



GUIDE FOR

**MARINE SAFETY, QUALITY AND
ENVIRONMENTAL MANAGEMENT**

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**American Bureau of Shipping
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Foreword

The significant impact of management practices on the safe operations of ships has been recognized for some time. The General Assembly of the International Maritime Organization requested the Maritime Safety Committee, by resolution A.596(15) to develop, as a matter of urgency, guidelines concerning shipboard and shore-based management, and to include in the work program of both the Maritime Safety Committee and the Environmental Protection Committee an item on shipboard and shore-based management for the International Safety Management Code (ISM Code). The ISM Code was developed by the International Maritime Organization to provide the maritime community with an internationally recognized standard for the safe management and operation of ships and for pollution prevention. Initially adopted as resolution A. 741(18), it later was incorporated into Chapter IX of the SOLAS convention and became mandatory for oil tankers, chemical tankers, bulk carriers and cargo high speed craft of 500 gross tonnage and upwards and for passenger ships including passenger high-speed craft from 1 July 1998. Other cargo ships and self-propelled mobile offshore drilling units (MODUs) of 500 gross tonnage and upwards subject to SOLAS are required to comply by 1 July 2002.

Other management system standards have been developed, notably ISO 9001 and ISO 14001, non-specific to the maritime industry, which address management practices from the perspective of controlling quality and environmental impact. These standards, though not specific to the marine industry, provide useful guidance that can be employed in marine management and the operation of ships to further enhance management systems focused on the safe operating practices and prevention of pollution.

The general management system principles embodied by the ISM Code, ISO 9001 and ISO 14001 have been incorporated in this Guide. These principles, where appropriate, have been “marinized” in order to bring them within the concept of the industry itself.

The American Bureau of Shipping offers this Guide to the maritime industry as a tool for enhancing marine management practices and further supporting safe management in the operation of ships and prevention of pollution.



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1 GENERAL

1.1 Scope and Application

The *ABS Guide for Marine Safety, Quality, and Environmental Management* has been developed with the objective of improving safety and environmental performance in the management and operation of ships. The American Bureau of Shipping recognizes the positive impact that sound management practices have upon these areas of concern. This Guide provides the maritime industry with a model for implementation of management systems concerned with these issues.

This Guide is intended for the use of Companies operating all types of ships. Its requirements have been stated in general terms in order to have application to a wide variety of ship operations and management styles.

The requirements of this Guide have been largely derived from the sound management system principles reflected in the requirements of the "International Management Code for the Safe Operation of Ships and for Pollution Prevention" (also known as the "International Safety Management Code", or more commonly as the ISM Code), "Quality Management Systems – Requirements (ISO 9001:2000)", and "Environmental management systems - Specification with guidelines for use" (ISO 14001:1996). Though the requirements of this Guide have been intended to encompass the requirements of these three referenced standards, users of this Guide are encouraged to obtain for themselves copies of these standards for reference. These standards, and other standards associated with them, contain valuable information and guidance useful in understanding the fundamentals and implementation of viable management systems.

Though this Guide has been developed principally as a management system model for safe operation, prevention of pollution and preservation of the environment, quality concerns are also addressed. While quality management focuses principally upon enhancing Customer satisfaction and ensuring that customer requirements for quality are fulfilled, ABS considers that the employment of quality principles will have a significant positive impact on achieving goals and objectives in the areas of safety and environmental management. The quality system requirements of this Guide provide prescriptions that will enhance a safety and environmental management system's effectiveness. **Note: This Guide has excluded section 7.3 of the ISO 9001:2000 standard, Design and Development. This element of the ISO standard should not be**

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excluded from a Company's management system if they have any input to the design of a vessel they are building, intend to build or a vessel they are modifying to their specific requirements. Companies applying for certification to this Guide may not require to have this element in the scope of their audit. Any other exclusions sought by Companies to this Guide shall be fully justified in the Management System Manual (see 3.6.2) only within the following clauses: 3.4.1, 3.5.2, 3.5.3, 3.5.4, 4.9, 4.10, 4.11, 4.12 and 5.1.7; and then only if it is a "q" only requirement.

This Guide is designed to facilitate a progressive approach to a fully integrated management system of safety, quality and environmental concerns. The Guide identifies requirements in three categories. The categories are identified to the left of the corresponding requirement by an "s", "q", or "e" and are explained below.

Requirements identified by an "s" are **safety** management requirements. These requirements are based mainly upon the requirements of the ISM Code but also include additional prescriptive requirements that ABS considers will enhance achieving goals and objectives within this area. Safety management requirements provide the baseline requirements of this Guide and contain a number of requirements also applicable to quality and environmental management. These requirements address environmental management concerns from a regulatory compliance perspective.

Requirements identified by a "q" are **quality** management requirements that must be implemented together with the "s" requirements in order to manage both safety and quality management concerns. Quality management requirements in combination with a number of the safety requirements address issues of concern embodied by ISO 9001:2000. Additionally, prescriptive requirements have been included that ABS considers will enhance achieving goals and objectives within the combined areas of safety and quality management.

Requirements identified by an "e" are **environmental** management requirements that must be implemented in addition to the "s" requirements in order to manage both safety and environmental management concerns. Environmental management requirements in combination with a number of the safety management requirements address issues of concern embodied by ISO 14001:1996. Additionally, prescriptive requirements have been included that ABS considers will enhance achieving goals and objectives within the areas of safety and environmental management. These requirements address environmental concerns from the perspectives of both regulatory compliance and proactive continual improvement of the management system and environmental performance.

Companies may choose to implement the combination of requirements suitable to their organization's goals, objectives and concerns. ABS encourages all companies to consider implementation of the Guide's requirements in their entirety as the most comprehensive approach to safety quality and environmental management.

1.2 Certification

1.2.1 General

Companies may request certification to the requirements of this Guide from the American Bureau of Shipping (ABS). Certification is available to the safety requirements; safety and quality requirements; safety and environmental requirements; and safety, quality and environmental requirements.

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Companies seeking certification to this Guide must, as a condition of certification, conform to the requirements of the ISM Code, ISO 9001:2000, and ISO 14001:1996 as relevant to the selected scope of their management system. Additionally, certification to the environmental criteria requires a pre-assessment.

Ships certified to the requirements of this Guide shall, as a prerequisite, be classed by ABS or another IACS member society.

Certification to this Guide shall be administered in the same manner as ISM Code certification. Vessels shall normally be assessed in accordance with the usual audit frequency prescribed for ISM Code certification.

This Guide is subject to review and revision. Updates shall include, among other things, additional requirements, or clarification of existing requirements. Companies certified to the requirements of this Guide shall be required to comply with the changes within **two years** after their publication.

