



**REPUBLIC OF  
THE MARSHALL ISLANDS**  
**MARITIME ADMINISTRATOR**

**Marine Notice**

**No. 2-011-13**

**Rev. Oct/2017**

**TO: ALL SHIPOWNERS, OPERATORS, MASTERS AND OFFICERS OF  
MERCHANT SHIPS AND RECOGNIZED ORGANIZATIONS**

**SUBJECT: International Safety Management (ISM) Code**

- References:**
- (a) **SOLAS**, *International Convention for the Safety of Life at Sea (SOLAS), Consolidated Edition 2014*, as amended
  - (b) **ISM Code**, *International Safety Management Code*, 2014 Edition, as amended
  - (c) **IMO Assembly Resolution [A.1071\(28\)](#)**, *Revised Guidelines on the Implementation of the International Safety Management (ISM) Code by Administrations*, adopted on 04 December 2013
  - (d) **IMO Assembly Resolution [A.1047\(27\)](#)**, *Principles of Minimum Safe Manning*, adopted 30 November 2011
  - (e) **IMO Assembly Resolution [A.739\(18\)](#)**, *Guidelines for the Authorization of Organizations acting on behalf of the Administration*, adopted 04 November 1993, amended by IMO Resolution MSC.208(81), adopted 18 May 2006
  - (f) **IMO Resolution [MSC.428\(98\)](#)**, *Maritime Cyber Risk Management in Safety Management Systems*, adopted 16 June 2017
  - (g) **IMO Resolution [MSC.349\(92\)](#)**, *Code for Recognized Organizations (RO Code)*, adopted 21 June 2013
  - (h) **IMO Circular [MSC.1/Circ.1447](#)**, *Guidelines for the Development of Plans and Procedures for Recovery of Persons from the Water*, issued 14 December 2012
  - (i) **IMO Circular [MSC.1/Circ.1182/Rev.1](#)**, *Guide to Recovery Techniques*, issued 21 November 2014
  - (j) **IMO Circular [MSC/Circ.1059-MEPC/Circ.401](#)**, *Procedures Concerning Observed ISM Code Major Non-conformities*, issued 16 December 2002
  - (k) **IMO Circular [MSC-MEPC.7/Circ.8](#)**, *Revised Guidelines for the Operational Implementation of the International Safety Management (ISM) Code by Companies*, issued 28 June 2013
  - (l) **IMO Circular [MSC-MEPC.7/Circ.6](#)**, *Guidance on the Qualifications, Training, and Experience Necessary for Undertaking the Role of the Designated Person Under the Provisions of the International Safety Management (ISM) Code*, issued 19 October 2007
  - (m) **RMI Maritime Act ([MI-107](#))**
  - (n) **RMI Maritime Regulations ([MI-108](#))**
  - (o) **RMI Requirements for Seafarer Certification ([MI-118](#))**

## **PURPOSE**

This Notice provides the Republic of the Marshall Islands (RMI) Maritime Administrator's (the "Administrator") requirements for compliance with the International Safety Management (ISM) Code. It additionally provides the RMI safety management requirements for Companies and vessels seeking ISM Code certification; and the Administrator's policies and interpretations regarding application and implementation of the ISM Code.

This Notice supersedes Rev. 01/16 and reflects amendments to §3.7, which now includes clarifications about both the mandatory Company drug and alcohol abuse policy and the requirements for Companies to ensure their seafarers have received refresher and updating training as required by the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978 (STCW). It also specifies requirements for the Designated Person.

## **APPLICABILITY**

The requirements of the ISM Code are mandatory under the International Convention for the Safety of Life at Sea (SOLAS) Chapter IX and may be applied to all ships. The Administrator is applying the ISM Code to:

- a. passenger ships (including Passenger Yachts (PAXY's)) and high speed craft) regardless of tonnage;
- b. oil tankers, chemical tankers, gas carriers, bulk carriers, passengers and cargo high-speed craft, special purpose ships, commercial yachts and other cargo ships of 500 gross tonnage and upwards; and
- c. self-propelled mobile offshore units (MOUs) and Dynamically Positioned (DP) MOUs of 500 gross tonnage and over engaged on international voyages.

## **REQUIREMENTS**

### **1.0 Compliance**

- .1 The above vessels are subject to mandatory compliance. Vessels not subject to mandatory compliance may do so on a voluntary basis, but such compliance must meet all of the international and RMI National requirements when such a choice is made.
- .2 The requirements set out below are not all-inclusive and shall not be interpreted to prohibit a Company from incorporating or requiring items in its Safety Management System (SMS) beyond those contained in this Notice, including those that address other national, regional, or coastal State rules, provided that they are not inconsistent with international or RMI National requirements.

## 1.1 Definitions

- .1 “*Oil tanker*” means an oil tanker as defined in SOLAS Regulation II-1/2.22.
- .2 “*Company*” means the owner of the ship or any other organization or person such as the Manager, or the Bareboat Charterer, who has assumed the responsibility for operation of the ship from the Shipowner and who on assuming such responsibility has agreed in writing to take over all the duties and responsibilities imposed by the ISM Code.
- .3 “*Chemical tanker*” means a chemical tanker as defined in SOLAS Regulation VII/8.2.
- .4 “*Designated Person or Designated Person Ashore*” means the person appointed ashore by the Company under its SMS, having direct access to the highest level of management with whom direct communications may be had at any time. The responsibility and authority of the Designated Person shall include, but not be limited to, monitoring the safety, security and pollution prevention aspects of the operation of each vessel under his or her control and to ensure that adequate resources and shore based support are provided. See RMI Maritime Regulations ([MI-108](#)), § 1.07.3.
- .5 “*Gas carrier*” means a gas carrier as defined in SOLAS Regulation VII/11.2.
- .6 “*Bulk carrier*” means a ship which is constructed generally with single deck, top-side tanks and hopper side tanks in cargo spaces, and is intended primarily to carry dry cargo in bulk, and includes such types as ore carriers and combination carriers<sup>1</sup>.
- .7 “*High-speed craft*” means a craft as defined in SOLAS Regulation X/1.
- .8 “*Special purpose ship*” means a ship as defined in the Code of Safety for Special Purpose Ships (SPS Code), IMO Assembly Resolution [A.534\(13\)](#) as amended by IMO Circular [MSC/Circ.739](#) and IMO Resolution [MSC.183\(79\)](#), irrespective of the date on which the keel of the ship was laid, engaged on international voyages.
- .9 “*Commercial yacht*” means any yacht registered as per Chapter 2, Part V, of the RMI Maritime Act 1990 ([MI-107](#)) that is described on the Certificate of Registry (COR) as a commercial yacht and therefore may be engaged in trade, commerce, or chartered carrying no more than 12 passengers.
- .10 “*Mobile offshore unit (MOU)*” means a vessel capable of engaging in operations for the exploration for or exploitation of resources beneath the sea-bed such as liquid or gaseous hydrocarbons, sulphur or salt, mechanically propelled and capable of moving on its own on and off location.

