Norske Veritas |
| DP | Dynamic Positioning |
| DPC | Dynamic Positioning Controller |
| DPO | Dynamic Positioning Operator |
| DPS | Dynamic Positioning System |
| DSC | Digital Speed Controller |
| ECR | Engine Control Room |
| ECU | Engine Control Unit |
| EG | Emergency Generator |
| EPDB | Emergency Power Distribution Board |
| ER | Engine Room |
| ESB | Emergency Switchboard |
| ESD | Emergency Shutdown |
| ETA | Estimated Time of Arrival |
| ETD | Estimated Time of Departure |
| F&G | Fire and Gas |
| FMEA | Failure Mode and Effects Analysis |
| FMECA | Failure Mode, Effects and Criticality Analysis |
| FO | Fuel Oil |
| FS | Field Process Station |
| FSVAD | Flag State Verification and Acceptance Document |
| FW | Fresh Water |
| Fwd | Forward |
| G | Generator |
| GCB | Generator Circuit Breaker |
| GCP | Generator Control Panel |
| GPS | Global Positioning System |
| GVR | Generator Voltage Relay |
| H | High |
| HF | High Frequency |
| HH | High High |
| HIL | Hardware in the Loop |
| HMI | Human Machine Interface |
| HO | Heavy Oil |
| HPR | Hydro acoustic Position Reference |
| HPU | Hydraulic Power Unit |
| HT | High Temperature |
| HV | High Voltage |
| HVAC | Heating, Ventilation & Air Conditioning |
| I/O | Input/Output |
| IAS | Integrated Automation System |
| ICMS | Integrated Control & Monitoring System |
| IEEE | Institute of Electrical and Electronic Engineers |
| IJS | Independent Joystick System |
| IMCA | International Marine Contractors Association |
| IMO | International Maritime Organization |
| IP | Internet Protocol |
| ISM | International Safety Management |
| ISPS | International Ship & Port Facility Security Code |
| KFDD | Kongsberg Functional Design Document |
| KM | Kongsberg Maritime |
| KR | Korean Registry |
| kVA | Kilo Volt Ampere |
| kVAr | Kile Volt Ampere Reactive |
| kW | Kilo Watts |
| L | Low |
| LAN | Local Area Network |
| LBL | Long Base Line |
| LED | Light Emitting Diode |
| LL | Low Low |
| LO | Lube Oil |
| LOP | Loss of Position |
| LR | Lloyds Register |
| LT | Low Temperature |
| LUSBL | Long Ultra Short Base Line |
| LV | Low Voltage |
| mA | Milliamps |
| MCB | Main Circuit Breaker |
| MCC | Motor Control Center |
| MF | Medium Frequency |
| MGPS | Marine Growth Protection System |
| MLC | Maritime Labor Convention |
| MMI | Man Machine Interface |
| MMS | Marine Management System |
| MR | Multiple Reference |
| MRU | Motion Reference Unit |
| MSB | Main Switchboard |
| MSC | IMO Maritime Safety Committee |
| MTBF | Mean Time Between Failures |
| MTS | Marine Technology Society |
| MUX | Multiplexer |
| MV | Medium Voltage |
| MVAr | Mega Volt Ampere reactive |
| MW | Mega Watts |
| NI | Nautical Institute |
| NDE | Non Drive End |
| NE | Normally Energized |
| NET | Network |
| NFU | Non Follow Up |
| NIC | Network Interface Cards |
| NORSOK | Norwegian Technology Standards Institution |
| OIM | Offshore Installation Manager |
| OICNW | Officer In Charge of Navigational Watch |
| OR | Open Relay |
| OR&R | Observe Results and Restore |
| OS | Operator Station |
| OSV | Offshore Support Vessel |
| OR | Observe Results |
| OR&R | Observe Results and Restore |
| OT | Operator Terminal |
| (P) | Port Side |
| PA | Public Address or Power Available |
| PC | Personal Computer |
| PCI | Peripheral Controller Interface |
| PDB | Power Distribution Board |
| PLC | Programmable Logic Controller |
| PM | Planned Maintenance |
| PMS | Power Management System |
| PRS | Position Reference System |
| PSU | Power Supply Unit |
| PSV | Platform Supply Vessel |
| PX | Position |
| QC | Quick Closing |
| QCV | Quick Closing Valve |
| RCS | Remote Control System |
| RCU | Remote Controller Unit |
| RIO | Remote Input/Output |
| ROV | Remote Operated Vehicle |
| RPM | Revolutions Per Minute |
| (S) | Starboard Side |
| SBC | Single Board Computer |
| SBL | Short Base Line |
| SCE | Safety Critical Element |
| SDPO | Senior Dynamic Positioning Operator |
| SG | Specific Gravity |
| SIMOPS | Simultaneous Operations |
| SMO | Safest Mode of Operation |
| SMS | Safety Management System |
| SNMP | Simple Network Management Protocol |
| STCW | International Convention on Standards of Training Certification & Watchkeeping for Seafarers |
| SW | Sea Water |
| Swbd | Switchboard |
| T | Thruster |
| TAGOS | Thruster and Generator Operating Strategy |
| TAM | Task Appropriate Mode |
| TC | Thruster Control |
| TCP IP | Transmission Control Protocol / Internet Protocol |
| TCU | Thruster Control Unit |
| TTT | Time To Terminate |
| U/V | Under Voltage |
| UHF | Ultra High Frequency |
| UMS | Unmanned Machinery Space |
| UPS | Uninterrupted Power Supply |
| USBL | Ultra Short Base Line |
| USCG | United States Coast Guard |
| Var | Volt Ampere Reactive |
| VDU | Visual Display Unit |
| VFD | Variable Frequency Drive |
| VHF | Very High Frequency |
| VMS | Vessel Management System |
| VRU | Vertical Reference Unit |
| VSD | Variable Speed Drive |
| WCF | Worst Case Failure |
| WCFDI | Worst Case Failure Design Intent |
| WSOG | Well Specific Operating Guidelines |