A Company that is assessed by ABS and found to meet the requirements specified in this Guide is entitled to hold a corresponding certificate. Vessels operating under the Company's management system that are assessed by ABS and found to meet the requirements specified in this Guide are entitled to hold corresponding certificates, and where ABS classed, corresponding notations in the ABS *Record*. All certificates are subject to periodic and intermediate verifications conducted at each certified location. All certifications are non-transferable. Assessments are based upon a sampling process. The absence of recorded nonconformities does not mean that none exist. Nothing contained herein or in any certificate, notation or report issued in connection with a certificate and/or notation is intended to relieve any designer, builder, owner, manufacturer, seller, supplier, repairer, operator, insurer or other entity of any duty to inspect or any other duty or warranty, express or implied, nor to create any interest, right, claim or benefit in any insurer or other third party.

1.2.2 *Certification Process*

Companies seeking certification to the requirements of this Guide shall fulfill the following responsibilities, some of which are more fully described in subsequent sections of the Guide:

- a. Document, implement and maintain a marine management system in accordance with the pertinent requirements of this Guide.
- b. **Inform ABS in writing of major changes to management system elements** (e.g. managerial organizational structure, location, change in types of vessels operated, upgrade/downgrade of process capability, control or flow) so that the changes may be evaluated by ABS and appropriate action taken.
- c. Provide ABS copies of pertinent management system documentation for review.
- d. Allow ABS access to all certified locations and vessels during normal working hours in order to assess the marine management system to determine continuing compliance with the pertinent requirements of this Guide.
- e. Maintain a record of all complaints received regarding the quality of services, environmental pollution, and the resolution thereof.

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- f. Notify ABS of port state detentions of vessel(s) certified.
 - g. Inform ABS in writing when a DOC, issued by a Flag Administration or a Recognized Organization (other than ABS), is withdrawn or invalidated by the issuing party affecting vessels certified to these requirements.

1.2.3 *Representations*

Certification is a representation by ABS that at the time of assessment the Company and vessels, as pertinent, had established and implemented a management system in accordance with the requirements in this Guide for the specified certificates and notations. Certification is not a representation that the Company always acts in compliance with the management system or that the management system addresses all contingencies. Management performance remains the responsibility of the Company.

1.2.4 *Termination*

The continuance of certification or any notation is conditional upon the Company's and vessels' continued compliance with the pertinent requirements of this Guide. ABS reserves the right to reconsider, withhold, suspend or cancel the certification or notation for noncompliance with the requirements, refusing access for an assessment or verification, or nonpayment of fees which are due on account of certification and other services.

1.2.5 *Limitation of Liability*

The combined liability of American Bureau of Shipping, its officers, directors, employees, agents or subcontractors for any loss, claim, or damage arising from negligent performance or non-performance of any of its services, or from breach of any implied or express warranty of workmanlike performance in connection with those services, or from any other reason, to any person, corporation, partnership, business entity, sovereign, country or nation, will be limited to the greater of

- a) \$100,000, or
- b) an amount equal to ten times the sum actually paid for the services alleged to be deficient.

The limitation of liability may be increased up to an amount twenty-five times that sum paid for services upon receipt of the Company's written request at or before the time of performance of services and upon payment by Company of an additional fee of \$10.00 for every \$1,000.00 increase in the limitation.

1.3 **Definitions**

The definitions listed below are taken, or adapted from the ISM Code, ISO 9001:2000, and ISO 14001:1996.

Administration – means the Government of the State whose flag the ship is entitled to fly.

Anniversary Date – means the day and month of each year that corresponds to the date of expiry of the relevant document or certificate.

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Certification – the decision by ABS that the Company’s management system meets the applicable requirements of the ABS Guide.

Company – the owner of the ship or any other organization or person such as the manager, or the bareboat charterer, who has assumed the responsibility for operation of the ship from the shipowner and who, on assuming such responsibility, has agreed to take over all duties and responsibilities imposed by the ISM Code.

Company = Organization [9001:2000]

Continual improvement – the process of enhancing the management system to achieve improvements in overall performance in line with the Company's stated policies for safety, quality, and pollution prevention as applicable. This is a recurring activity.

Convention – means the International Convention for Safety of Life at Sea, 1974 as amended.

Customer – organization or person that receives a product or service. A charterer is considered a Customer.

Customer satisfaction – perception of the degree to which the Customer’s requirements have been fulfilled.

DOC – Document of Compliance certificate

Environment – surroundings in which a Company and its ships operate, including air, water, land, natural resources, flora, fauna, humans, and their interaction.

Environmental aspect - element of a Company's or organization’s activities or services that can interact with the environment.

Environmental impact – any change to the environment, whether adverse or beneficial, wholly or partially resulting from a Company's activities, or services.

Environmental objective – overall environmental goal, arising from the environmental policy, that a Company sets itself to achieve, and which is quantifiable where practicable.

Environmental performance – measurable results of the environmental management system, related to a Company's control of its environmental aspects, based on its environmental policy, objectives and targets.

Environmental target – detailed performance requirement, quantified where practicable, applicable to the Company or its ships, that arises from the environmental objectives and that needs to be set and met in order to achieve those objectives.

Infrastructure – system of facilities, equipment and services needed for the operation of the Company.

Interested Parties – person or group having an interest in the success of the Company.

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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.

Major non-conformity – means the 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 and includes the lack of effective and systematic implementation of the requirement of the Code.

Non-conformity – means an observed situation where objective evidence indicates the non-fulfillment of a specified requirement.

Notation – notation in the *ABS Record* upon certification to recognize that the ABS classed vessel meets the applicable requirements of the ABS Guide for: Safety Certification (S) or Safety and Environmental Certification (SE) or Safety and Quality Certification (SQ) or Safety, Quality and Environmental Certification (SQE).

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

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

Prevention of pollution – use of practices, materials or products that avoid, reduce or control pollution, which may include recycling, treatment, process changes, control mechanisms, efficient use of resources and material substitution.

Requirement – a need or expectation generally stated, generally implied or obligatory

Safety aspect – element of a Company's or organization's activities or services that represents an actual or potential risk to safety or personnel, or the ship.

SMC – Safety Management Certificate. A document issued to a ship which signifies that the Company and its shipboard management operate in accordance with the approved safety management system.

Supplier – organization or person that supplies a product or service.

System – set of interrelated or interacting elements required to direct and control a Company.

Top management: person(s) who directs or controls a Company

Work environment: set of conditions under which the work is performed.