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<sup>1</sup> Refer to International Maritime Organization (IMO) Resolution [MSC.79\(70\)](#) relating to interpretation of provision of SOLAS chapter XII on additional safety measures for bulk carriers. Owners and operators of ships which occasionally carry dry cargoes in bulk should refer to [MSC.277\(85\)](#) for additional guidance.

- .11 "*Gross Tonnage*" means the gross tonnage of the ship as determined under the provisions of the International Convention on the Tonnage Measurement of Ships, 1969 (ITC 69) and shown on the International Tonnage Certificate (1969) of the ship.

## 1.2 Exceptions

### 1.2.1 SOLAS Chapter IX does not apply to:

- .1 government-operated ships used for non-commercial purposes;
- .2 cargo ships of less than 500 gross tonnage as measured by the ITC 69;
- .3 ships not propelled by mechanical means;
- .4 wooden craft of primitive origins;
- .5 private pleasure yachts not ordinarily engaged in trade; and
- .6 fishing vessels.

### 1.2.2 Floating Production Storage and Operations Units (FPSO, FSO, FPU, FSU, MOSU)

An FPSO, FSO, FPU, FSU, MOSU, and similar units will be exempt from ISM Code compliance if:

- .1 it has had its propulsion systems removed or disabled; or
- .2 if the propulsion system is functional, the unit is on a fixed station for an extended period of time, and the propulsion equipment will only be used in case of emergency or to reposition or service the unit under a single voyage exemption with no cargo on board.

### 1.2.3 Non-Self-Propelled MOUs

- .1 Although the Maritime Safety Committee (MSC), at its 66<sup>th</sup> session, decided that MOUs not propelled by mechanical means need not comply with the requirements of the ISM Code, the Administrator requires that a Safety and Environmental Management System (SEMS) be established and maintained.
- .2 The SEMS must address any coastal State "Well Safety Case" requirements being imposed. The 2009 IADC Health, Safety and Environmental (HSE) Case Guidelines for MODUs is highly recommended for use toward its development.

#### 1.2.4 DP MOUs

- .1 A SEMS subject to ISM Code verification and certification must be established and maintained for DP MOUs.
- .2 The SEMS must address any coastal State “Well Safety Case” requirements being imposed. The 2009 IADC HSE Case Guidelines for MODUs is highly recommended for use toward its development.

#### 1.3 Compliance Monitoring

Compliance with the ISM Code and RMI National safety management requirements is being closely monitored and enforced by the Administrator. Ships operated by Companies that fail to comply will be considered in violation of SOLAS and may be prevented from continuing active trading and/or operations until determined to be in compliance.

#### 1.4 Compliance Process

Companies should start the ISM Code compliance process at the earliest possible date prior to entering a vessel or vessels into active trading and/or operations. Depending on the complexity of the Company, the number and types of ships involved and its operations, the development, implementation and verification process could take 18 months or longer.

### 2.0 ISM Code Enforcement Authority

#### 2.1 Responsibility

The Administrator is responsible for effective enforcement of the provisions of the ISM Code and subscribes to the revised guidelines contained in IMO Assembly Resolution [A.1071\(28\)](#).

#### 2.2 Delegation

2.2.1 IMO Assembly Resolution [A.739\(18\)](#), *Guidelines for the Authorization of Recognized Organizations (RO) acting on behalf of the Administrations*, amended by IMO Resolution [MSC.208\(81\)](#) and further amended by IMO Resolution [MSC.349\(92\)](#), *the RO Code*, allows Administrations to delegate to ROs the responsibility for verifying compliance with the ISM Code and for issuing Documents of Compliance (DOC) to Companies and Safety Management Certificates (SMCs) to ships on behalf of the Administrator.

2.2.2 The Administrator has delegated by written agreement to certain Classification Societies and entities the authority to verify compliance with the ISM Code and to issue ISM Code documents on behalf of the RMI. A list of ROs and the scope of their authority for the purposes of ISM Code verifications and certification has been circulated by means of RMI Marine Guideline [2-11-15](#), which is updated as necessary.

## 2.3 Administrator Rights

The Administrator retains the right to conduct audits, assessments, and inspection activities independent of or in concert with those of an RO in order to verify proper implementation, application, and enforcement of the provisions of the ISM Code.

## 2.4 Separation of Functions

2.4.1 In those instances where an RO provides both consulting and auditing services for ISM Code Certifications, the RO shall ensure the independence of these two (2) functions. Auditors must be free from bias and influences, which could affect objectivity. There must be a demonstrable and proven separation between personnel providing consultancy and those providing the services to the same Company.

2.4.2 An RO may provide ISM Code verification services to vessels for which the RO also provides ship statutory certification services, provided, the ship safety management audits and assessments are conducted separately, and in addition to, existing ship statutory certification and classification survey functions.