Vessel Particulars

* 1. MV. [SHIP] is a ... According to her IHS sea-web entry, the vessel has the following general particulars: (Below is a table, use tab to go from cell to cell)

|  |  |
| --- | --- |
| Owners: | XYZ Shipping |
| Operators: | ABC Operators |
| Flag: | A Red One |
| Class Society: | A good one |
| Class Notation: | Some numbers, symbols ✠ Ⓔ |
| Tonnages: | Gross: | In tonnes |
|  | Net: | In tonnes |
|  | Deadweight | In tonnes |
| Dimensions: | Length O.A: | In metres |
|  | Length B.P: | In metres |
|  | Breadth: | In metres |
|  | Depth: | In metres |
|  | Draught (S): | In metres |
| Cargo Holds: | How many? |
| Container Capacity: | How many TEU? FEU? Reefers? |
| Grain Capacity: | How much? |
| Main Engine: | Size, make, model? |
| Aux. Engines: | Size, make, model? |

* 1. The “VESSEL NAME” is classed by XXX with DOC and SMC issued by XXX on the dd-MMM-YYYY. Intermediate surveys were noted as being carried out on the xx-MMM-YYYY. OTHER INFORMATION HERE in regard to certification for the vessel.
	2. The “VESSEL NAME” normally operates in “LOCATIONS”.
	3. The following information was noted for the ISM Annual Audit:

|  |  |
| --- | --- |
| DPA: | Name of DPA |
| Management Company: | ABC Operators |
| Fax Number: |  |
| E-Mail: |  |
| Website: |  |
| Title and Last Revision date of the SMS onboard: | dd-MMM-YYYY |
| Date of Audit: | dd-MMM-YYYY |
| Name of Auditor: |  |

ISM Audit Scope

* 1. The scope of the ISM audit follows a defined process, namely:
		+ Auditor introduction and define the audit schedule.
		+ Review of documentation, systems and records available on board.
		+ Identify and schedule interviews with personnel.
		+ Observations and tour of the vessel.
		+ Close-out meeting, discussion and understanding of the findings.
	2. The following documentation will need to be inspected and reviewed
		+ Safety Management System.
		+ Vessel documents (for example LogBooks, checklists, etc. and publications.
		+ Inspection and maintenance records.
		+ Records of training and drills carried out.