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	2	POLICY
s	2.1	General
	2.1.1	The Company's top management shall establish, document, and maintain pertinent policy(ies) for safety, protection of the environment, and quality in accordance with and appropriate with the purpose(s) of the management system.
	2.1.2	The Company shall ensure that the policies are communicated, understood, implemented and maintained at all levels of the shore based and shipboard organizations.
	2.2	Safety and Environmental Policy
s	2.2.1	The Company shall establish a Safety and Environmental protection policy which describes how ensuring safety at sea, prevention of human injury or loss of life, and avoidance of damage to the environment, in particular, the marine environment will be achieved.
	2.2.2	The policy shall define the Company's commitment and continuous improvement to achieve goals and objectives to:
s		a. provide for safe practices in ship operations and a safe working environment;
s		b. prevention of pollution;
s		c. establishing safeguards against all identified risks;
s		d. continuously improving safety-management skills of personnel ashore and onboard ships, including preparing for emergencies related to both safety and environmental protection;
s		e. complying with mandatory rules and regulations and other requirements to which the Company subscribes.
s		f. continually improving all processes by:

- i reviewing the available information against stated Policies and Objectives,
- ii evaluating Audit results,
- iii analyzing available records of Corrective and Preventive Actions, and management reviews;

e 2.2.3 The policy shall be appropriate to the nature, scale and environmental impacts of the Company's shore-based and shipboard activities.

e 2.2.4 The environmental policy shall provide a framework for setting and reviewing environmental objectives and targets.

e 2.2.5 The environmental policy shall be made available to the public.

q 2.3 Quality Policy

2.3.1 Top Management shall ensure that the Quality policy:

- a. is appropriate to the purpose of the organization
- b. is reviewed for continuing suitability;
- c. includes a commitment to comply with requirements and continually improve the effectiveness of the quality management system; and
- d. provides a framework for establishing and reviewing quality objectives;
- e. is communicated and understood within the shore and ship based organization.

2.3.2 The Company's organizational goals and expectations shall be monitored, measured and analyzed to ensure that the processes are implemented effectively.



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- 3 PLANNING**
- 3.1 Environmental Aspects**
- 3.1.1** The Company shall establish and maintain procedure(s) to identify the environmental *aspects* of its ship and shore-based operations that it can control or, over which it can be expected to have an influence. The Company shall determine which environmental *aspects* have or can have a significant impact on the environment. The Company shall keep this information up-to-date.
- 3.1.2** These *aspects* shall be considered when setting environmental objectives.
- 3.2 Legal and Other Requirements**
- 3.2.1** The Company shall establish and maintain a documented procedure to identify and have access to:
- a. mandatory rules and regulations applicable to both ship and shore based operations; and
 - b. applicable codes, guidelines and standards recommended by the IMO, Administrations, classification societies and maritime industry organizations.
- 3.3 Safety and Environmental Objectives and Targets**
- 3.3.1** The Company shall establish and maintain documented objectives and targets for environmental protection at each relevant function and level within the shore based and shipboard organization. (See 5.4) Responsibility for achieving these objectives and targets shall also be identified and documented.
- 3.3.2** When establishing and reviewing its objectives, the Company shall consider:
- a. compliance with mandatory rules and regulations;
 - b. applicable codes, guidelines and standards recommended by the IMO, Flag Administrations, classification societies, and maritime industry organizations;

- e c. the significant environmental aspects of its operations;
- e d. the views of interested parties;
- e e. technological options; and
- e f. its financial, operational and business requirements.
- e **3.3.3** The objectives and targets set by the Company shall be consistent with the safety and environmental policy, including the Company's commitment to safe operation and prevention of pollution.
- q **3.4 Quality Planning and Objectives**
 - 3.4.1 Top Management shall ensure that
 - a. quality objectives, including those needed to meet the requirements of service are established at relevant functions and levels within the organization. These should be measurable and consistent with the quality policy, and carried out to meet the management system requirements as well as quality objectives.
 - b. the integrity of the management system is maintained when changes are planned and implemented.
 - 3.4.2 The Company shall plan and develop the processes needed for product or service realization. Planning of product or service realization shall be consistent with the requirements of the other processes of the management system. (See 3.6)
 - 3.4.3 In delivering the service the Company shall:
 - a. ensure adherence to the requirements and objectives of the service
 - b. identify the need to establish or amend processes, procedures and provide resources required by the service
 - c. identify the verification, validation, monitoring, inspection and test activities specific to the services and the criteria for service acceptance; and
 - d. identify the records required to demonstrate compliance. (See 5.4)
 - q 3.4.4 The output of this planning shall be in a form suitable for the Company's method of operation.

Note: The output of this planning activity could be referred to as a quality plan.
- 3.5 Customer Focus**
- q 3.5.1 **General**

Top management shall ensure that Customer's requirements are determined and met with the aim of enhancing Customer satisfaction. Additionally the Company shall monitor information relating to the Customer's perception to demonstrate fulfilling customer or charter party requirements. The methods for obtaining and using this information shall be determined and may include:

- a. procedures for reviewing pertinent voyage inspection and test records in order to determine if contractual requirements have been met and if requirements have not been met, corrective action shall be taken; (See Guide 5.4)
- b. participation in client meetings;
- c. soliciting of client feedback;
- d. tracking breakdowns, accidents, delays and port state interventions;
- e. anticipating trends including opportunities for preventive action;
- f. tracking supplier's performance and costs of purchases; (Re, Guide 5.1.3)

3.5.2 *Determination of the Requirements Related to Management of Ships (other services)*

- q** 3.5.2.1 Prior to entering into a ship management agreement, charter party, contract of affreightment, or any other type of contract with a customer, the Company shall review these contracts to identify, determine and ensure that;
- a. the requirements, including delivery and post-delivery of its services, are adequately defined and documented. Where the customer communicates his requirements by other means, these shall be confirmed prior to acceptance;
 - b. address those requirements additionally determined by the Company and monitor these requirements throughout the voyage to ensure Customer's requirements are being met;
 - c. any differences between the contract and those previously expressed are resolved; and
 - d. it has the capability to meet the contractual requirements;
 - e. where known, unstated requirements necessary for specified or intended use are included.

- s** 3.5.2.2 Statutory and regulatory requirements during all stages of its process and delivery will be complied with.