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

## 3.0 National Requirements for an SMS by ISM Code Element

### 3.1 General

3.1.1 Every Company must develop, implement, and maintain an SMS in accordance with the requirements of the ISM Code. Failure to do so will be considered a violation of SOLAS Chapter IX, and the Company's ships shall be prevented from actively trading and/or operating until determined to be in compliance.

3.1.2 The Administrator considers the International Ship and Port Security (ISPS) Code to be an extension of the ISM Code under "Emergency Preparedness." As such, emergency preparedness planning for matters of security must be linked to the SMS for both the Company and ship.

3.1.3 Several regulations and standards contained in the Maritime Labour Convention of 2006 ([MLC, 2006](#)) are considered by the Administrator to be essential for an effective SMS and thus an extension of several elements of the ISM Code.

3.1.4 The RMI's National policies regarding the safe and secure management and operation of ships and protection of the environment shall be incorporated into the Company and shipboard SMS and compliance with them must be ensured. These National requirements are supplemental to the ISM Code and can be found in the RMI Maritime Act 1990 ([MI-107](#)), RMI Maritime Regulations ([MI-108](#)), and RMI Requirements for Seafarer Certification ([MI-118](#)), as well as various [Marine Notices](#) and [Marine Guidelines](#), all part of the [MI-300](#) on the Administrator's website (see Appendix I, §4.0 of this Notice).

3.1.5 There are many regulations and guidelines, both internationally-adopted and industry-initiated, which must be taken into account by a Company in developing, managing, and implementing an SMS in order to comply with the RMI requirements. One publication that the Administrator highly recommends utilizing to advance compliance is entitled, *Guidelines on the Application of the IMO International Safety Management (ISM) Code*, and is published jointly by the International Chamber of Shipping and International Shipping Federation. This publication includes additional guidance on risk management, safety culture and environmental management. A list of publications, in addition to this one, that should be considered in developing an effective SMS are included in Appendix I of this Notice.

3.1.6 A strong environmental component of an SMS is critical. The Administrator requires full compliance with international and RMI National environmental regulations and encourages Companies to utilize their SMS as a tool for preventing damage to the marine environment. In the event of an accident or pollution incident, the extent to which IMO and industry guidance have been considered in an SMS may play an important role in determining whether a Company has exercised “due diligence.”

### 3.2 Safety, Security, and Environmental Protection Policy

3.2.1 Company Management must establish a Safety, Security, and Environmental Protection Policy that:

- .1 is appropriate for the purpose of providing its ship services;
- .2 includes a commitment to meet the obligations of the Company under the provisions of the ISM Code;
- .3 provides guidelines for the establishment of measurable SMS objectives;
- .4 commits to remain alert for ways to improve as changes occur in regulations and in the industry; and
- .5 is communicated throughout the Company’s organization, its associates and to its shipboard personnel.

3.2.2 The Safety, Security, and Environmental Protection Policy must be approved by the Company’s Chief Executive or other senior executive officer, and shall be reviewed at regular intervals to ensure that it remains likely to achieve the established measurable SMS objectives of the ISM Code.

### 3.3 SMS Objectives

3.3.1 Company Management must ensure that its policies are carried out through the establishment of SMS objectives set at relevant functions and levels in the Company’s organization. These objectives must be consistent with the Safety, Security, and Environmental Protection Policy and be measurable through defined service and operational goals.

- 3.3.2 Company and shipboard operational procedures must be based on formal risk assessment, and evidence of this must be demonstrated through documentation. The Administrator has not promulgated separate guidelines on risk assessments as there are many methods of and approaches to conducting such assessments. See Appendix I. Refer also to §10.2 of this Notice, *Major Nonconformity*.
- 3.3.3 Certain aspects of security, corporate social responsibility, management accountability, strategic policy implementation, and effective governance frameworks, will be required, particularly regarding a clearly articulated risk management policy, formalizing risk ownership processes, structuring framework processes, and adopting continuous improvement programs. Companies are advised to consider such guidelines for development and implementation as are provided in Appendix I.
- 3.4 Company Responsibilities and Authority<sup>2</sup>
- 3.4.1 The owner of each vessel must provide the Administrator at: [vesdoc@register-iri.com](mailto:vesdoc@register-iri.com) with the name, address, telephone, and facsimile numbers and email address of the Company responsible for the operation of the vessel.
- 3.4.2 If the organization or person responsible for the operation of a ship is other than the owner, the owner must provide the Administrator with the full name of such entity and submit details, which establish that entity as the Company to the satisfaction of the Administrator. RMI Form [MI-297A](#), *ISM Code Declaration of Company*, may be downloaded for use as necessary.
- 3.4.3 In defining and documenting the responsibility, authority and interrelation of personnel concerned with the SMS, the Company should consider the use of diagrammatic charts to show how the defined responsibilities of shore and sea personnel interrelate in order to achieve the systems objectives. The Company should also define the level of knowledge required of personnel for the ship types that the Company is operating and job descriptions with duties as they relate to the SMS.
- 3.5 Designated Person(s)
- 3.5.1 In accordance with the ISM Code the Company must designate a person or persons who will be responsible for monitoring and verifying proper operation of the SMS within the Company and on each ship.
- 3.5.2 The Designated Person must verify and monitor all safety and pollution prevention activities in the operation of each ship. This monitoring must include, at least, the following internal processes:
- .1 communication and implementation of the safety and environmental protection policy;

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<sup>2</sup> Refer to IMO Circular [MSC-MEPC.7/Circ.8](#), *Revised Guidelines for the operational implementation of the International Safety Management (ISM) Code by Companies*.