ISM Audit Checklist

1.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***SMS Objectives and Functional Requirements*** |
| **3.1** | Does the SMS provide for safe work practices in ship operations and a safe work environment? | *1.2.2.1* |  |  |  |  |
| **3.2** | Are the objectives of the SMS clearly stated and generally known by the crew? | *1.2* |  |  |  |  |
| **3.3** | Are all identified risks assessed to the company vessels, personnel and the environment and appropriate safeguards established? This should include cyber-risks. | *1.2.2.2**11.1 & 11.3* |  |  |  |  |
| **3.4** | Does the SMS provide continual professional development of safety management skills of the personnel ashore and onboard ships, including the preparation for emergencies related to both safety and environmental protection? | *1.2.2.3* |  |  |  |  |
| **3.5** | Does the SMS ensure compliance with mandatory rules and regulations? | *1.2.3.1* |  |  |  |  |
| **3.6** | Does the SMS ensure that applicable codes, guidelines and standards set by IMO. Flag, Class and maritime industry organizations are taken into account? | *12.3.2* |  |  |  |  |
| **3.7** | Is the Safety and Environmental Policy posted and the crew aware? | *1.4.1 & 2.1* |  |  |  |  |
| **3.8** | Are instructions and procedures to ensure safe operations of the vessel, and protection of the environment, in compliance with the relevant international and Flag State legislation? | *1.4.2* |  |  |  |  |
| **3.9** | Define the levels of authority and lines of communication between, and amongst, the shore management and shipboard personnel. | *1.4.3* |  |  |  |  |
| **3.10** | Is there a procedure in place for the reporting of accidents and non-conformities within the provisions of the ISM code? | *1.4.4* |  |  |  |  |
| **3.11** | Are procedures in place for the preparation and response to emergency situations? | *1.4.5* |  |  |  |  |
| **3.12** | Are procedures in place for the internal audits and management reviews of the ISM system? | *1.4.6* |  |  |  |  |
| **3.13** | Are PTW systems in place and adhered to correctly, including long term isolations, hot-work, checklists and specific risk assessments as required for the work. | *11.1 & 11.3* |  |  |  |  |
|  |  |  |  |  |  |  |

