

# **Rules for the Certification of Safety Management System**

## **Part 2: Requirements for Safety Management System**

**Doc. No.: SMS-02-00**

**Revision: 4**

This English translation of Rules for the Certification of Safety Management System is intended for the purpose of facilitating an overall understanding of the content of the original Korean version. In those cases where differences may be found between the two, the Korean document must be considered as the authoritative version.

# **Rules for the Certification of Safety Management System**

## **Part 2: Requirements for Safety Management System**



**Doc. No.: SMS-02-00**

**Revision No.: 4**

## **Korean Register of Shipping**

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### I. Revision Records

Rev. No.	Effectuated Date	Content
0	1994. 03. 01	- Established
1	1995. 03. 01	- Revised fully in accordance with IACS Procedural guideline (Rev. 3.2) and ISO 9002-1994
2	1997. 07. 01	- Revised fully in accordance with Notice No. 1997-55 (Ship Safety Management Regulation) by Korean Government (Ministry of Maritime Affairs and Fisheries)
3	2002. 07. 01	- Revised Ch.1, 7 and 13 and contained Ch. 14, 15 and 16 in accordance with ISM Code as amended by MSC. 104(73)
4	2010. 07. 01	- Revised Ch.1, 5, 7, 8, 9, 10, 12, 13 and 14 in accordance with ISM Code as amended by MSC. 273(85)

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### III. International Safety Management Code

#### PREAMBLE

1. The purpose of this Code is to provide an international standard for the safe management and operation of ships and for pollution prevention.
2. The Assembly adopted Resolution A.443(XI), by which it invited all Governments to take the necessary steps to safeguard the shipmaster in the proper discharge of responsibilities with regard to maritime safety and the protection of marine environment.
3. The Assembly also adopted Resolution A.680(17), by which it further recognized the need for appropriate organization of management to enable it to respond to the needs of those on board ships to achieve and maintain high standards of safety and environmental protection.
4. Recognizing that no two shipping companies or shipowners are alike, and that ships operate within a wide range of different conditions, the Code is based on general principles and objectives.
5. The Code is expressed in broad terms so that it can have widespread application. Clearly, different levels of management, whether shore-based or at sea, will require varying levels of knowledge and awareness of the terms outlined.
6. The cornerstone of good safety management is commitment from the top. In matters of safety and pollution prevention it is the commitment, competence, attitudes and motivation of individuals at all levels that determine the end result.

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## **1. GENERAL**

### **1.1 Definitions**

The following definitions apply to parts A and B of this Code.

- 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 Assembly, as may be amended by the Organization.
- 1.1.2 Company** means the owner of a 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 ship owner and who, on assuming such responsibility, has agreed to take over all duties and responsibility imposed by the 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** means a structured and documented system enabling Company personnel to implement effectively the Company safety and environmental protection policy.
- 1.1.5 Document of Compliance** means a document issued to a Company which complies with the requirements of this Code.
- 1.1.6 Safety Management Certificate** means a document issued to a ship which signifies that the Company and its shipboard management operate in accordance with the approved safety management system.
- 1.1.7 Objective evidence** means quantitative or qualitative information, records or statements of fact pertaining to safety or to the existence and implementation of an safety management system element, which is based on observation, measurement or test and which can be verified.
- 1.1.8 Observation** means a statement of fact made during a safety management audit and substantiated by objective evidence.
- 1.1.9 Non-conformity** means an observed situation where objective evidence indicates the non-fulfilment of a specified requirement.
- 1.1.10 Major non-conformity** means an identifiable deviation that poses a serious threat to the safety of personnel or the ship 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.
- 1.1.11 Anniversary date** means the day and month of each year that corresponds to the date of expiry of the relevant document or effective.
- 1.1.12 Convention** means the International Convention for the Safety of Life at Sea, 1974 as amended.

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## 1.2 Objectives

**1.2.1 The objectives of the Code are to ensure safety at sea, prevention of human injury or loss of life, and avoidance of damage to the environment, in particular to the marine environment and to property.**

**1.2.2 Safety-management objectives of the Company should, inter alia:**

**.1 provide for safe practices in ship operation and a safe working environment;**

**.2 assess all identified risks to its ships, personnel and the environment and establish appropriate safeguards; and**

**.3 continuously improve safety-management skills of personnel ashore and aboard ships, including preparing for emergencies related both to safety and environmental protection.**

**1.2.3 The safety-management system should ensure:**

**.1 compliance with mandatory rules and regulations; and**

**.2 that applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and maritime industry organizations are taken into account.**

### K1.2 Objectives

.1 The company shall establish and document safety management objectives to ensure the satisfactory outcomes of Article 1.2.2 of the Code.

.2 The company's safety management objectives shall be approved and supported by the top management of the company.

.3 Mandatory rules and regulations, as required by IMO and flag states, shall be included.

.4 The company shall identify the necessity of applicable codes, guidelines and standards recommended by IMO, flag states, classification societies and maritime industry organizations, and shall implement those codes, guidelines and standards identified as necessary in the SMS.