- .2 evaluation and review of the effectiveness of the SMS;
  - .3 reporting and analysis of non-conformities, accidents and hazardous occurrences;
  - .4 organizing and monitoring of internal audits including verification of independence and training of internal auditors;
  - .5 appropriate revisions to the SMS; and
  - .6 ensuring that adequate resources and shore-based support are provided by the Company (See §3.5.3, below).
- 3.5.3 To enable the Designated Person to carry out this role effectively, the Company must provide adequate resources and shore-based support. These include:
- .1 personnel resources;
  - .2 material resources;
  - .3 any training required;
  - .4 clearly defined and documented responsibility and authority; and
  - .5 authority for reporting non-conformities and observations to the highest level of management.
- 3.5.4 Designated Person(s) must have the qualifications, training and experience as set out in IMO Circular [MSC-MEPC.7/Circ.6](#), to effectively verify and monitor the implementation of the SMS in compliance with the ISM Code.
- 3.5.5 The Company must provide the Administrator with the full name of the Designated Person and information to enable direct and immediate contact at all times between the Administrator and the Designated Person with regard to matters relating to maritime safety, security, and protection of the marine environment. The Administrator highly recommends that the Company also select an Alternate Designated Person or persons to reduce the potential for single point failure. The Company is requested to use RMI Form [MI-297B](#), *ISM Code Declaration of Designated Person Ashore*, which may be downloaded for use.
- 3.6 Master's Responsibility and Authority
- 3.6.1 §811 of the RMI Maritime Act 1990 ([MI-107](#)) expressly enumerates to the specific duties of the Master. The Administrator also acknowledges the importance of IMO Assembly Resolution A.443(XI), *Decisions of the Shipmaster with regard to Maritime Safety and Marine Environment Protection*. The SMS shall incorporate the elements of IMO Assembly Resolution A.443(XI), the RMI Maritime Act 1990 (MI-107), §811, and RMI Maritime Regulations ([MI-108](#)), §7.41.1. For MOUs, further reference must be made to RMI Mobile Offshore Unit Standards ([MI-293](#)), and the establishment of a "Bridge Document" as stated in §3.9.7 below.

- 3.6.2 Any system of operational control implemented by Company shore based management must allow for the Master's absolute authority and discretion to take whatever action he or she considers to be in the best interest of passengers, crew, cargo, the vessel and the marine environment.
- 3.6.3 The Company shall provide the Master with documentation providing the specific duties delegated to the officers under the Master's command.
- 3.6.4 The Master shall periodically review the SMS as part of the shipboard internal audit process and report any deficiencies to shore based management.
- 3.7 Resources and Personnel
- 3.7.1 Senior management shall consider the provision of human resources in the Company suitable to the task and provide all the necessary means by which to maintain an adequate and effective SMS which complies with the requirements of the ISM Code. It is essential that appropriate and sufficient manning levels be established and maintained aboard ships in accordance with IMO Assembly Resolution [A.1047\(27\)](#), Principles of Safe Manning, as amended, and RMI Marine Notice [7-038-2](#), *Minimum Safe Manning Requirements for Vessels*. These human resource needs shall be continuously assessed.
- 3.7.2 Companies must ensure full implementation and compliance as part of their SMS where the [MLC, 2006](#) overlaps with provisions of the ISM Code. These provisions include medical certification, training and qualifications, hours of work and rest, manning levels and medical care on board and ashore.
- .1 Company training, hiring, manning procedures<sup>3</sup>, terms of employment, personnel record keeping, and reporting procedures must be consistent with the requirements of the STCW, MLC, 2006, and RMI Maritime Regulations ([MI-108](#)), as amended, to ensure the use of competent qualified personnel. This includes the requirement of Companies to have a shipboard drug and alcohol abuse policy in accordance with STCW requirements.
  - .2 Compliance with the hours of rest standard, as adopted by the Administrator in RMI Marine Notice [7-051-2](#), is required and shall be monitored as part of the SMS. The Administrator shall consider manning levels to be inadequate if crew members are unable to adhere to the above rest hour standard.

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<sup>3</sup> In accordance with §6.2 of the ISM Code, the Company must ensure that each ship is: 1) manned with qualified, certificated and medically fit seafarers in accordance with national and international requirements; and 2) appropriately manned in order to encompass all aspects of maintaining safe operations on board. \*The footnote\* makes reference to the Principles of minimum safe manning, adopted by the Organization by IMO Assembly Resolution A.1047(27). This means that compliance with minimum safe manning may not be totally sufficient when taking into account the operational requirements of the ship. It complements Regulation 2.7 of MLC, 2006, which also requires that all operational aspects are taken into account when reviewing manning levels.

- .3 Companies shall issue contracted crewing agencies, if used, a copy of the relevant provisions of the SMS, together with necessary instructions on their use before selected personnel are appointed. The use of Recruitment and Placement Services must be in accordance with Regulation 5.3 of [MLC, 2006](#).
- 3.7.3 The Company SMS shall ensure that joining crew members have proper RMI seafarers' certification including licenses, special qualification certificates, seafarer's identification and record books, training, and/or re-certifications as required by international conventions and related Codes, the RMI Maritime Act 1990 ([MI-107](#)), RMI Maritime Regulations ([MI-108](#)), and the specifics of RMI Seafarer Certification Requirements ([MI-118](#)). In addition, Companies must ensure that all of their responsibilities under STCW Regulation 1/14 are met. This includes making certain that seafarers assigned to any of their ships have received refresher and updating training.
- 3.7.4 The Company shall make provisions, including the nomination of a responsible person to control a maintenance and monitoring program for asbestos in their SMS, taking into account the Guidance provided within IMO Circular [MSC.1/Circ.1045](#). It should be also noted that any documentation pertaining to asbestos-free declarations shall be additionally subject to verification by the ROs as set forth under IMO Circular [MSC.1/Circ.1426/Rev.1](#) to ensure proper implementation of SOLAS Regulation II-1/3-5.
- 3.7.5 The shipboard SMS shall include for on-coming officers and crew procedures for the transfer of command, documented hand-over notes, documented vessel and duties introductions, familiarization training in accordance with §A-I/6 of the STCW Code, and on-board documentation retention.
- 3.7.6 The ship's complement must be able to effectively coordinate their activities in an emergency situation and in performing functions vital to safety, security, and the prevention or mitigation of pollution; and
- 3.7.7 At all times on board its ships there shall be effective oral communication in accordance with SOLAS Regulation V/14, paragraphs 3 and 4.
- 3.8 Development of Plans for Shipboard Operations
- 3.8.1 In accordance with RMI Maritime Regulations (MI-108), §7.41.14, a "Master's Port Arrival/Departure Safety Check List" shall be included in the shipboard SMS incorporating pre-established Company policy guidelines for "Go, No Go" situations and reporting requirements for the Master's compliance.
- 3.8.2 The ship's operations documentation shall include a statement that its contents do not remove the Master's authority to take such steps and issue any orders, whether or not they are in accordance with the contents of the documentation, which the Master considers to be necessary for the preservation of life; the safety and security of the vessel, crew and cargo; and the protection of the marine environment.