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| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Safety and Environmental Protection Policy*** |
| **4.1** | Is there a policy which describes how the objectives of the ISM Code will be achieved? | *2.1* |  |  |  |  |
| **4.2** | Is the evidence that the policy is implemented and maintained at all levels of the organization, both vessel-based and shore-based? | *2.2* |  |  |  |  |
|  |  |  |  |  |  |  |
| **4.3** | ***Findings or Comments from this section*** |
|  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Company Responsibility and Authority*** |
| **5.1** | Is the vessel owning entity the same as the managing entity that is responsible for the management of the vessel? | *3.1* |  |  |  |  |
| **5.2** | Does the SMC and DOC list the same management entity? | *3.1* |  |  |  |  |
| **5.3** | Is a declaration of acknowledgement of different management entity available to the vessel? | *3.1* |  |  |  |  |
| **5.4** | Has the company defined and documented the responsibility, authority, and interrelation of all personnel who manage, perform and verify work relating to and affecting the safety and environmental protection systems onboard? (Org. chart, job descriptions, key shore-side personnel etc.) | *3.2* |  |  |  |  |
| **5.5** | The company is responsible for providing adequate support and resources are available to enable the DPA to carry out their functions. Is there evidence of this support available on the vessel? | *3.3* |  |  |  |  |
|  |  |  |  |  |  |  |
| **5.6** | ***Findings or Comments*** |
|  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Designated Person (DPA)*** |
| **6.1** | Has the company designated a person ashore as having direct access to the highest level of shore management to be a link between the vessel and the company? | *4* |  |  |  |  |
| **6.2** | Is the DPA name and contact details posted onboard or otherwise available to all shipboard personnel? Are the shipboard personnel aware of who the DPA is? | *4* |  |  |  |  |
| **6.3** | Does the DPA responsibility and authority include monitoring the safety and pollution prevention aspects of the operations of the vessels and ensuring adequate resources and shore-based support are available and applied? | *4* |  |  |  |  |
| **6.4** | How often does the DPA or nominated personnel visit the vessel? | *4* |  |  |  |  |
|  |  |  |  |  |  |  |
| **6.5** | ***Findings or Comments*** |
|  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Master’s Responsibilities and Authority*** |
| **7.1** | Is the Master’s responsibility and authority defined and documented with regards to:* Implementing the safety and environmental protection policy
* Motivating the crew in the observation of that policy
* Issuing appropriate orders and instructions in a clear and simple manner
* Verifying that specified requirements are observed
* Periodically reviewing the SMS and reporting its’ deficiencies to the shore-based management
 | *5.1* |  |  |  |  |
| **7.2** | Does the SMS contain a clear statement emphasizing the masters authority and having overriding authority and responsibility to make decisions with respect to the safety and pollution prevention, and to request the company’s assistance as necessary? | *5.2* |  |  |  |  |
|  |  |  |  |  |  |  |
| **7.3** | ***Findings or Comments*** |
|  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Resources and Personnel*** |
| **8.1** | Does the company ensure the master is properly qualified for command? | *6.1.1* |  |  |  |  |
| **8.2** | Does the company ensure the master is fully conversant with the SMS? | *6.1.2* |  |  |  |  |
| **8.3** | Does the company ensure the master is given the necessary support so that their duties can be performed? | *6.1.3* |  |  |  |  |
| **8.4** | Does the company ensure that the vessel is manned with qualified, certified and medically fit seafarers in accordance with national and international requirements? | *6.2.1* |  |  |  |  |
| **8.5** | Does the company ensure the vessel is appropriately manned in order to encompass all aspects of maintaining safe operations on board? | *6.2.2* |  |  |  |  |
| **8.6** | Is a procedure in place to ensure new personnel and personnel transferred to new assignments related to safety and protection of the environment are given proper familiarization of their duties. Instructions which are essential to be provided before sailing should be identified, documented and given. | *6.3* |  |  |  |  |
| **8.7** | Does the company provide adequate training in the implementation of the SMS onboard? Including an adequate understanding of relevant rules, regulations, codes and guidelines? | *6.4* |  |  |  |  |
| **8.8** | Is there a procedure in place to identify any training that may be required in support of the SMS and ensure such training is provided for all personnel concerned? (Training matrix or equivalent.) | *6.5* |  |  |  |  |
| **8.9** | Are procedures in plaxce for ships’ personnel to receive the relevant information on the SMS in a working language understood by them? | *6.6* |  |  |  |  |
| **8.10** | Has the company made efforts to ensure the personnel onboard are able to communicate effectively in the execution of their duties related to the SMS? | *6.7* |  |  |  |  |
|  |  |  |  |  |  |  |
| ***Crew Certification and Training Records*** |
| **8.11** | Check marine credentials for all crew on board involved in operations on board (per minimum safe manning) Are all credentials correct, valid and suitable for the rank held on board? |  |  |  |  |  |
| **8.12** | Are sufficient valid GMDSS certificates held on board by those personnel engaged in the use of marine communications equipment in emergency situations? |  |  |  |  |  |
| **8.13** | Do all seafarers onboard have valid medical certificates? (Meeting flag/state requirements) |  |  |  |  |  |
| **8.14** | Is the muster list/station bill posted and are personnel suitably qualified for the roles identified in the muster list/station bill? |  |  |  |  |  |
| **8.15** | Is a training matrix available onboard and are records of the completion of training available? |  |  |  |  |  |
| **8.16** | Have competency assessments been carried out? Is there a policy in place that is being followed? |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **8.17** | ***Findings or Comments*** |
|  |  |