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**1.3 Application**

**The requirements of this Code may be applied to all ships.**

K1.3 Application

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#### 1.4 Functional requirements for a safety management system

Every Company should develop, implement and maintain a safety management system (SMS) which includes the following functional requirements:

- .1 a safety and environmental protection policy;
- .2 Instructions and procedures to ensure safe operation of ships and protection of the environment in compliance with relevant international and Flag State legislation;
- .3 defined levels of authority and lines of communication between, and amongst, shore and shipboard personnel;
- .4 procedures for reporting accidents and non-conformities with the provisions of this Code;
- .5 procedures to prepare for and respond to emergency situations; and
- .6 procedures for internal audits and management reviews.

#### K1.4 Functional requirements for a safety management system

##### .1 Establishment of SMS

- .11 The company shall establish and document a Safety Management System in compliance with the requirements of the ISM Code and these Rules.
- .12 The documents of a SMS may consist of such items as a manual, procedures and instructions.
- .13 The safety management manual, as a top level of document, shall satisfy the following requirements:
  - .131 All requirements of ISM Code shall be adopted.
  - .132 The safety management objectives and policy shall be established.
  - .133 All procedures of the safety management system shall be included or referred to.
  - .134 Relationship of the document to the safety management system shall be stated.
- .14 The scope and details of documented procedures and instructions shall be determined by the complexity of tasks, ways of performing tasks, skills and training required to perform the relevant tasks.

##### .2 Records on the implementation of a safety management system

- .21 The company shall maintain relevant records in order to verify its compliance with stated requirements and to prove its effective implementation of a safety management system.
- .22 The Company shall establish and maintain documented procedures of identification, collection, indexing, accessing, filing, storage, maintenance and deposition of records.
- .23 All records shall be legible and shall be stored and retained in such a way as to be readily retrievable in facilities that provide a suitable environment to prevent damage, deterioration and/or loss.
- .24 The retention period for records shall be established.
- .25 An index (list of records), which shows contents of the company's files, shall be maintained when records are kept in record files.
- .26 Records may be retained and stored in any medium, such as hard copy or electronic storage.

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## **2. SAFETY AND ENVIRONMENTAL PROTECTION POLICY**

**2.1 The Company should establish a safety and environmental protection policy which describes how the objectives given in paragraph 1.2 will be achieved.**

**2.2 The Company should ensure that the policy is implemented and maintained at all levels of the organization, both ship-based and shore-based.**

### K2 Safety and environmental protection policy

K2.1 The top management of a company shall establish and document its safety and environmental protection policy.

Note 1. This policy shall establish the direction for accomplishing safety management objectives, including top management's commitment.

Note 2. For accomplishing safety management objectives and for implementing this policy, the company may, additionally, establish and conduct an annual implementation plan.

K2.2 The company shall ensure that this policy is understood, implemented and maintained at all levels of the organization.

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### **3. COMPANY RESPONSIBILITIES AND AUTHORITY**

- 3.1 If the entity who is responsible for the operation of the ship is other than the owner, the owner must report the full name and details of such entity to the Administration.**
- 3.2 The Company should define and document the responsibility, authority and interrelation of all personnel who manage, perform and verify work relating to and affecting safety and pollution prevention.**
- 3.3 The Company is responsible for ensuring that adequate resources and shore-based support are provided to enable the designated person or persons to carry out their functions.**

#### K3 Company Responsibilities and Authority

K3.1 Responsibility, authority and the interrelation of personnel related to Article 3.2 of the ISM Code, shall be defined and shall be included but not limited to:

- .1 Personal assignment of tasks (responsibility and authority).
- .2 Communication line and interrelation.
- .3 Delegation, authority.
- .4 A proxy during absence.

K3.2 The top management of a company shall review and make provision for adequate resources and shore-based support as requested by the designated person(s).

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#### 4. DESIGNATED PERSON(S)

**To ensure the safe operation of each ship and to provide a link between the Company and those on board, every Company, as appropriate, should designate a person or persons ashore having direct access to the highest level of management. The responsibility and authority of the designated person or persons should include monitoring the safety and pollution prevention aspects of the operation of each ship and ensuring that adequate resources and shore-based support are applied, as required.**

#### K4 Designated Person(s)

K4.1 Designated Person(s) shall have adequate knowledge and experience, as follows, related to the safe operation of ships and pollution prevention in order to effectively conduct their duties.

- .1 Experience on board ships or in ship operation activities.
- .2 Knowledge of the ISM Code.
- .3 Knowledge of the SMS of the Company.
- .4 Knowledge of mandatory rules and regulations.

K4.2 The Company shall establish and maintain documented procedures for designated person(s) to effectively carry out their function, such as, but not limited to, the following:

- .1 Effective management of accidents, hazardous occurrences and non-conformities.
- .2 Supervision of internal audits.
- .3 Evaluation of master's review.
- .4 Visit to at least 1 ship per year with maintenance of visitation records.

K4.3 The Company shall prescribe in its safety management documents the responsibility and authority of designated person(s).