- q** 3.5.2.3 Where product or service requirements are changed, the Company shall ensure that relevant documents are amended and that relevant personnel are made aware of the changed requirements.

q **3.5.3 *Customer Communication***

The Company shall determine and implement effective arrangements for communicating with customers and interested parties in relation to:

- a. the service or product being delivered;
- b. inquiries/contracts/charter parties/including amendments; and
- c. customer feedback and complaints, including complaints from Class, Port State Control, Flag State or other entities

- q** 3.5.4 *Customer's Records*
- Records of the results of the review of requirements, and any actions arising from the review, must be maintained. (See 5.4)
- 3.6 Management Programs**
- 3.6.1 General**
- s** 3.6.1.1 The Company shall establish, implement, and maintain programs in support of pertinent safety, quality and environmental, policies. The programs shall be designed to achieve pertinent objectives and targets related to safe operation, protection of the environment, and quality, taking into account the unique design characteristics, and operating requirements of each ship type.
- s** 3.6.1.2 The Company shall determine the processes needed for an effective management system, including the sequence and interaction of these processes as applicable throughout the organization.
- q** 3.6.1.3 The Company shall ensure the availability of resources and information necessary to support the operation and monitoring of these processes.
- 3.6.1.4 The programs shall:
- s** a. identify criteria, methods, resources and information required to effectively monitor, measure, analyze, control and implement the identified processes.
- s** b. define and document responsibility, authority and interrelation of all personnel who manage, perform and verify work relating to and affecting safety, pollution prevention, and quality; and
- s** c. establish defined levels of authority and lines of communication between, and amongst, shore and shipboard personnel;
- e** d. define and document the means and time frame by which the objectives and targets are to be achieved.
- q** e. designate responsibility for achieving objectives and targets at each relevant function and level of the Company;
- qe** f. implement actions necessary to achieve planned results and continual improvement of the processes.
- e** 3.6.1.5 The Company shall ensure that the environmental management program is suitably amended where relevant in relation to new developments and modified activities associated with their shore-based and shipboard operations.
- q** 3.6.1.6 The Company shall identify the control it will exercise over processes it sources externally. These controls shall be identified in the management system.
- q** **3.6.2 Management Commitment**
- 3.6.2.1 Top management shall provide evidence of commitment to the development and implementation of the management system and continually improving its effectiveness by:

- a. communicating the importance of meeting the customer's as well as the statutory and regulatory requirements within the organization and ensuring these requirements are understood;
- b. establishing the Quality policy;
- c. ensuring that quality objectives are established;
- d. conducting management reviews; and
- e. ensuring availability of resources.

3.6.3 Management System Manual

s 3.6.3.1 The Company shall describe the pertinent safety, environmental protection and quality programs, within a management system manual.

3.6.3.2 The management system manual shall;

- s** a. define the scope of the system including details and justification for exclusions; (See 1.1)
- s** b. include pertinent Company policies for safe operation, prevention of pollution, and quality;
- s** c. define the responsibility, authority and interrelation of key management personnel with responsibility for safe operation, prevention of pollution, and quality as appropriate;
- s** d. describe the core elements and outline the structure of the Company's management system and interaction of its elements;
- q** e. include documented procedures established for the management system or provide appropriate references to management system documentation.
- q** f. describe the interaction between the processes of the management system; and
- qe** g. determine the records required by this Guide to demonstrate conformity to requirements and the effective operation of the management system. (See 5.4)

s **3.6.4 Management System Procedures and Documentation**

3.6.4.1 The Company shall document, implement and maintain procedures for ensuring requirements for safety, pollution prevention and quality, consistent with the Company's stated policies, and the requirements of this Guide are met.

3.6.4.2 The complexity of the work and the skill level of personnel involved in performing the work and the work environment shall govern the degree of control provided within management system procedures.

3.6.4.3 Management system documentation shall be kept in the form that the Company considers most effective.

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4 IMPLEMENTATION AND OPERATION

4.1 Resources

s **4.1.1** The Company's management shall provide adequate ship and shore based resources necessary for the effective implementation, maintenance and control of the management system and to enable the management system representative(s) (See 4.2) to carry out their functions. Resources include suitably qualified and trained personnel, equipment, technology, financial resources, and work environment. Resources also include personnel suitably trained to perform verification activities including internal management system audits.

q **4.1.2** The Company's management shall provide the resources needed to:

- a. continually improve the system's effectiveness; and
- b. enhance customer satisfaction by meeting customer requirements.

q **4.1.3 Infrastructure**

The Company shall determine, provide and maintain the infrastructure needed to provide the ship management service that shall meet the specified or implied requirements of the Customers and other interested parties. Infrastructure includes, but is not limited to:

- a. buildings, work space, vessels and associated utilities;
- b. process equipment (both hardware and software); and
- c. supporting services (e.g. transportation or communication).

4.2 Designated Person(s)/Quality Management Representative/ Environmental Management Representative(s)

4.2.1 The Company's top management shall designate member(s) of management who, irrespective of other responsibilities, shall have defined responsibilities and authority to:

- s a. ensure the safe operation of each ship;
- s b. provide a link between the Company and those aboard;
- s c. liaison with external parties on matters concerning establishment, approval and timely auditing of the management systems to comply with applicable code, standard industry guidelines including requirements of this Guide; (See 4.15)
- s d. monitor the safety and pollution prevention aspects of the operation of each ship and ensure that adequate shore-based support is applied as required;
- s e. ensure that the management system is established, implemented and maintained;
- s f. report on its performance to top management for review and as a basis for management system improvement.
- q g. provide awareness of the customer's requirements throughout the Company.
- s **4.2.2** The designated person(s)/management representative/environmental management representative(s) shall have direct access to the highest level of management.
- s **4.2.3** The Company shall ensure that adequate resources and shore-based support are provided to enable the designated person or persons to carry out their functions.
- s **4.3 Master's Responsibility and Authority**
- s **4.3.1** The Company shall clearly define and document the Master's responsibility with regard to:
 - a. implementing the safety, environmental-protection, and quality policy(ies) of the Company;
 - b. motivating the crew in the observation of the policy;
 - c. issuing appropriate orders and instructions in a clear and simple manner;
 - d. verifying that specified requirements are observed; and
 - e. reviewing the management system and reporting its deficiencies to the shore-based management.
- s **4.3.2** The Company shall ensure that the management system operating aboard the ship contains a clear statement emphasizing the Master's authority. The Company shall establish in the management system 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.
- s **4.4 Shipboard Personnel**
- s **4.4.1 Master's Qualification and Support**

The Company shall ensure that the Master is:

 - a. properly qualified for command;

- b. fully conversant with Company's management system prior to taking command;
and
- c. given the necessary support so that the Master's duties can be safely performed.

4.4.2 Crew

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

4.4.2.2 The Company shall ensure that instructions, which are essential to be provided prior to sailing, are identified, documented and provided to newly assigned personnel prior to sailing.

4.4.2.3 The Company shall establish, document and maintain procedures by which the ship's personnel receive relevant information on the management system in a working language or languages understood by them.

4.4.2.4 The Company shall ensure that ship's personnel are able to communicate effectively in the execution of their duties related to the management system.