|  |  |  |  |  |  |  |
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|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Shipboard Operations*** |
| **9.1** | Have procedures, plans and instructions, including checklists as appropriate, been developed for key shipboard operations concerning the safety of personnel and protection of the environment? | *1.2.2.2* |  |  |  |  |
| **9.2** | Have the various tasks been identified, defined and assigned to suitably qualified personnel? |  |  |  |  |  |
| **9.3** | Are regular safety committee meetings held?  | *1.2.2.1* |  |  |  |  |
| **9.4** | Responsibilities and duties are clearly assigned and personnel are familiar with their duties? | *7* |  |  |  |  |
|  |  |  |  |  |  |  |
| **9.5** | ***Findings or Comments*** |
|  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Emergency Preparedness*** |
| **10.1** | Have potential emergency shipboard situations been identified and response procedures established? | *8.1* |  |  |  |  |
| **10.2** | Have programs been established for the conduct of drills and exercises to prepare the crew for emergency actions? | *8.2* |  |  |  |  |
| **10.3** | Does the SMS provide measures to ensure the company’s organization can respond at any time to hazards, accidents and emergency situations? | *8.3* |  |  |  |  |
|  |  |  |  |  |  |  |
| **10.4** | ***Findings or Comments*** |
|  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Fi-Fi and LSA Certificates and Records*** |
| **11.1** | Check the following equipment for records of maintenance, servicing, and in-situ inspections: |  |  |  |  |  |
| **11.2** | **Fire Fighting Equipment** |  |  |  |  |  |
|  | Portable Fire Extinguishers (Note last third party inspection) |  |  |  |  |  |
|  | Fixed Fire Extinguishing System |  |  |  |  |  |
|  | Fire Detection System (Note if fixed, domestic or similar) |  |  |  |  |  |
|  | Fire Hose Stations, Hydrants and Nozzles |  |  |  |  |  |
|  | Fireman’s Lockers and Outfits |  |  |  |  |  |
|  | Self-Contained Breathing Devices for fire-fighting |  |  |  |  |  |
|  | Emergency Escape Breathing Devices (if carried) |  |  |  |  |  |
|  | Ventilation and fire dampers |  |  |  |  |  |
|  | Fire axes, foam applicators and other sundry equipment’s |  |  |  |  |  |
|  | International shore connection |  |  |  |  |  |
|  | Spares for fire fighting appliances |  |  |  |  |  |
| **11.3** | **Life Saving Appliances (LSA)** |  |  |  |  |  |
|  | LSA equipment markings (Vessel name, call sign, etc.) |  |  |  |  |  |
|  | Survival craft appropriate for vessel and work location |  |  |  |  |  |
|  | Liferafts (Date of last annual inspection) |  |  |  |  |  |
|  | Lifejackets |  |  |  |  |  |
|  | Lifebuoys |  |  |  |  |  |
|  | Pyrotechnics |  |  |  |  |  |
|  | Line Throwing Apparatus |  |  |  |  |  |
|  | EPIRB (Note last test/expiry) |  |  |  |  |  |
|  | Spares carried on board |  |  |  |  |  |
| **11.4** | **General Safety Equipment** |  |  |  |  |  |
|  | PPE (Sufficient on board?) |  |  |  |  |  |
|  | Eye wash station |  |  |  |  |  |
|  | General Alarm (test) |  |  |  |  |  |
|  | PA-GA system |  |  |  |  |  |
|  | Work Vests |  |  |  |  |  |
|  | Gas/O2/Atmosphere tester |  |  |  |  |  |
|  | Confined space rescue specific equipment |  |  |  |  |  |
|  | MSDS – Right to know station |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **11.5** | ***Findings or Comments*** |
|  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Drills, Exercises and Training*** |
| **12.1** | Note the last date for the following drills carried out on board: |  |  |  |  |  |
|  | Fire / Emergency |  |  |  |  |  |
|  | Abandon Ship |  |  |  |  |  |
|  | Stability/Loss of Stability/Flooding etc. |  |  |  |  |  |