- 3.8.3 The ship's operations plans shall include procedures to ensure the required RMI annual safety inspections (ASIs) are conducted on time and in accordance with RMI Maritime Regulations ([MI-108](#)) and RMI Marine Notice [5-034-3](#).
- 3.8.4 The ship's operations plans shall incorporate the applicable sub-paragraphs of RMI Maritime Regulations (MI-108) §7.41 for emergency drills and training sessions.
- 3.8.5 The ship's operations plans shall direct the attention of Masters, Chief Engineer officers and all watchkeeping personnel to the requirements, principles and guidance set out in the STCW Code and RMI Marine Notices [7-038-4](#) and [7-038-2](#), which shall be observed to ensure that a safe continuous watch or watches appropriate to the prevailing circumstances and conditions are maintained in all seagoing ships at all times.
- 3.8.6 The ship's operations plans shall require that watch systems are so arranged that the efficiency of all watchkeeping personnel is not impaired by fatigue and that duties are organized so that the first watch at the commencement of a voyage and subsequent relieving watches are sufficiently rested and otherwise fit for duty.
- 3.8.7 Each ship to which Regulation 22 of the International Convention for the Prevention of Pollution from Ships (MARPOL) Annex VI applies shall keep on board a ship specific Ship Energy Efficiency Management Plan (SEEMP). This may form part of the ship's SMS. Refer to RMI Marine Notice [2-013-12](#) for details on implementation requirements.
- 3.8.8 The safe practices of ship operations shall ensure that cyber risks are appropriately addressed in the SMS no later than the first annual verification of the Company's Document of Compliance after 01 January 2021.
- 3.9 Emergency Preparedness<sup>4</sup>
- 3.9.1 The Company SMS must provide that statutory, Administrator, coastal State, or Company required emergency preparedness plans are developed, implemented, periodically reviewed, and updated, and if necessary, re-approved by the Administrator or an RO on its behalf.
- 3.9.2 The Company SMS must consider measures to enhance the safety and security of the ship through the implementation of a Ship Security Plan (SSP) as set out in IMO Circular [MSC/Circ.443](#), RMI Marine Notice [2-011-16](#) (*International Ship and Port Facility (ISPS) Code*), RMI Marine Notice [2-011-39](#) (*Piracy, Armed Robbery, and the Use of Armed Security*), and related IMO Circulars.
- 3.9.3 The Company SMS shall be used to ensure that Shipboard Oil Pollution Emergency Plans (SOPEPs) and Marine Pollution Emergency Plans (SMPEPs) are up to date and fully adhered to, as appropriate, during emergencies. See RMI Marine Notice [2-013-4](#), *Shipboard Oil Pollution Emergency Plan (SOPEP) Approval for Republic of the Marshall Islands Ships*.

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<sup>4</sup> Refer to the *Revised Guidelines for a structure of an integrated system of contingency planning for shipboard emergencies*, adopted by the Organization by IMO Assembly Resolution [A.1072\(28\)](#), as may be amended.

- 3.9.4 The shipboard SMS shall be enhanced with plans and procedures for the recovery of persons from the water, in order to meet the requirement of SOLAS Regulation III/17-1. In developing such plans and procedures, the Company should take into consideration the guidelines which are provided under IMO Circulars [MSC.1/Circ.1447](#) and [MSC.1/Circ.1182/Rev.1](#) concerning recovery techniques.
- .1 SOLAS Regulation III/17-1 entered into force on 01 July 2014 but application dates depend on the ship's construction date – *by the first periodical or renewal safety equipment survey of the ship to be carried out after 01 July 2014, whichever comes first*. Until that time, the Administrator highly recommends presently voluntary compliance. Furthermore, it should be understood that any ship which may be found not to comply with the SOLAS regulation after the implementation date will be in contravention to SOLAS and may not be allowed to sail until compliance is proven.
  - .2 On the basis that the Administrator has elected to implement this SOLAS regulation through the ISM Code and also recognizing that the shipboard ISM verification could be after a period of up to three (3) years from the date which the vessel will have to comply with the SOLAS Regulation III/17-1, the Administrator has instructed its ROs to confirm that such plans and procedures exist onboard, as well as the satisfactory condition of any listed equipment, when performing the statutory survey of safety equipment (initial, annual, periodical, renewal).
- 3.9.5 Where the Company concludes, after having performed a risk assessment, that the use of specialized equipment is not necessary, the alternative option shall be clearly and thoroughly described within the plans and procedures. Such a scenario may rely on other ships which operate nearby and/or assistance of standby vessels. In such circumstances, the ship's Master shall review and accept the relevant plans and procedures of the other involved vessel(s) upon which his ship relies and familiarize his crew accordingly.
- 3.9.6 Companies and Masters shall list any equipment referenced in the Plans and Procedures within the LSA on-board maintenance schedule of SOLAS Regulation III/36.
- 3.9.7 MOUs subject to compliance shall have the Offshore Installation Manager's (OIM) duties (including his or her second in command) clearly defined in the unit's Well Safety Case document, and the Master's duties (including his or her second in command) defined in the SMS Emergency Procedures. The interfaces between these two (2) documents (the Well Safety Case and SMS) shall be clearly defined in a "Bridging Document" with responsibilities for all operations, particularly emergency scenarios, prescribed in detail. The Bridging Document shall be signed by all parties noted and copies held by all parties.
- 3.10 Reports and Analysis of Nonconformities, Accidents, and Hazardous Occurrences
- 3.10.1 The shipboard SMS procedures for reporting near accidents, accidents and incidents shall incorporate the provisions of Chapter 6 of RMI Maritime Regulations ([MI-108](#)) and RMI Marine Guideline [6-36-2](#) which require the immediate notice and reporting of incidents to