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## 5. MASTER'S RESPONSIBILITY AND AUTHORITY

### 5.1 The Company should clearly define and document the master's responsibility with regard to:

- .1 implementing the safety and environmental protection policy of the Company;**
- .2 motivating the crew in the observation of that policy;**
- .3 issuing appropriate orders and instructions in a clear and simple manner;**
- .4 verifying that specified requirements are observed; and**
- .5 periodically reviewing the SMS and reporting its deficiencies to the shore-based management.**

#### K5 Master's responsibility and authority

##### K5.1 Master's responsibility

- .1 The Company shall establish and maintain documented procedures for the master's responsibility in accordance with Article 5.1 of the ISM Code, including, but not limited to, the following:
  - .11 Issue of appropriate orders and instructions in a clear and simple manner
    - Note 1. Master's orders and instructions shall be verified as having been issued clearly and correctly.
    - Note 2. The company shall identify the required orders and instructions to be issued in the document, i.e., Standing Order, Night Order, etc.
  - .12 Verification that specified requirements are observed.
    - .121 Tasks which require the master's approval, or tasks delegated by the master with necessity of verification, shall be identified.
    - .122 The verification of tasks shall include period, method and maintenance of records.
- .13 Reviews of the SMS and reports of its deficiencies shall be conveyed to the shore-based management.
  - .131 The master shall review the SMS at least once per year while maintaining pertinent records to ensure that the ship's SMS continues its relevance, suitability and effectiveness.
  - .132 The objects of the master's review shall include, where applicable, the following:
    - .1321 Rating of accomplishment in implementing safety management objectives and policy.
    - .1322 Result of analyzing accidents and hazardous occurrences.
    - .1323 Corrective and preventive action with regard to non-conformities.
  - .133 The result of the master's review shall be reported to designated person(s), and work/activities which require shore-based support and corrective action under supervision of designated person(s) shall be engaged in appropriate corrective action.

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**5.2 The Company should ensure that the SMS operating on board the ship contains a clear statement emphasizing the master's authority. The Company should establish in the SMS that the master has the overriding authority and the responsibility to make decisions with respect to safety and pollution prevention and to request the Company's assistance as may be necessary.**

#### K5.2 Safeguards to the master's authority

- .1 The Company shall establish the master's overriding authority in special situations.
- .2 To ensure the master's overriding authority, the company shall prescribe in the Safety Management Manual, the top-level document, the master's responsibility and authority in compliance with IMO Resolution A.443(XI) "Decision of the Shipmaster with regard to Maritime Safety and Marine Environment Protection".

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## 6. RESOURCES AND PERSONNEL

### 6.1 The Company should ensure that the master is:

- .1 properly qualified for command;**
- .2 fully conversant with the Company's SMS; and**
- .3 given the necessary support so that the master's duties can be safely performed.**

#### K6 Resources and personnel

##### K6.1 Master's quality for command

- .1 The company shall establish and maintain a documented procedure for verifying the master's suitability for assuming command.
- .2 The procedure for verifying the master's qualifications shall include the following:
  - .21 Confirmation of valid certifications in compliance with mandatory rules and regulations as required by Administrations, STCW Conventions, etc.
  - .22 Confirmation of previous experience in the particular ship type.
  - .23 Confirmation of a career in the particular position, including as master.
  - .24 Additional requirements of the master as established by the Company.

Note. The Company shall consider the above Article .21, .22, .23 when a master is newly employed or promoted.

##### K6.2 Master's Conversancy with the company's SMS

The Company shall establish and maintain documented procedures to ensure that the master is fully conversant with the company's SMS.

- .1 The company shall evaluate the master's conversancy with the company's SMS and shall maintain relevant records.
- .2 The master shall be fully conversant with the company's SMS prior to joining a ship, excluding some particular circumstances.

Note 1. Particular Circumstances may mean unexpected situations i.e., ship's schedule or others conditions that may prevent a master from being fully conversant with the SMS prior to assuming command.

Note 2. In case of the above Note 1, the company shall provide the means whereby the master is enabled to be fully conversant with the company's SMS.

##### K6.3 The company's support to the master.

The company shall establish and maintain documented procedures in order for masters to carry out their duties safely, including the following:

- .1 Manning
  - Manning of the crew in compliance with Article 6.2 of the ISM Code.

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.2 Supporting with adequate resources

.21 Required supporting resources

.211 Establishing support criteria in consideration of the ship's type, route, built year, etc.

Note: when establishing support criteria, the master's requisition shall be considered high priority.

.212 Verifying requirements for the purchase of supporting resources.

.213 Receiving inspection and control of the supply of non-conforming resources.

.22 Resources include equipment, spare parts, fuel oil, lubricating oil, medicine, fresh water, food provisions, software and other materials required for safety and pollution prevention.

.3 Providing Information

.31 The Company shall provide ships with the following information:

.311 Information related to cargoes

.312 Information related to ports

.313 Technical Information and accident reports

.314 Other information related to the ship's operation

i.e., Notice to mariners, navigational warning, sailing instruction (if applicable), etc.

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**6.2 The Company should ensure that each ship is manned with qualified, certificated and medically fit seafarers in accordance with national and international requirements.**

K6.4 Criteria for manning and recruitment of crew

The Company shall establish and maintain documented procedures and criteria for manning and recruitment of crew.

- .1 The company's criteria for manning and recruitment of crew shall include the following:
  - .11 Verification that each crew member possesses a valid certificate or qualification in compliance with mandatory rules and regulations.
  - .12 Verification of medical checkup for each crew member in compliance with international and national requirements.  
Note 1. The Company is required to ensure that medical checkup of each crew member is up-to-date.  
Note 2. A checkup for drug and alcohol is also required.
  - .13 Additional requirements may be established by the company.
  - .14 Verification that each crew member conforms to the required criteria.