|  | Blackout / Loss of Power / Restart of Critical Systems |  |  |  |  |  |
|  | Man Overboard |  |  |  |  |  |
|  | Confined space recovery drill |  |  |  |  |  |
|  | Environmental Spill |  |  |  |  |  |
|  | Medical Emergency and Evacuation |  |  |  |  |  |
|  | General Medical awareness drill (First-Aid) |  |  |  |  |  |
|  | Gas detection (As applicable) |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **12.2** | ***Findings or Comments*** |
|  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Reports and Analysis of Non-Conformities, Accidents and Hazardous Occurrences*** |
| **13.1** | Are there procedures in the SMS ensuring non-conformities, accidents and hazardous situations are reported to the company, investigated and analysed with the objective of improving the safety and pollution prevention onboard? | *9.1* |  |  |  |  |
| **13.2** | Are there procedures within the SMS for the implementation of any corrective actions, including measures intended to prevent recurrence? | *9.2* |  |  |  |  |
|  |  |  |  |  |  |  |
| **13.3** | ***Findings or Comments*** |
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| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Maintenance of the Vessel and Equipment*** |
| **14.1** | Are procedures included in the SMS to ensure the vessel is maintained in conformity with the provisions of the relevant rules and regulations along with any additional requirements which the company may define? | *10.1* |  |  |  |  |
| **14.2** | Does the company ensure inspections are held at appropriate intervals? | *10.2.1* |  |  |  |  |
| **14.3** | Does the company ensure any non-conformity is reported, with the possible cause if known? | *10.2.2* |  |  |  |  |
| **14.4** | Does the company ensure appropriate corrective actions have been taken? | *10.2.3* |  |  |  |  |
| **14.5** | Does the company ensure records of these activities are maintained? | *10.2.4* |  |  |  |  |
| **14.6** | Has the company identified items of critical equipment and technical systems onboard, the failure of which may result in hazardous situations? | *10.3* |  |  |  |  |
| **14.7** | Does the SMS provide specific measures aimed ay promoting the reliability of the critical equipment? Do these measures include the regular testing of standby arrangements and equipment or technical systems that are not in continuous use? | *10.3* |  |  |  |  |
| **14.8** | Are the items of critical equipment integrated into the operational maintenance routine? | *10.4* |  |  |  |  |
| **14.9** | Status of requisitions is controlled. Sufficient spare parts are available in accordance with the SMS for the safe operation of the vessel? | *10.1* |  |  |  |  |
|  |  |  |  |  |  |  |
| **14.10** | ***Findings or Comments*** |
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| --- | --- | --- | --- | --- | --- | --- |
|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Environmental, Hull, Machinery Maintenance Records and General Condition*** |
| **15.1** | Gangway and Mooring rigged as required and clean/appropriate? | *7* |  |  |  |  |
| **15.2** | Appearance of accommodation and outside decks. Clean, tidy, well illuminated, coatings intact, active corrosion? Non-slip walkways? | *7* |  |  |  |  |
| **15.3** | Are records available on board for the following: Note the last date completed where applicable. |  |  |  |  |  |
| **Environmental Systems** |  |  |  |  |  |
|  | Oil Record Book (ORB) |  |  |  |  |  |
|  | Oily Water Seperator |  |  |  |  |  |
|  | Oil Content Meter Calibration certificate. (Note unit rating, 15ppm? 5ppm?) |  |  |  |  |  |
|  | Bunker receipts |  |  |  |  |  |
|  | Bunker hose certificate |  |  |  |  |  |
|  | Environmentally sensitive valves |  |  |  |  |  |
|  | Discharge of Sewage records |  |  |  |  |  |