the Administrator and establishes duties and responsibilities for the Company, ship officers, and crew. Guidance on investigating near-misses under the ISM Code as contained in IMO Circular [MSC-MEPC.7/Circ.7](#) must be considered.

- 3.10.2 The Company and shipboard SMS shall contain procedures for immediately reporting to the Administrator oil spills and any incidents that involve other harmful substances under MARPOL as they are occurring in accordance with Attachment 1 to RMI Marine Notice [2-013-2](#).
- 3.10.3 The Company and shipboard SMS shall contain procedures for immediately reporting to the Administrator any intentional illegal discharge of waste with a request for an investigation. In such instances, the investigation shall be conducted by the Administrator in accordance with the RMI Rules for Marine Investigations ([MI-260](#)).
- 3.10.4 The Company and shipboard SMS shall contain procedures for immediately notifying the Administrator of port or coastal State action in response to the contravention of or non-compliance with international convention or code requirements in accordance with RMI Maritime Regulations ([MI-108](#)), §6.36.
- 3.10.5 The Company SMS shall incorporate the provisions of RMI Maritime Regulations (MI-108), §7.41.13 on accident prevention and appointment of a safety officer or committee.
- 3.11 Maintenance of the Ship and Equipment
  - 3.11.1 The maintenance system established by the Company and documented in its SMS should include systematic plans and actions designed to address all those items and systems covered by class and statutory survey and to ensure that the vessel's condition is satisfactorily maintained at all times.
  - 3.11.2 The shipboard SMS shall include, as part of the Company internal audit, RMI ASIs required by MI-108 §5.34, as more fully described in RMI Marine Notice [5-034-1](#). RMI Form [MSD 252](#), *Report of Operational Safety Inspection*, or a similar Company developed form as addressed in RMI Marine Notice [5-034-3](#) shall be used.
  - 3.11.3 The Company SMS shall also provide for the logging of actions or measures taken to rectify deficiencies and nonconformities noted during internal audits, external audits, surveys, and flag State safety inspections, and the giving of notification to the Administrator and the designated RO of the corrective actions taken, including measures to prevent recurrence.
- 3.12 Documentation<sup>5</sup>
  - 3.12.1 The Company shall establish and maintain procedures to control all documents and data which are relevant to the SMS. This includes documents and data related to the formal risk assessment. Refer to §10.2 of this Notice, *Major Nonconformity*.

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<sup>5</sup> Refer to IMO Circulars [FAL.2/Circ.127](#), [MEPC.1/Circ.817](#) and [MSC.1/Circ.1462](#) the *Revised list of certificates and documents required to be carried on board ships*.

3.12.2 The SMS documentation should be limited to that which adequately covers the applications of the system to established operational standards for safety and environmental protection. Documents shall be easily identified, traceable, user friendly and not so voluminous as to hinder the effectiveness of the SMS. They shall be readily available for review by the RO, representatives of the Administrator and port State control authorities. The SMS documentation provided must be current. Expired documentation shall not be accepted.

3.12.3 When a ship leaves a Company's fleet, all copies of the SMS documentation shall be returned to the Designated Person Ashore.

### 3.13 Company Verification, Review and Evaluation

3.13.1 The Company must conduct internal audits shoreside and on each ship at intervals not exceeding 12 months to determine whether the various elements of the Company SMS have been fully implemented and are effective in achieving the stated system objectives of Company policy and the ISM Code. The internal audits are in addition to the annual, intermediate, and renewal audits carried out by the RO.

3.13.2 In exceptional circumstances, the 12 month interval for shipboard internal audits may be allowed to be exceeded, but not by more than three (3) months. The acceptability of any exceptional circumstances will be considered by the Administrator on a case-by-case basis prior to the postponement of an internal audit. All requests for an extension of the 12 month interval must be presented to the Administrator well in advance accompanied by documentation explaining why the internal audit cannot be conducted within the required timeframe. This documentation and the Administrator's authorization for postponement shall be presented to the RO for verification at the annual Company audit and relevant shipboard audit. In all cases, there shall not be less than five (5) internal audits of the Company or any ship during the five (5) year validity of certification.

3.13.3 Companies shall ensure that an internal SMS audit schedule is developed and implemented. All elements of the SMS should be covered in the schedule. The purpose of the internal audit is to assess the system, not to allocate blame, and in general, should include:

- .1 an evaluation as to the suitability of safety, security and environment protection policy in achieving the objectives of the ISM Code, including both the prevention of pollution accidents and incidents of deliberate pollution;
- .2 a review of safety, security and environment protection system objectives and targets;
- .3 a review of and follow-up on findings from internal and external audits;
- .4 consideration of possible changes made necessary by legislation or regulation;
- .5 consideration of changes within the Company (e.g., fleet changes, trade and market strategies, social or environmental attitudes);

- .6 an examination of training needs;
- .7 lessons learned from accidents, hazardous occurrences, and nonconformities;
- .8 a review of procedures and other instructions;
- .9 the results of surveys, Company inspections and flag State and port State inspections;
- .10 feedback from Masters, employees, and other relevant stakeholders; and
- .11 findings following emergency drills and exercises.