4.5 Training, Awareness and Competence

4.5.1 General

qe 4.5.1.1 The Company shall ensure that personnel whose responsibilities and work activities can affect safe operation, pollution prevention, and quality shall be competent based upon appropriate education, training, (both externally and internally provided) skills and/or experience.

4.5.1.2 The Company shall

s a. determine the necessary competence for personnel performing work affecting safety, quality or the environment;

s b. establish and maintain documented procedures for identifying any training which may be required in support of the management system and ensure that such training is provided for all personnel concerned;

q c. evaluate the effectiveness of the actions taken;

q d. ensure that personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives.

s 4.5.1.3 The Company shall ensure that all personnel involved in the management system have an adequate understanding of relevant rules, regulations, codes and guidelines.

s 4.5.1.4 Appropriate records of education, training, skills and experience shall be maintained. (See 5.4)

4.5.2 *Management System Awareness Training*

- e** 4.5.2.1 The Company shall establish and maintain documented procedures to ensure that personnel in each relevant function and level within the shore based and shipboard organization are aware of:
- a. the importance of conformance with the management system policies and procedures and with requirements of the management system;
 - b. the significant impacts, actual or potential, of their work activities;
 - c. the benefits to improved personal performance, safe operation, preservation of the environment, and quality of improved personal performance;
 - d. their roles and responsibilities in achieving conformance with the management system policies, procedures and requirements;
 - e. their roles and responsibilities in regard to emergency preparedness and response requirements;
 - f. the potential consequences of departure from specified operating procedures and requirements.

4.5.3 *Familiarization Training*

- s** The Company shall establish, document and maintain procedures for ensuring that new personnel and personnel transferred to new assignments related to safety, protection of the environment, and quality as applicable are given proper familiarization with their duties.

4.6 *Communication*

- qe** 4.6.1 Top management shall ensure that appropriate communication processes are established within the Company and that communication regarding the effectiveness of the management system takes place.
- e** 4.6.2 Regarding its environmental aspects the Company shall establish and maintain documented procedures for:
- a. internal communication between various levels and functions within the Company; and
 - b. receiving, documenting and responding to relevant communication from external interested parties.
- e** 4.6.3 The Company shall consider processes for external communication regarding its significant environmental aspects and record its decision. (See 5.4) All communications received from external interested parties shall be recorded and followed up by the assigned Company person.

- 4.7 Document Control**
- s 4.7.1** System documentation shall consist of
- s** a. established, implemented and maintained documented procedures for:
- s** 1. document and data control, including documents of external origin;
- s** 2. internal audits; and
- s** 3. corrective and preventive action;
- s** 4. non-conformances, hazardous occurrences and near misses;
- q** 5. control of quality records; (See 5.4)
- q** b. documented quality policy and quality objectives
- q** c. a quality manual (this manual may be incorporated into an existing top tier manual)
- q** d. documents required for effective planning, operation and control of its processes.
- q** e. records required to demonstrate compliance with requirements and of effective operation of the management system. (See 5.4)
- Note:** The documentation can be in any form or type of medium.
- s 4.7.2** The Company shall establish and maintain documented procedures to control all documents and data relevant to the management system to ensure that:
- a. valid documents can be located and are available at relevant locations;
- b. new and revised documents and data are reviewed and approved, or updated and re-approved for adequacy by authorized personnel prior to use;
- c. documents of external origin are to be identified and distributed in a controlled manner
- d. each ship carries aboard all internal/external documentation relevant to that ship;
- e. invalid or obsolete documents are promptly removed from all points of use;
- f. any invalid or obsolete documents retained for any purposes are suitably identified and prevented from unintended use;
- s 4.7.3** Changes and current revision status of documents shall be identified in the document.
- e 4.7.4** Documented procedures and responsibility for the creation and modification of the various types of documents shall be assigned.
- qe 4.7.5** Documentation shall remain legible and readily identifiable, maintained in an orderly manner, and indicate the date of revision.
- qe 4.7.6** Documentation shall be retained for a specified period.

4.8 Operational Control

- s** 4.8.1 The Company shall establish and maintain procedures for the preparation of plans and instructions, including checklists as appropriate, for key shore based and shipboard operations and activities concerning the safety of the ship, prevention of pollution, preservation of the environment, and quality in support of the Company policy(s) and objectives.
- e** 4.8.2 These operations and activities shall include, *inter alia*, those associated with significant safety and environmental aspects and related objectives and targets.
- s** 4.8.3 The Company shall establish, implement and maintain documented instructions and procedures to ensure safe operation of ships and protection of the environment in compliance with relevant international and Flag State legislation.
- 4.8.4 The Company shall plan these operations and activities in order to ensure that they are carried out under controlled conditions. The output of this planning shall be in the form suitable for the Company's method of operations. Controlled conditions include:
- s** a. compliance with mandatory rules, regulations, and codes;
- s** b. established and maintained documented procedures/ work instructions where their absence could adversely affect safe operation, the protection of the environment, and/or quality;
- s** c. properly qualified personnel to carry out assigned tasks;
- s** d. the Company's permit to work systems, which shall include measures to ensure that the condition of spaces and systems as safe or not safe for work is readily identifiable. These measures shall also include safeguards to ensure that work does not proceed unless safe conditions exist. The condition of spaces or systems being worked on shall be updated as appropriate through out the course of the work.
- e** e. established and maintained documented procedures where needed to support the realization of environmental objectives and targets;
- e** f. established and maintained documented procedures related to the identified significant environmental aspects of goods and services used by the Company and communicating relevant procedures and requirements to subcontractors;
- q** g. The availability of information that describes the characteristics including quality objectives and requirements of the service;
- q** h. the availability of suitable monitoring, measuring devices;
- q** i. implementation of monitoring and measurement;
- q** j. use of suitable equipment and a suitable working environment;
- q** k. validation of approved processes and equipment, as appropriate and required records; (See 5.4)
- q** l. the implementation of release, delivery and post delivery activities;

q m. records needed to provide evidence that processes are fulfilling requirements. (See 5.4)

qe n. defined and documented operating criteria;

q **4.9 Purchasing**

4.9.1 General

The Company shall ensure that purchased product or service conforms to specified purchase requirements.

4.9.2 Evaluation of Suppliers

4.9.2.1 The Company shall:

- a. establish criteria for selection, evaluation and re-evaluation;
- b. evaluate and select suppliers on the basis of their ability to meet the Company's requirements;
- c. maintain records of the results of evaluations and actions arising thereof. (See 5.4)

4.9.2.2 The Company shall define the type and extent of control to be exercised over suppliers. These controls shall be appropriate for the type of materials or service purchased and its actual or potential impact on the Company's delivered service.