|  | Safety Pressure Valves Certificates |  |  |  |  |  |
| **Machinery and Hull** |  |  |  |  |  |
|  | Main engines and Emergency Shutdowns (Including quick close valves) |  |  |  |  |  |
|  | Propulsion and Steering Systems |  |  |  |  |  |
|  | ISM PM – Overdue PMs reports |  |  |  |  |  |
|  | Sounding pipes – Markings and condition |  |  |  |  |  |
|  | Lubrication Oils analysis |  |  |  |  |  |
|  | Emergency Generator |  |  |  |  |  |
|  | Machinery Controls and Alarms |  |  |  |  |  |
|  | Rotating Equipment – Protection and markings |  |  |  |  |  |
|  | Bilge alarms – Last test (test during tour) |  |  |  |  |  |
|  | Ballast / Bilge system integrity |  |  |  |  |  |
|  | Corrosion Control Systems |  |  |  |  |  |
| **General Hygiene and Condition** |  |  |  |  |  |
|  | Galley Equipment |  |  |  |  |  |
|  | Galley Condition |  |  |  |  |  |
|  | Food Storage and refrigerated spaces |  |  |  |  |  |
|  | Accommodation Condition |  |  |  |  |  |
|  | Cleaning gear lockers |  |  |  |  |  |
|  | Internal Workspace Housekeeping |  |  |  |  |  |
|  | Mess Room Condition |  |  |  |  |  |
|  | Laundry – Availability and Condition |  |  |  |  |  |
|  | External spaces housekeeping |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **15.4** | ***Findings or Comments*** |
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|  | ***Note for Verification*** | ***ISM Code*** | ***YES*** | ***NO*** | ***N/A*** | ***Remarks*** |
| ***Documentation*** |
| **16.1** | Are procedures established and maintained to control all documents and data that are relevant to the SMS? | *11.1* |  |  |  |  |
| **16.2** | Are valid documents available onboard? | *11.2.1* |  |  |  |  |
| **16.3** | Are any document changes reviewed and approved by authorized personnel? | *11.2.2* |  |  |  |  |
| **16.4** | Are obsolete documents promptly removed? | *11.2.3* |  |  |  |  |
| **16.5** | Does the vessel carry relevant documentation for the vessel and operational area? | *11.3* |  |  |  |  |
| **16.6** | Are the following original documents available on board, valid and correct? (As applicable) | *12.1* |  |  |  |  |
| **Class and Statutory Certification** |  |  |  |  |  |
|  | Certificate of Classification |  |  |  |  |  |
|  | International Load Line |  |  |  |  |  |
|  | MODU/SOLAS/National Certificate |  |  |  |  |  |
|  | International Oil Pollution Prevention (IOPP) |  |  |  |  |  |
|  | IOPP Supplement – Form A |  |  |  |  |  |
|  | International Tonnage Certificate |  |  |  |  |  |
|  | International Air Pollution Prevention (IAPP) |  |  |  |  |  |
|  | IAPP Supplement |  |  |  |  |  |
|  | Annual Radio Survey Reports |  |  |  |  |  |
|  | ISPP |  |  |  |  |  |
|  | Exemption Certificates (Note for which exemption they apply) |  |  |  |  |  |
|  | S/VDR Certificate |  |  |  |  |  |
|  | Cargo Gear (Statement of Fact) |  |  |  |  |  |
|  | Insurance Certificates (H&M, P&I, MLC) |  |  |  |  |  |
|  | GMDSS Maintenance |  |  |  |  |  |
|  | Ballast Water Management Certificate |  |  |  |  |  |
| **Flag State** |  |  |  |  |  |
|  | Certificate of Registry |  |  |  |  |  |
|  | Minimum Safe Manning Certificate |  |  |  |  |  |
|  | ASI Report |  |  |  |  |  |
|  | Radio Station License |  |  |  |  |  |
|  | Certificate of Insurance – Bunker |  |  |  |  |  |
|  | Certificate of Insurance – Wreck Removal |  |  |  |  |  |
|  | VGP (US EPA / USCG) |  |  |  |  |  |
| **ISM/ISPS** |  |  |  |  |  |
|  | Document of Compliance |  |  |  |  |  |
|  | Safety Management Certificate |  |  |  |  |  |
|  | International Ship Security Certificate |  |  |  |  |  |
|  | Continuous Synopsis Record |  |  |  |  |  |
|  | LRIT Conformance Test Report |  |  |  |  |  |
|  | Ship Security Alert System (SSAS) Last test report |  |  |  |  |  |