3.13.4 Written procedures detailing the arrangements for internal SMS auditing must be prepared in accordance procedures established by the company as required by §12.3 of the ISM Code. The procedures must at least consider the following elements as provided in IMO Circular [MSC-MEPC.7/Circ.8](#):

- .1 responsibilities;
- .2 competence and selection of auditors;
- .3 audit scheduling;
- .4 preparing and planning the audit;
- .5 executing the audit;
- .6 audit report; and
- .7 corrective action follow-up.

All internal SMS audit reports and findings shall be the property of the Company.

#### **4.0 Selection of an RO**

##### **4.1 Delegation**

The RMI has delegated to certain Classification Societies the authority to act as ROs for verifying compliance with the ISM Code and issuance of ISM Code documents on its behalf. A list of the authorized RMI ROs with scope of authority and contact points has been circulated by means of an RMI Marine Safety Advisory, which is updated as necessary.

##### **4.2 Company Choice**

4.2.1 Companies may choose any of the authorized ROs to conduct safety management audits of the Company and its ships. Choice of an RO is not restricted by the nationality of the ship's owner/operator, location of a Company's offices or by the Classification Society that classed the ships or issued the statutory certificates. Once chosen, however, the



Company must abide by the terms of service set by the RO, provided, however, that they are not less than the minimum standards set by the ISM Code. The Company is responsible for arranging the safety management audits with the selected RO.

4.2.2 Although the Administrator’s criterion upon which an RO agrees to provide ISM Code verification services to a Company does not require that the RO has classed or will be classing the vessels owned or operated by the Company, an RO shall not be prohibited from establishing its own requirements for services in relation to classification and statutory certification, provided there are no negative effects upon compliance with the ISM Code.

#### 4.3 Multi-Class Fleets

For a Company operating a fleet with vessels individually classed by one (1) or more recognized Classification Societies, a single RO may, if requested by the Company, act as sole assessor in performing the verification audit and certification of the SMS for the Company and all of its vessels. The RO does not have to be the Classification Society for any of the vessels in the fleet. ROs may establish their own service requirements, provided they do not negatively affect compliance with the ISM Code.

#### 4.4 Multi-Flag Fleets

In order to facilitate the auditing and certification process, Companies operating multi-flag fleets shall propose a plan of action and request agreements by all involved flag States regarding the joint acceptance of an RO audit prior to the commencement of the audits. The plan shall clearly identify the entities involved; outline how the audits will be conducted, how each flag State’s national requirements will be addressed, and who will be issuing the ISM Code documents. It is essential that ROs communicate with each other the results of DOC audits and SMC audits if different ROs are involved with a ship or ships. See IMO Circulars [MSC/Circ.762 - MEPC/Circ.312](#), *Guidance to Companies Operating Multi-Flagged Fleets*.

### 5.0 Verification of Compliance and Issuance of ISM Code Documents

#### 5.1 Application for Certification

5.1.1 After developing and implementing the SMS, the Company must contact an RO to arrange for an initial verification audit and certification of the Company and its vessels. The Company’s application for certification to the RO, and the relevant information, must include the size and total number of each ship type covered by the SMS and any other documentation considered necessary. Ships carrying dry cargo in bulk but which do not meet the IMO Resolution [MSC.277\(85\)](#) definition for a “Bulk Carrier” are to be typed as “Other Cargo Ships.”

5.1.2 Companies operating multi-flag fleets desiring RMI acceptance of ISM Code audits conducted on behalf of another flag State must propose a plan of action regarding joint acceptance of the ISM Code audits by the involved flag States. The proposed plan shall clearly identify the entities involved, outline how the audits will be conducted, and how

each flag State's national requirements will be addressed. The proposed plan shall be submitted to all involved flag States requesting their agreement to the plan for joint acceptance of the audits in order to facilitate the auditing and certification process.

## 5.2 Initial verification Audits

### 5.2.1 The initial verification for issuing a DOC to a Company consists of the following steps:

- .1 Document Review: The RO is to verify that the SMS and any relevant documentation comply with the requirements of the ISM Code, by reviewing the safety management manual. If this review reveals that the system is not adequate, the RO may delay auditing until the Company undertakes corrective action. Amendments made to the system documentation to correct deficiencies identified during this review may be verified remotely or during the subsequent initial audit described in .2 below.
- .2 Company initial audit: The RO shall conduct an initial audit in order to verify the effective functioning of the SMS, including objective evidence that the Company's SMS has been in operation for at least three (3) months, and at least three (3) months on board at least one (1) ship of each type operated by the Company.
- .3 The objective evidence is to, *inter alia*, include records from the internal audits performed by the Company, ashore and on board, and examining and verifying the correctness of the statutory and classification records for at least one ship of each type operated by the Company.

### 5.2.2 The initial verification for issuing an SMC to a ship consists of the following steps:

- .1 verification that the Company DOC is valid and relevant to that type of ship, and that the other provisions of §6.3.3 below are complied with. Only after on board confirmation of the existence of a valid Full Term DOC can the verification proceed; and
- .2 verification of the effective functioning of the SMS, including objective evidence that the SMS has been in operation for at least three (3) months on board the ship. The objective evidence shall also include records from the internal audits performed by the Company.

### 5.2.3 If the Company already has a valid Full Term DOC issued by another organization recognized by the Administrator, that DOC shall be accepted as evidence of compliance with the ISM Code, unless there is objective evidence indicating otherwise.

## 5.3 Annual and Intermediate Verification Audits

### 5.3.1 The Company is responsible for scheduling with the RO the annual and intermediate verifications. Failure to schedule and/or conduct annual or intermediate verifications will be considered a violation of SOLAS Chapter IX, and the DOC and/or SMCs may be suspended or revoked.