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**6.3 The Company should establish procedures to ensure that new personnel and personnel transferred to new assignments related to safety and protection of the environment are given proper opportunity for familiarization with their duties. Instructions which are essential for sailing should be identified, documented and provided prior to sailing.**

#### K6.5 Familiarization with assigned duties.

.1 The Company shall establish and maintain documented procedures for familiarizing new personnel, and personnel transferred to new assignments, with their duties.

.11 Assigned duties

.12 Familiarization and evaluation

Note: "New assignments" could include a different ship, a different job or a promotion.

.2 New personnel or personnel transferred to new assignments shall be familiarized with their assignments through relevant courses, with accompanying evaluations, prior to taking on newly assigned duties.

Note 1. "The relevant courses" could include:

- Training on shore or at sea.
- Taking over from a previous crew member.
- Overlap on board during transition with previous crew, etc.

Note 2. "The evaluation" could include:

- Verification through interviews, records, examinations or observation of assigned duties being performed.

.3 Duties with which new personnel or personnel transferred to new assignments (ashore and on board ship) should be familiar shall include the following:

.31 Assigned duties

Note: Prior to assigning duties, personnel's familiarization with the duties (relevant skills) and the particular courses, such as overlap, shall be provided for personnel being newly assigned.

.32 Essential instructions shall be provided prior to sailing.

.4 Essential instructions which are provided prior to sailing shall include the following:

.41 Assigned duties (responsibility, authority and interrelation).

.42 Duties in particular emergencies.

.43 Safety instructions.

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**6.4 The Company should ensure that all personnel involved in the Company's SMS have an adequate understanding of relevant rules, regulations, codes and guidelines.**

K6.6 Adequate understanding of relevant rules, regulations, codes and guidelines.

- .1 The Company shall establish and maintain documented procedures for updating mandatory rules and regulations, applicable codes and guidelines so as to inform relevant personnel.
- .11 The Company shall identify and maintain an updated list of mandatory rules and regulations, applicable codes and guidelines, which shall be provided to relevant personnel.
- .12 The Company shall ensure that all personnel related to the SMS shall properly and adequately understand and implement the requirements of relevant rules, regulations, codes and guide lines.  
Note: Examples of such ensurance could be:
  - Circulating documented procedures and instructions of the above adopted requirements.
  - Training by internal or external instructors.

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**6.5 The Company should establish and maintain procedures for identifying any training which may be required in support of the SMS and ensure that such training is provided for all personnel concerned.**

#### K6.7 Training

The Company shall establish and maintain documented procedures for training.

##### .1 Identification of required training.

.11 Required training shall be identified for every person whose work is related to safe ship operation and pollution prevention.

.12 The following shall be considered for required training:

.121 Revision of SMS

.122 Previous training and experience

.123 Familiarity with assigned duties

.124 Drills for emergencies

.125 Results of internal audits

.126 Results of external audits and surveys

.127 Results of management review

.128 Requirements of mandatory rules and regulations

.13 The Company shall appoint a person to be in charge of identifying required training.

##### .2 Conducting training

.21 Plans shall be established for training to be conducted when and as necessary.

##### .3 Evaluation of training (when applicable)

.31 Evaluation of training shall be conducted through established methods and criteria.

##### .4 Maintenance of training records

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**6.6 The Company should establish procedures by which the ship's personnel receive relevant information on the SMS in a working language or languages understood by them.**

K6.8 Working language and the provision of relevant information.

.1 The Company shall establish and maintain documented procedures including the following:

.11 Designation of working language(s) on board ships.

Note: Officers shall be evaluated in terms of their command of working language(s).

.12 Details of information furnished to crew

Note 1. Information shall include SMS documents and other relevant informations.

Note 2. The kinds and quantity of information shall be sufficient to ensure that all crew understand their duties.

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**6.7 The Company should ensure that the ship's personnel are able to communicate effectively in the execution of their duties related to the SMS.**

#### K6.9 Communications

.1 The Company shall establish and maintain documented procedures to ensure effective communication amongst the crew in conducting their duties. These shall include the following:

.11 Methods of effective communication in identified situations.

.111 Communication may be accomplished through documents, verbal messages, signals or drawings, etc.

.112 All crew shall be familiar with communication methods to be used in emergency situations.

.113 Passengers shall be provided with guidelines for emergency situations (if applicable).

.12 Understanding given instructions and the confirmation of such understanding when the given instructions may significantly affect safety and environmental protection.

Note. Confirmation may be done through repetition of given orders, signature, etc.

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## 7. DEVELOPMENT OF PLANS FOR SHIPBOARD OPERATIONS

**The Company should establish procedures, plans and instructions, including checklists, as appropriate, for key shipboard operations concerning the safety of the personnel, ship and protection of the environment. The various tasks involved should be defined and assigned to qualified personnel.**

### K7 Development of plans for shipboard operation

K7.1 The company shall establish and maintain documented procedures for identifying key shipboard operations with regard to ship type and trading routes in operation.

- .1 Key shipboard operations shall include all tasks that could adversely affect to safety and pollution prevention if documented procedures were not available.

K7.2 The Company shall establish and maintain documented procedures, plans and instructions including checklists for carrying out key shipboard operations identified in accordance with article K7.1. Key shipboard operations requiring documented procedures shall include the following:

- .1 Navigation
- .2 Duties (Watch)
- .3 Cargo operation
- .4 Cargo management
- .5 Arriving at/departure from ports
- .6 Pollution prevention
- .7 Safeguards for passengers
- .8 Radio operation
- .9 Safety control
- .10 Control of health and sanitation facilities
- .11 Helicopter operation
- .12 Pilot boarding/dropping operation
- .13 Pirates and stowaway control
- .14 External survey and audit control

K7.3 The Company shall appoint adequately qualified shore-based and shipboard personnel who have authority to develop and carry out plans and/or instructions for key shipboard operations.