|  | DPA Name and Contact Details posted |  |  |  |  |  |
|  | Standing Orders (Master, Chief Engineer) |  |  |  |  |  |
| **Log and Record Books** |  |  |  |  |  |
|  | Official Logbook |  |  |  |  |  |
|  | Oil Record Book |  |  |  |  |  |
|  | Garbage Record Book |  |  |  |  |  |
|  | Medical Record Book |  |  |  |  |  |
|  | Ballast Water Record Book |  |  |  |  |  |
|  | GMDSS Logbook |  |  |  |  |  |
|  | Deck Logbook |  |  |  |  |  |
|  | Engine Room Logbook |  |  |  |  |  |
|  | Work/Rest Hours Logs |  |  |  |  |  |
| **Stability Data** |  |  |  |  |  |
|  | Stability Letter/Booklet/Software |  |  |  |  |  |
|  | Approved Lightship Condition |  |  |  |  |  |
|  | Lightship Alteration records |  |  |  |  |  |
|  | Stability Calculations and reports |  |  |  |  |  |
|  | Tank Soundings/Monitoring |  |  |  |  |  |
|  | Damage Stability |  |  |  |  |  |
|  | Environmental and Operating Limits |  |  |  |  |  |
| **Publications, Manuals and Plans** |  |  |  |  |  |
|  | SOLAS |  |  |  |  |  |
|  | SOLAS Training Manual |  |  |  |  |  |
|  | Charts/ECDIS Files |  |  |  |  |  |
|  | SOPEP |  |  |  |  |  |
|  | STCW Code |  |  |  |  |  |
|  | COLREGS |  |  |  |  |  |
|  | MARPOL |  |  |  |  |  |
|  | List of Lights |  |  |  |  |  |
|  | International Code of Signals |  |  |  |  |  |
|  | Fire Control and Lifesaving Appliances Plan |  |  |  |  |  |
|  | Flag State Regulations |  |  |  |  |  |
|  | Garbage Management Plan |  |  |  |  |  |
|  | Lifesaving Appliance Code |  |  |  |  |  |
|  | ITU Publicaitons |  |  |  |  |  |
|  | Ballast Water Management Plan |  |  |  |  |  |
|  | Coast Pilots/Sailing Directions |  |  |  |  |  |
|  | Construction Portfolio (Ships plans) |  |  |  |  |  |
|  | Tide and Current Tables |  |  |  |  |  |
|  | Vessel Response Plan |  |  |  |  |  |
|  | Bridge Equipment Manuals |  |  |  |  |  |
|  | Non-Tanker Vessel Response Plan (NTVRP – USA) |  |  |  |  |  |
| **16.7** | Procedures are implemented effectively, and records maintained as required? (Review a sample of records from 10 of the following shipboard procedures. Those in **bold** should not be skipped)* **Passage Planning**
* **Pre-Sailing Checks**
* Stability
* Preparations for Sea Passage
* Engineer checks for preparing for sea
* Engine room watch handover and checklist
* Engineering checks for arrival in port
* Engineer procedures for operation of plant
* Mooring Operations
* Anchoring Operations
* Pilotage
* Navigation in Heavy Weather
* Navigation in Restricted Visibility
* Navigation in Dense Traffic
* Watches alongside, at sea and at anchor
* Loading and Discharging of cargo/equipment
* Bunkering of Fuel Oil
* Taking Fresh Water
* **Lifting Operations**
* Shore Power Supply
* Survey Equipment
* Painting and Cleaning
* SDS, COSHH etc.
* **Deck machinery operations and maintenance**
 |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **16.7** | ***Findings or Comments*** |
|  |  |

Summary and Conclusions

1.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No | Qu. No | Finding | Type(Refer to Notes for definitions) | Proposed Corrective Action |
|  |  |  | Major NC [ ] NC [ ] Observation [ ]  |  |
|  |  |  | Major NC [ ] NC [ ] Observation [ ]  |  |
|  |  |  | Major NC [ ] NC [ ] Observation [ ]  |  |
|  |  |  | Major NC [ ] NC [ ] Observation [ ]  |  |
|  |  |  | Major NC [ ] NC [ ] Observation [ ]  |  |
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|  |  |  | Major NC [ ] NC [ ] Observation [ ]  |  |
|  |  |  | Major NC [ ] NC [ ] Observation [ ]  |  |
|  |  |  | Major NC [ ] NC [ ] Observation [ ]  |  |
|  |  |  | Major NC [ ] NC [ ] Observation [ ]  |  |

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Signature: ………………………..

[SURVEYOR]

Aluciant, LLC