4.9.3 Purchasing Information

4.9.3.1 Purchasing information shall clearly describe the materials or service to be purchased, including where appropriate:

- a. the name, type, class, style, grade, model, or other precise identification;
- b. pertinent issues of specifications, drawings, processes, and inspection requirements, and other technical data;
- c. requirements for approval or qualification of equipment, materials, procedures, or services;
- d. the qualifications and certifications of persons providing a service;
- e. requirements for conformance with applicable safety, environmental, or quality system standards including title, number and issue.

4.9.3.2 The Company shall review and approve purchasing documents for adequacy of specifications of materials or service prior to release to the supplier.

4.9.4 Verification of Purchased Materials or Service

4.9.4.1 The Company shall establish and implement the inspection or other activities necessary for ensuring that purchased materials or service meets specified requirements

4.9.4.2 Where the Company proposes to verify purchased materials or services at the supplier's premises, the Company shall specify the verification arrangements and the method of materials or service release in the purchasing documents.

4.10 Customer's Property

q 4.10.1 The Company shall exercise care with customer's property while it is under the Company's control or being used by it. The Company is responsible for identifying, verifying, protecting and safeguarding customer's property provided for incorporation or use in the product or provided service. Any such property that is lost, damaged or otherwise unsuitable for use shall be recorded, shall be reported to the customer and records maintained. (See 5.4)

Note: Customer's property can include intellectual property

4.11 Preservation of Service

q 4.11.1 The Company shall preserve the conformity of the service during the process of management and service delivery. This preservation shall include identification, handling, packaging, storage and protection as applicable. Preservation shall also apply to the constituent parts of the service.

4.12 Traceability

q 4.12.1 Where appropriate or as required, and in accordance with custom and practice, the Company shall identify, record and report the progress of the voyage and charter at key points from beginning through completion and through each stage of monitoring and measurement requirements. (See 5.4) This shall include service status and traceability information such as ship's position, estimated time of arrival, and cargo load port, discharge port, and location and quantity of cargo aboard ship.

s 4.13 **Maintenance of the Ship and Equipment**

4.13.1 *General*

The Company shall establish and maintain documented 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.

4.13.2 *Inspections*

In meeting the above requirements, the Company shall ensure that:

- a. inspections are held at appropriate intervals;
- b. any non-conformity is reported, with its possible cause, if known;
- c. appropriate corrective action is taken; and
- d. records of these activities are maintained. (See 5.4)

4.13.3 Critical Equipment and Systems

4.13.3.1 The Company shall establish and maintain documented procedures to identify equipment and technical systems the sudden operational failure of which may result in hazardous situations. Planned maintenance procedures shall include specific measures aimed at promoting the reliability of such equipment or systems. These measures shall include the regular testing of stand-by arrangements and equipment or technical systems that are not in continuous use.

4.13.3.2 The inspections mentioned in 4.13.2 as well as the measures taken to promote the reliability of critical equipment and technical systems (4.13.3.1) shall be integrated into the ship's operational maintenance routine.

4.13.3.3 Where inspection and test equipment is used to measure maintenance criteria, the equipment shall be controlled in accordance with 5.1.5 (Control of Monitoring and Measuring Devices/MMD's).

4.14 Emergency Preparedness and Response

s 4.14.1 General

The management system shall provide for measures ensuring that the Company's shore based and shipboard organizations can respond at any time to hazards, accidents and emergency situations, especially those involving their ships.

4.14.2 Emergency Plans

s 4.14.2.1 The Company shall establish and maintain documented procedures to identify, describe, prepare for and respond to hazards, accidents and emergency situations, actual or potential, both shipboard and shore based.

e 4.14.2.2 These procedures shall include preventing and mitigating the adverse environmental impacts that may be associated with them.

4.14.3 Drills and Exercises

s 4.14.3.1 The Company shall establish a program of drills and exercises to prepare for emergency actions. These drills and exercises shall include, *to the extent practicable*, the periodic testing of emergency plans.

s 4.14.3.2 Subsequent to a drill, exercise, accident or emergency situation, the Company shall review, and where necessary, revise its emergency preparedness and response procedures.

4.15 External Audits

s 4.15.1 The Company shall establish, implement and maintain documented procedures to ensure that external audits are conducted in all shore side facilities and ships included in the management system. Frequency of external audits shall be conducted at a minimum as follows:

- a. The validity of the Document of Compliance (DOC) and related certificates issued in accordance with the ABS Guide shall be subsequent 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.
- b. The validity of the Safety Management Certificate (SMC) and related certificates issued in accordance with the ABS Guide shall 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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5 CHECKING, CORRECTIVE AND PREVENTIVE ACTION

5.1 Monitoring and Measurement

5.1.1 General

qe The Company shall maintain documented procedures for monitoring and measuring on a regular basis the key characteristics of its operations and activities that can have a significant impact on safety, quality and the environment. This shall include,

e a. relevant operational controls;

e b. conformance with safety and environmental objectives and targets;

q c. recording information to track performance during all stages of delivery. Appropriate corrections shall be applied as soon as deficiencies become apparent to ensure integrity of the service being delivered; (See 5.4)

q d. objectives for quality;

q e. continual improvement of quality management system;

q f. demonstration of ability of service to achieve planned results

qe g. ensuring that monitoring equipment shall be calibrated and maintained and records of this process (See 5.4) shall be retained according to the Company's procedures (See 5.1.5)

5.1.2 Legislative and Regulatory Review

s The Company shall establish and maintain a documented procedure for periodically evaluating compliance with relevant safety and environmental legislation and regulations.

s | **5.1.3** | ***Monitoring and Measurement***

Monitoring and Measurement of service characteristics shall be carried out at appropriate stages of service or cargo delivery through the discharge of cargo as determined by the Company, Customer or Charterer. Evidence of conformity with the acceptance criteria shall be maintained. Records shall be maintained (See 5.4) and shall indicate the person(s) authorizing release of cargo and completion of services or voyage by personnel and as required by Customer or Charterer approving changed or waived requirements. The discharge of cargo shall not be performed until planned arrangements have been completed and/or accepted by the Customer or Charterer.

5.1.4 | ***Inspection and Test Records***

q | The Company shall maintain records that provide evidence of the compliance with contractual requirements related to the loading, carriage, and discharge of the cargo in accordance with Customer's instructions. These records shall indicate the person(s) authorizing release of cargo or the completion of services by personnel (and as required by Customer) approving changed or waived requirements. (See 5.4)

q | **5.1.5** | ***Control of Monitoring and Measuring Devices (MMDs)***

5.1.5.1 The Company shall determine the monitoring and measurement to be taken and the monitoring and measuring devices needed to provide evidence of conformity of service to determined requirements.

5.1.5.2 Monitoring and measuring devices (MMDs) shall be used in a manner that ensures that the measurement uncertainty is known and is consistent with the required monitoring and measurement requirements.