Note. Adequate qualifications could be on the basis of education, training, experience, skill, etc.

K7.4 The responsibility and authority of shore-based organizations whose tasks would affect key shipboard operations shall be identified, established and maintained in the documented procedures together with their tasks.

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## 8. EMERGENCY PREPAREDNESS

**8.1 The Company should identify potential emergency shipboard situations, and establish procedures to respond to them.**

**8.2 The Company should establish programmes for drills and exercises to prepare for emergency actions.**

**8.3 The SMS should provide for measures ensuring that the Company's organization can respond at any time to hazards, accidents and emergency situations involving its ships.**

### K8 Emergency Preparedness

K8.1 The Company shall establish and maintain documented procedures to ensure emergency preparedness.

K8.2 The documented procedures shall include the following:

- .1 The Procedure for identifying potential emergency shipboard situations (at sea and in port).
- .2 Types of emergency situations as identified in Article K8.2.1 and response procedures for dealing with the identified emergency situations.
- .3 Organization of shore-based and shipboard personnel with duties to be performed in an emergency situations (Muster lists must be posted on board ship).
- .4 Exercises and drills for emergency situations.
- .5 Communication network between shore and ships for use in emergency situations or at any time.

K8.3 Exercises and drills for emergency situations shall ensure the following:

- .1 Planning of various kinds of drills, their periodic practice and person in charge.
- .2 Preparing drill scenario.
- .3 Evaluating results of drills.
- .4 Adequate handling of emergency equipment.
- .5 Familiarity with each person's role in emergency situations (on muster list).
- .6 Exercises and drills are conducted as required by mandatory rules and regulations.
- .7 Exercises and drills shall be conducted for each identified emergency situation on board ship at least once each year.
- .8 A joint shore/ship emergency drill shall be held at least once each year.

K8.4 The Company shall identify all potential emergency situations on board ship including the following, where applicable:

- .1 Fire
- .2 Explosion
- .3 Collision
- .4 Grounding
- .5 Flooding
- .6 Rescue
- .7 Pollution
- .8 Loss of Steering
- .9 Loss of Propulsion
- .10 Loss of life or injury
- .11 Abandon ship

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## **9. REPORTS AND ANALYSIS OF NON-CONFORMITIES, ACCIDENTS AND HAZARDOUS OCCURRENCES**

**9.1 The SMS should include procedures ensuring that non-conformities, accidents and hazardous situations are reported to the Company, investigated and analysed with the objective of improving safety and pollution prevention.**

**9.2 The Company should establish procedures for the implementation of corrective action, including measures intended to prevent recurrence.**

K9 Reports and analysis of non-conformities etc.

K9.1 The Company shall establish and maintain documented procedures for addressing non-conformities, accidents and hazardous situations (hereinafter referred to as "non-conformities").  
These procedures shall include identification, recording, review and corrective action for non-conformities together with reporting to relevant personnel.

K9.2 Non-conformities shall be addressed in accordance with documented procedures, where responsibility for review and authority for follow-up action are established.

Note. The following should be considered when addressing the non-conformities.

- .1 Rework to meet specified requirements
- .2 Accepting with or without repair by concession
- .3 Rejection or scrapping

K9.3 The identified non-conformities shall be fully reported to the company.

K9.4 Any corrective or preventive action taken to eliminate the causes of actual or potential non-conformities shall be to commensurate with the magnitude of the risks encountered.

K9.5 The procedures for corrective action shall include the following:

- .1 The effective handling of non-conformities.
- .2 Investigation into the cause of the non-conformities and recording the results of the investigation.
- .3 Determination of the corrective action and measures intended to prevent recurrence needed to eliminate the cause of the non-conformities.
- .4 Application of controls to ensure that corrective action is taken, that it is effective and that the gains are maintained.

K9.6 The procedures for preventive action shall include the following:

- .1 The use of appropriate sources of information to detect, analysis and eliminate potential causes of non-conformities.
- .2 Determination of the steps needed to deal with any situation requiring preventive action.
- .3 Initiation of preventive action and application of controls to ensure that it is effective.
- .4 Ensuring that relevant information on actions taken is submitted for management review.

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## 10. MAINTENANCE OF THE SHIP AND EQUIPMENT

**10.1 The Company should establish procedures to ensure that the ship is maintained in conformity with the provisions of the relevant rules and regulations and with any additional requirements which may be established by the Company.**

**10.2 In meeting these requirements the Company should ensure that:**

- .1 inspections are held at appropriate intervals;**
- .2 any non-conformity is reported, with its possible cause, known;**
- .3 appropriate corrective action is taken; and**
- .4 records of these activities are maintained.**

K10 Maintenance of the ship and equipment

K10.1 Establishment of procedures

- .1 The Company shall establish and maintain documented procedures for maintenance of the ship and equipment, including the following:
  - .11 Verification at designated intervals.
  - .12 Dealing with non-conformities and corrective action.
  - .13 Procedures for identifying equipment and technical systems, the sudden operational failure of which may result in hazardous situations, and providing for specific measures aimed at promoting the reliability of such equipment or systems.
  - .14 Shipboard maintenance (when applicable).
  - .15 Shore-based support of maintenance including dry-docking (when applicable).
  - .16 Dealing with spare parts for the maintenance of the ship and equipment.
  - .17 Maintaining activity records.
- .2 The company shall ensure that the following are taken into account when establishing procedures for maintenance.
  - .21 Mandatory rules and regulations.
  - .22 Applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and maritime industry organizations.
  - .23 Ship type
  - .24 Trading routes
  - .25 Built year of a ship

K10.2 Inspection/test at designated intervals

- .1 The following shall be included in the procedures of inspection/test at designated intervals.
  - .11 Procedures for identifying the necessities of inspection/test at designated intervals and establishing the objects and intervals for verification in the procedures.
 

Note: The objects for inspections/test at designated intervals mean equipment, such as hull, deck, engine, nautical and radio equipment etc.
  - .12 Inspection/test of identified objects at designated intervals.
  - .13 Methods of inspection/test and criteria to indicate conformance or non-conformance.
  - .14 Maintaining records of inspection/test results.

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#### K10.3 Dealing with non-conformities and corrective action

Dealing with non-conformities and corrective action shall be done in compliance with Chapter IX of the ISM Code.

#### K10.4 Shipboard maintenance (when applicable)

Procedures for shipboard maintenance shall include the following:

- .1 Responsibility and authority for maintenance (person in charge of each piece of equipment shall be identified).
- .2 Establishing maintenance plan.
- .3 Conducting maintenance activities.
- .4 Verification of maintenance activities.
- .5 Recording, reporting and keeping of maintenance activities.

#### K10.5 Shore-based support of maintenance (when applicable)

Procedures for shore-based support of maintenance shall include the following:

- .1 Responsibility and authority.
- .2 Establishing plans for support.
- .3 Informing of support plans.
- .4 Conducting maintenance.
- .5 Verification of maintenance activities.
- .6 Recording, reporting and keeping of maintenance activities.

#### K10.6 Dealing with spare parts

.1 Procedures for dealing with spare parts shall include the following:

- .11 Designated responsibility and authority.
- .12 Identifying the necessity for spare parts and establishing a standard stocking quantity.
- .13 Storing of spare parts (e.g., storing condition, records of receiving and using, etc.)

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**10.3 The Company should identify equipment and technical systems the sudden operational failure of which may result in hazardous situations. The SMS should provide for specified measures aimed at promoting the reliability of such equipment or systems. These measures should include the regular testing of stand-by arrangements and equipment or technical systems that are not in continuous use.**

**10.4 The inspections mentioned in 10.2, as well as the measures referred to in 10.3, should be integrated into the ship's operational maintenance routine.**

K10.7 Equipment and technical systems, the sudden operational failure of which may result in hazardous situations.

.1 Establishing procedures

The documented procedures in relation to Article 10.3 of the ISM Code shall include the following:

.11 Listing the identified equipment and technical systems.

.12 Providing for and conducting specific measures aimed at promoting the reliability of such equipment or systems.

.2 Identifying the equipment and technical systems

The following, where applicable, shall be included in the equipment and technical systems, the sudden operational failure of which may result in hazardous situations.

.21 Main engine and its auxiliary systems

.22 Electric generators and their auxiliary systems

Note: Main engine(s), electric generators and their auxiliary systems shall include all equipment which is essential for the operation of main engine(s) and electric generators, such as telegraph, pumps, heat exchanger, fuel lines, lubricating lines, etc.

.23 Safety devices of M/E and D/G

.24 Steering gears and their auxiliary systems

.25 Essential nautical equipment (e.g., Gyro compass, radar, etc.)

.26 Windlass and its auxiliary systems

.27 Fire detecting system

.28 Safety equipment and systems in relation to cargo handling  
(e.g., Cargo gear, IGS system, O<sub>2</sub> meter, gas detector, etc.)

.3 Specific measures aimed at promoting the reliability of equipment or systems.

The specific measures shall include the following, where applicable:

.31 Installing standby equipment.

.32 Periodical test for standby equipment and its changeover system.

.33 Planning and conducting periodical check by overhaul.

Note: Periodical changes of parts and oil could be included.

.34 Calibration of inspection, measuring and test equipment.

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## 11. DOCUMENTATION

**11.1 The Company should establish and maintain procedures to control all documents and data which are relevant to the SMS.**

**11.2 The Company should ensure that:**

- .1 valid documents are available at all relevant locations;**
- .2 changes to documents are reviewed and approved by authorized personnel; and**
- .3 obsolete documents are promptly removed.**

**11.3 The documents used to describe and implement the SMS may be referred to as the Safety Management Manual. Documentation should be kept in a form that the Company considers most effective. Each ship should carry on board all documentation relevant to that ship.**

### K11 Documentation

K11.1 The Company shall establish and maintain documented procedures to prepare, review, approve, issue, revise and obsolete documents and data (hereinafter referred to as "documents") with regard to the SMS.

- .1 Documents include guidelines such as technical information, accident reports, etc.
- .2 Documents include the company's safety management manual and other external publications such as applicable codes, guidelines, rules, regulations, conventions, drawings, charts, etc.

K11.2 The document may be maintained in any form, such as hard copy or electronic data storage.