5.1.5.3 The Company shall define and implement effective measuring and monitoring processes including methods and devices for verification and validation of the process to ensure the satisfaction of Customers and other interested parties. These processes could include surveys and simulations as well.

5.1.5.4 Where equipment or devices are used for verification and validation the Company shall:

- a. identify MMD equipment with a suitable indicator or identification record to show calibration status;
- b. calibrate MMD equipment at prescribed intervals, or prior to use, against certified equipment having a known relationship to an internationally or nationally recognized standard. Where no such standards exist, the basis used for calibration shall be documented;
- c. define the process for calibration of MMDs , including the equipment type, unique identification, frequency of checks, check method, acceptance criteria, and the action to be taken when the results are unsatisfactory;
- d. ensure that the handling, maintenance, and storage of MMDs is to protect them from damage and deterioration;
- e. ensure that the environmental conditions are suitable for the calibration, inspections, measurements, and tests being carried out;

- f. ensure that records of the results of calibration and verification shall be maintained (See 5.4);
- g. safeguard MMDs from adjustments which would invalidate the calibration;
- h. assess and record the validity of previous results when MMDs are found to be out of calibration and take appropriate action on the equipment and product or service affected;
- i. confirm the ability of computer software to satisfy the intended application shall be confirmed prior to use and reconfirmed as necessary; and
- j. identify the need for MMDs to be adjusted or re-adjusted as necessary prior use.

q 5.1.6 *Analysis of Measurements and Improvement*

5.1.6.1 The Company shall plan and implement the monitoring, measurement, analysis and subsequent improvement processes needed to:

- a. demonstrate conformance of the service;
- b. ensure conformity with the system for managing safety, quality and the environment;
- c. continually improve the system for managing safety, quality and the environment;
- d. demonstrate the suitability and effectiveness of the management system; and
- e. evaluate where continual improvement of the effectiveness of the management system can be made.

5.1.6.2 This shall include determination of applicable methods, including statistical techniques, monitoring and measurement and the extent of their use.

5.1.6.3 This shall include data generated as a result of monitoring and measurement and from relevant sources.

5.1.6.4 The analysis of data shall provide information relating to:

- a. customer satisfaction;
- b. conformity with management system requirements;
- c. characteristics and trend of processes and products including opportunities for preventive action; and
- d. suppliers;

- q 5.2 Control of Nonconforming Materials, Equipment or Cargo Spaces**
- 5.2.1** The Company shall establish and maintain documented procedures to ensure that unsuitable materials, equipment or cargo spaces are identified and prevented from unintended use. Control shall include positive measures to provide for identification, documentation, evaluation, segregation (where practical), and notification of functions concerned.
- 5.2.2** Appropriate corrective action shall be taken for cargo spaces with conditions that do not conform to contractual requirements. Cargo spaces shall not be loaded without prior consent of the Customer. The Customer shall be advised of the condition of the cargo space as a basis upon which to accept the condition with, or without concession. Condition and concessions of the cargo spaces shall be recorded. (See 5.4)
- 5.3 Nonconformance, Corrective and Preventive Action**
- s 5.3.1** The management system shall include established and maintained documented procedures for ensuring that non-conformities, including accidents and hazardous situations, are reported to the Company, investigated and analyzed with the objective of improving safety, pollution prevention and continual improvement of the management system through the use of policies and objectives; audit results; analysis of data; corrective and preventive action; and management reviews.
- 5.3.2 Nonconformance/Control of Nonconforming Service**
- sq 5.3.2.1** The Company shall establish and maintain documented procedures that define the process for identifying and controlling nonconforming service to prevent unintended delivery. Responsibility and authority for dealing with nonconforming product/service shall be defined. The Company shall deal with the nonconforming service through one or more of the following methods:
- sq** a. taking necessary remedial action in regard to the nonconformity to mitigate impacts and eliminate the nonconformity;
- s** b. initiating, implementing and completing corrective action and preventive action; and
- q** c. authorizing its release or acceptance under concession by a relevant authority and where applicable the Customer.
- q 5.3.2.2** Records of the nature of non-conformities and any subsequent actions taken. Including concessions obtained shall be maintained. (See 5.4)
- q 5.3.2.3** When nonconforming product or service is corrected it shall be subject to re-verification to demonstrate conformity to the requirements.
- q 5.3.2.4** When nonconforming product or service is detected after delivery or use has started, the Company shall take action appropriate to the effects, or potential effects, of the nonconformity.

s | **5.3.3** ***Corrective Action***

5.3.3.1 Corrective actions shall be taken to eliminate the causes of actual non-conformities to prevent recurrence. Corrective action shall be appropriate to the effects of the nonconformity encountered.

5.3.3.2 Documented procedures for corrective action shall include:

- a. effective reporting and reviewing of nonconformities;
- b. investigation of the cause(s), with a view eliminate and prevent recurrence;
- c. evaluating the need for action to ensure that non-conformities do not occur;
- d. determination of the actions needed to eliminate the cause of the nonconformity;
- e. measures to ensure that corrective actions are implemented;
- f. measures to review that corrective actions as implemented are effective;
- g. effective reporting and reviewing of customer and interested parties complaints;
- h. records of results of action taken (See 5.4)

5.3.3.3 As a result of corrective action, changes to the documented and implemented management system shall be recorded (See 5.4).

s | **5.3.4** ***Preventive Action***

5.3.4.1 Preventive actions shall be taken to eliminate the causes of potential non-conformities to prevent their occurrence. These shall be commensurate with the identified risks and effects of the potential problems.

Note: Consider near misses, hazard information etc. for preventive actions.

5.3.4.2 Documented procedures for preventive action shall include:

- a. effective reporting and reviewing of potential nonconformities;
- b. investigation of the potential cause(s) of nonconformities with a view to eliminate and prevent occurrence;
- c. review and analysis of appropriate management system documentation and records to determine potential causes of nonconformities and actions taken;
- d. determination of the actions needed to prevent occurrence of the nonconformity;
- e. measures to ensure that preventative actions are implemented;
- f. measures to review that preventative actions as implemented are effective;
- g. maintaining records of the results of action(s) taken. (See 5.4)

5.3.4.3 As a result of Preventive action, changes to the documented and implemented management system shall be recorded. (See 5.4)

s 5.4 Records

5.4.1 The Company shall establish, document and maintain procedures for the identification, storage, protection, retrieval, and disposition of management system records. These records shall include, but not limited to, training records, records of internal and external audits, records of reviews, and any other pertinent records necessary to demonstrate conformance to the requirements and of the effective operation of the management system and this ABS Guide.

Note: Record requirements in this Guide are identified with “(See 5.4)” notation within the applicable clause or section.