K11.3 Approval and issue of documents.

- .1 The documents shall be reviewed and approved for adequacy and accuracy by authorized personnel prior to issue.
- .2 A master list or equivalent document control procedure identifying the current revision status of documents shall be established and be readily available to preclude any possible use of invalid and/or obsolete documents.
- .3 The appropriate documents are available at all locations where operations essential to the effective functioning of the quality system are performed.
- .4 Invalid and/or obsolete documents are promptly removed from all points of issue or use, or otherwise prevented from unintended use.
- .5 Any obsolete documents retained for legal and/or data preservation purposes are suitably identified.

K11.4 Changes to documents

- .1 Changes to documents shall be reviewed and approved by the same organizations that performed the original review and approval, unless specially designated otherwise.
- .2 The designated organizations shall have access to pertinent background information upon which to base their review and approval.
- .3 Where practicable, the nature of any change shall be identified in the document or the appropriate attachments.

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## 12. COMPANY VERIFICATION, REVIEW AND EVALUATION

**12.1 The Company should carry out internal safety audits on board and ashore at intervals not exceeding twelve months to verify whether safety and pollution-prevention activities comply with the safety management system. In exceptional circumstances, this interval may be exceeded by not more than three months.**

**12.2 The Company should periodically evaluate the effectiveness of the SMS in accordance with procedures established by the Company.**

**12.3 The audits and possible corrective actions should be carried out in accordance with documented procedures.**

**12.4 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.**

**12.5 The results of the audits and reviews should be brought to the attention of all personnel having responsibility in the area involved.**

**12.6 The management personnel responsible for the area involved should take appropriate and timely corrective action for identified deficiencies.**

### K12 Internal audits and management review

K12.1 The company shall establish and maintain documented procedures for conducting internal audits which include the following:

- .1 Organizations/functions to be audited.
- .2 Responsibility and authority of designated person(s) and personnel with regard to conducting audits.
- .3 Intervals and times for audits.
- .31 Audits shall be conducted at intervals not exceeding 12 months (but, in exceptional circumstances, it may be exceeded within 3 months) in all organizations and for all ships with regard to safety and pollution prevention.
- .32 Dates and times for audits shall be scheduled with concern for the character and volume of duties in the auditee's organizations.
- .4 Criteria for internal auditors and qualification procedures.
- .5 Planning of audits.
- .6 Reporting of audit results.
- .7 Follow-up action.

Note: An audit checklist is recommended for ensuring effective audits.

K12.2 Top management of the company shall review the suitability and effectiveness of implementation on its safety and environmental protection policy at least once each year.

K12.3 The procedures for management review shall include the following:

- .1 The methods of management review
- .2 Objects of management review
  - .21 Evaluation of implemented safety management objectives and policy
  - .22 Results of internal/external audits
  - .23 Preventive action
  - .24 Results of statistical analysis of non-conformities
  - .25 Results of analysis of master's review

Note: The objectives and policies of the company's SMS could be evaluated through analysing the company's annual plans and records of achievements.

.3 Dealing with results of management review.

The results of management review shall be brought to the attention of all personnel having responsibility in the area involved. The management personnel responsible for the area involved shall take timely corrective action on identified deficiencies.

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### **13. CERTIFICATION, VERIFICATION AND CONTROL**

- 13.1** The ship should be operated by a Company which has been issued with a Document of Compliance or with an Interim Document of Compliance in accordance with paragraph 14.1, relevant to that ship.
- 13.2** The Document of Compliance should be issued by the Administration, by an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government to the Convention to any Company complying with the requirements of this Code for a period specified by the Administration which should not exceed five years. Such a document should be accepted as evidence that the Company is capable of complying with the requirements of this Code.
- 13.3** The Document of Compliance is only valid for the ship types explicitly indicated in the document. Such indication should be based on the types of ships on which the initial verification was based. Other ship types should only be added after verification of the Company's capability to comply with the requirements of this Code applicable to such ship types. In this context, ship types are those referred to in regulation IX/1 of the Convention.
- 13.4** The validity of a Document of Compliance should be subject to annual verification by the Administration or by an organization recognized by the Administration or, at the request of the Administration by another Contracting Government within three months before or after the anniversary date.
- 13.5** The Document of Compliance should be withdrawn by the Administration or, at its request, by the Contracting Government which issued the document, when the annual verification required in paragraph 13.4 is not requested or if there is evidence of major non-conformities with this Code.
- 13.5.1** All associated Safety Management Certificates and/or Interim Safety Management Certificates should also be withdrawn if the Document of Compliance is withdrawn.
- 13.6** A copy of the Document of Compliance should be placed on board in order that the master of the ship, if so requested, may produce it for verification by the Administration or by an organization recognized by the Administration or for the purposes of the control referred to in regulation IX/6.2 of the Convention. The copy of the document is not required to be authenticated or certified.
- 13.7** The Safety Management Certificate should be issued to a ship for a period which should not exceed five years by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government. The Safety Management Certificate should be issued after verifying that the Company and its shipboard management operate in accordance with the approved safety management system. Such a certificate should be accepted as evidence that the ship is complying with the requirements of this Code.
- 13.8** The validity of the Safety Management Certificate should be subject to at least one intermediate verification by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government. If only one intermediate verification is to be carried out and the period of validity of the Safety Management Certificate is five years, it should take place between the second and third anniversary date of the Safety Management Certificate.