5.4.2 A copy of the Document of Compliance (DOC) shall be placed on board the vessel in order that the Master, if so asked, may produce it for verification of the Administration or organizations recognized by the Administration.

5.4.3 A copy of the Safety Management Certificate (SMC) issued to the vessel shall be retained ashore.

5.4.4 Where the Company is other than the owner of the vessel, the Owner shall report to the Flag Administration identifying the full name and details of the Company managing the vessel(s) on their behalf (required by clause 3.1 of the ISM Code).

5.4.5 Records shall be:

- a. legible, readily identifiable and traceable to the pertinent process, activity, or service;
- b. be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss; and
- c. retention times for records shall be established and documented.

s 5.5 Internal Audits

5.5.1 The Company shall establish and maintain a program of documented procedures for conducting internal management system audits at planned intervals in order to determine and verify whether or not:

- a. activities conform to the planned arrangements of the management system, and the requirements of this Guide;
- b. the management system is being properly implemented, maintained and is effective.

5.5.2 Internal audits shall be scheduled to cover all pertinent areas of the management system on ashore and onboard its vessels every 12 months or less. The frequency and degree to which each area is audited shall be based on the importance of the activities conducted in meeting policy objectives, and the results of previous audits.

- 5.5.3** Internal audit shall cover:
- a. scheduling of internal audits;
 - b. identification of scheduled audits criteria, scopes, frequency, method and objectives;
 - c. the recording and reporting of results;
 - d. performance of corrective or preventive action in accordance with documented procedures (See 5.3);
 - e. follow-up activities shall include the verification of the actions taken and the reporting of verification results;
 - f. maintenance of records. (See 5.4)
 - g. responsibilities and requirements for planning, conducting, reporting and maintaining records;
- 5.5.4** Selection of auditors and conduct of audit shall ensure objectivity and impartiality of audit process. Auditors will not audit their own work.
- 5.5.5** The results of the internal audits shall be brought to the attention of all personnel having responsibility for the activities audited.
- 5.5.6** Management personnel having responsibility for the areas audited shall take timely corrective action (e.g. “ without undue delay”) on deficiencies found.

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- 6 MANAGEMENT REVIEW**
- 6.1** The Company's top management shall at planned intervals, not to exceed one year, review the management system in accordance with documented procedures. This in order to determine and evaluate its continuing suitability, adequacy, efficiency, effectiveness, assessing opportunities for improvement and the need for changes to the management system, including stated policies and objectives.
- 6.2** Management review inputs shall include, *inter alia*, the review of performance and service conformity, internal and external audit reports, nonconformities, customer feedback, status of corrective and preventive actions taken and their effectiveness, changes that could affect the management system, recommendations for continual improvement and commitment, status of follow up from previous reviews and communications from interested and affected parties, including resource needs.
- 6.3** The output from management review shall include any decisions and actions related to changes to policy, objectives and targets to :
- a. improvement of the effectiveness of the management system and its processes;
 - b. improvement of service related to customer requirements;
 - c. resource needs.
- 6.4** The results of reviews shall be brought to the attention of all personnel having responsibility in the area involved
- 6.5** If corrective action is identified during the management review, the management personnel responsible for the area involved shall take timely corrective action on the deficiencies found.
- 6.6** Records of management review shall be maintained. (See 5.4)

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APPENDIX 1 CORRESPONDENCE BETWEEN ISM CODE, ISO 9001:2000 & ISO 14001:1996 AND ABS SQE GUIDE

	ABS SQE Guide, 2002	ISM Code	ISO 9001: 2000	ISO 14001: 1996
2	Policy			
2.1	General	2	5.3	
2.2	Safety and Environmental Policy	1.2, 1.4		4.2
2.3	Quality Policy		5.1, 5.3	
3	Planning			
3.1	Environmental Aspects			4.3.1
3.2	Legal and Other Requirements			4.3.2
3.3	Safety and Environmental Objectives And Targets			4.3.3
3.4	Quality Planning and Objectives		5.4, 7.1	
3.5	Customer Focus		5.2, 7.2	
3.6	Management Programs	1.4, 3.2, 11.3	4.1, 4.2.1, 4.2.2, 5.5.1, 6.4	4.3.4
4	Implementation and Operation			
4.1	Resources	3.3	6.1, 6.3, 6.4	4.4.1
4.2	Designated Person/Management Representative/Environmental Management Representative	4	5.5.2	4.4.1
4.3	Master's Responsibility and Authority	5		4.4.1, 4.4.2
4.4	Shipboard Personnel			4.4.2

Appendix 1 Correspondence Between ISM Code, ISO 9001:200 & ISO 14001:1996 and ABS SQE Guide

	ABS SQE Guide, 2002	ISM Code	ISO 9001: 2000	ISO 14001: 1996
4.5	Training, Awareness & Competence	6.3, 6.4, 6.5	6.2.1, 6.2.2	4.4.2
4.6	Communication		5.5.3	4.4.3
4.7	Document Control	11	4.2.1, 4.2.3	4.4.5
4.8	Operational Control	1.4, 7	7.5.1, 7.5.2	4.1, 4.5.1, 4.4.6
4.9	Purchasing		7.4.1, 7.4.2, 7.4.3	
4.10	Customer Property		7.5.4	
4.11	Preservation of Service		7.5.5	
4.12	Traceability		7.5.3	
4.13	Maintenance of the Ship and Equipment	10		4.4.6
4.14	Emergency Preparedness and Response	8		4.4.7
4.15	External Audits	13.4, 13.8		4.5.4
5	Checking, Corrective and Prev. Action			
5.1	Monitoring and Measurement		7.6, 8.1, 8.2, 8.4	4.5.1
5.2	Control of Nonconforming Materials, Equipment or Cargo Spaces	9	8.3, 8.2.4	4.5.2
5.3	Nonconformance, Corrective And Preventive Action	1.4, 9	8.5	4.5.2
5.4	Records	3.1, 10, 13	4.2.4	4.5.3
5.5	Internal Audits	12.1, 12.3, 12.4, 12.5, 12.6	8.2.2	4.5.4
6	Management Review	12.2	5.6	4.6

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APPENDIX 2 SUPPLEMENTAL REQUIREMENTS OF THE ISM CODE

These requirements (refer to Part B of the ISM code) are provided for guidance only. Requirements of this section pertain to issuance of certificates and periodical verifications.

13 CERTIFICATION AND PERIODICAL VERIFICATION

- 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 nonconformities 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.
- 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.
- 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 required in paragraph 13.8 is not requested or if there is evidence of major nonconformity 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.

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 ships 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 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.

15 VERIFICATION

- 15.1** All verifications 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.

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.