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**13.9** In addition to the requirements of paragraph 13.5.1, the Safety Management Certificate should be withdrawn by the Administration or, at the request of the Administration, by the Contracting Government which has issued it when the intermediate verification require in paragraph 13.8 is not requested or if there is evidence of major non-conformity with this Code.

**13.10** Notwithstanding the requirements of paragraphs 13.2 and 13.7, when the renewal verification is completed within three months before the expiry date of the existing Document of Compliance or Safety Management Certificate, the new Document of Compliance or the new Safety Management Certificate should be valid from the date of completion of the renewal verification for a period not exceeding five years from the date of expiry of the existing Document of Compliance or Safety Management Certificate.

**13.11** When the renewal verification is completed more than three months before the expiry date of the existing Document of Compliance or Safety Management Certificate, the new Document of Compliance or the new Safety Management Certificate should be valid from the date of completion of the renewal verification for a period not exceeding five years from the date of completion of the renewal verification.

**13.12** When the renewal verification is completed after the expiry date of the existing Safety Management Certificate, the new Safety Management Certificate should be valid from the date of completion of the renewal verification to a date not exceeding five years from the date of expiry of the existing Safety Management Certificate.

**13.13** If a renewal verification has been completed and a new Safety Management Certificate cannot be issued or placed on board the ship before the expiry date of the existing certificate, the Administration or organization recognized by the Administration may endorse the existing certificate and such a certificate should be accepted as valid for a further period which should not exceed five months from the expiry date.

**13.14** If a ship at the time when a Safety Management Certificate expires is not in a port in which it is to be verified, the Administration may extend the period of validity of the Safety Management Certificate but this extension should be granted only for the purpose of allowing the ship to complete its voyage to the port in which it is to be verified, and then only in cases where it appears proper and reasonable to do so. No Safety Management Certificate should be extended for a period of longer than three months, and the ship to which an extension is granted should not, on its arrival in the port in which it is to be verified, be entitled by virtue of such extension to leave that port without having a new Safety Management Certificate. When the renewal verification is completed, the new Safety Management Certificate should be valid to a date not exceeding five years from the expiry date of the existing Safety Management Certificate before the extension was granted.

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#### **14. INTERIM CERTIFICATION**

**14.1 An Interim Document of Compliance may be issued to facilitate initial implementation of this Code when:**

- .1 a Company is newly established; or**
- .2 new ship types are to be added to an existing Document of Compliance.**

following verification that the Company has a safety management system that meets the objectives of paragraph 1.2.3 of this Code, provided the Company demonstrates plans to implement a safety management system meeting the full requirements of this Code within the period of validity of the Interim Document of Compliance. Such an Interim Document of Compliance should be issued for a period not exceeding 12 months by the Administration or by an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government. A copy of the Interim Document of Compliance should be placed on board in order that the master of the ship, if so requested, may produce it for verification by the Administration or by an organization recognized by the Administration or for the purposes of the control referred to in regulation IX/6.2 of the Convention. The copy of the document is not required to be authenticated or certified.

**14.2 An Interim Safety Management Certificate may be issued:**

- .1 to new ship on delivery;**
- .2 when a Company takes on responsibility for the operation of a ship which is new to the Company; or**
- .3 when a ship changes flag.**

Such an Interim Safety Management Certificate should be issued for a period not exceeding 6 months by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government.

**14.3 An Administration or, at the request of the Administration, another contracting Government may, in special cases, extend the validity of an Interim Safety Management Certificate for a further period which should not exceed 6 months from the date of expiry.**

**14.4 An Interim Safety Management Certificate may be issued following verification that:**

- .1 the Document of Compliance, or the Interim Document of Compliance, is relevant to the ship concerned;**
- .2 the safety management system provided by the Company for the ship concerned includes key elements of this Code and has been assessed during the audit for issuance of the Document of Compliance or demonstrated for issuance of the Interim document of Compliance;**
- .3 the company has planned the internal audit of the ship within three months;**
- .4 the master and officers are familiar with the safety management system and the planned arrangements for its implementation;**
- .5 instructions, which have been identified as being essential, are provided prior to sailing; and**
- .6 relevant information on the safety management system has been given in a working language or languages understood by the ship's personnel.**

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## **15. VERIFICATION**

**15.1 All verification required by the provisions of this Code should be carried out in accordance with procedures acceptable to the Administration, taking into account the guidelines developed by the Organization.**

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## **16. FORMS OF CERTIFICATES**

**16.1 The Document of Compliance, the Safety Management Certificate, the Interim Document of Compliance and the Interim Safety Management Certificate should be drawn up in a form corresponding to the models given in the appendix to this Code. If the language used is neither English nor French, the text should include a translation into one of these languages.**

**16.2 In addition to the requirements of paragraph 13.3 the ship types indicated on the Document of Compliance and the Interim Document of Compliance may be endorsed to reflect any limitations in the operations of the ships described in the safety management system.**

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## **Annex**

### **- Definitions -**

1. "Verification" means the confirmation by examination and provision of objective evidence that specified requirements have been fulfilled.
2. "Corrective action" means an action taken to eliminate the causes of an existing non-conformity, defect, or other undesirable situation in order to prevent recurrence.
3. "Preventive action" means an action taken to eliminate the causes of a potential non-conformity, defect, or other undesirable situation in order to prevent occurrence.