5.3.2 The RO may conduct additional audits on the Company and/or vessels if objective evidence justifying such audits is found during the annual audit of the Company SMS, the intermediate audit of a vessel or when directed by the Administrator.

#### 5.4 Renewal Verification Audits

Renewal verification audits are to be performed before the validity of the DOC and the SMC expires. Renewal audits may be carried out within three (3) months before the expiry date of the DOC or the SMC and shall be completed before the DOC or the SMC expires<sup>6</sup>. Failure to schedule and/or conduct the renewal verification audit will be considered a violation of SOLAS Chapter IX, and the Company's ships may be prevented from trading.

#### 5.5 Notification of Audit Results

ROs shall notify the Administrator by email of the completion of an audit and make the audit report results available for review by the Administrator from the RO's website.

### **6.0 Issue and Validity of DOC and SMC**

#### 6.1 Interim DOC

6.1.1 For a change of flag State or Company, special transitional arrangements are to be made in accordance with these requirements.

6.1.2 An Interim DOC, which must include a listing of any Company branch office(s) assigned with ISM-related tasks to manage the vessel, may be issued to facilitate initial implementation of the ISM Code in cases where compliance with the ISM Code is a new requirement or where changes to the Company's organization or its operations have rendered the existing certification inappropriate, for example, where a Company is newly established or where new ship types are added to an existing DOC. A copy shall be forwarded via email to the Administrator by the RO immediately upon issuance.

6.1.3 An Interim DOC, valid for no more than 12 months may be issued to a Company following a demonstration, at the Company's premises, that the Company has a documented SMS which addresses all elements of the ISM Code, and that plans exist for its implementation throughout the organization and its fleet within the period of validity of the Interim DOC. The progress of such implementation may be reviewed and verified at intervals during the validity of the Interim DOC.

6.1.4 If the Company operates a multi-flag fleet and already has a DOC issued by or on the behalf of another flag State that is recognized by this Administrator, the RO may issue an

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<sup>6</sup> The renewal verification requirements for the extension of validity of the SMC have been harmonized with those of SOLAS certificates and the International Ship Security Certificate (ISSC).

Interim DOC valid for a period of up to six (6) months subject to the RO reviewing and verifying to its satisfaction that the Company SMS is in compliance with the ISM Code and RMI National requirements within that period of validity. The Company will be issued an RMI DOC upon satisfactory completion of the review and verification.

6.1.5 A copy of the Interim DOC is not required to be authenticated or certified, but shall be placed on board so that the Master, if so requested, may produce it for verification by the Administrator or by an organization recognized by the Administrator or for the purpose of the control referred to in SOLAS Regulation IX/6.2.

## 6.2 Full Term DOC

6.2.1 A Full Term DOC, which must include a listing of any Company branch office(s) assigned with ISM-related tasks to manage the particular vessel, shall be issued to a Company following an initial verification of compliance with the requirements of the ISM Code and RMI National requirements prior to the expiry of the interim period of certification. A copy shall be forwarded via email to the Administrator by the RO immediately upon issuance to vesdoc@register-iri.com.

6.2.2 The Company shall make available copies of the Full Term DOC to each office location covered by the SMS and to each ship. The copies of the DOC are not required to be authenticated or certified, but shall be placed on board so that the Master, if so requested, may produce it for verification by the Administrator or by an organization recognized by the Administrator or for the purpose of control referred to in SOLAS Regulation IX/6.2.

6.2.3 The period of validity of a Full Term DOC shall be five (5) years, subject to annual verification carried out within three (3) months before or after the anniversary date.

6.2.4 If the Company operates a multi-flag fleet and already has a Full Term DOC issued by or on the behalf of another flag State that is recognized by the Administrator, the RO may issue a Full Term DOC with same validity as the existing DOC, provided that the auditor is able to verify the successful implementation of all the RMI National requirements during the course of the audit. By no means shall the RMI DOC be issued without an audit.

Should the RMI National requirements be found not to have been successfully implemented, the auditor shall verify that plans exist for its implementation and issue an **Interim DOC**.

6.2.5 A Full Term DOC is valid for the types of ships on which the initial verification was based. The list of types of ship shall be indicated in the DOC. The scope of a DOC may be amended to cover an additional type of ship after the verification of the Company's capability to comply with the requirements of the ISM Code for that ship type.

## 6.3 Interim SMC

### 6.3.1 *Requirements for Issuance*

Interim RMI SMCs may be issued to new vessels on delivery, on the occasion of a Company's assumption of responsibility for the operation of a vessel or when a vessel changes flag subject to the following verifications by the RO:

- .1 the DOC, including Interim DOC, of the Company is relevant to the type of vessel;
- .2 the SMS established by the Company includes the essential elements of the ISM Code and has been assessed relevant to the vessel type during the audit for issuance of the relevant DOC;
- .3 the Master and relevant senior officers are familiar with the SMS and the planned arrangements for its implementation;
- .4 operational instructions, which the Company has identified as essential to be provided to the Master prior to the vessel's first voyage under the RMI flag, have, in fact, been given to the Master;
- .5 there are plans for an internal audit of the vessel by the Company within three (3) months of the issuance of the Interim SMC; and
- .6 the relevant information on the SMS is given in a working language or languages understood by the crew of the vessel.

#### 6.3.2 *Multi-Flag Fleets*

Each RMI-flagged vessel in the multi-flag fleet may be issued an Interim SMC valid for a period of up to six (6) months to facilitate implementation of the SMS subject to the provisions of §6.3.3 and §6.3.4 below. Each RMI-flagged vessel in the multi-flag fleet shall be audited by the RO to verify implementation of the SMS and compliance with RMI National requirements. Upon satisfactory completion of the audits, a RMI Full Term SMC shall be issued to each RMI-flagged vessel in the multi-flag fleet.

#### 6.3.3 *Documented Vessel Types*

A Company holding a valid RMI DOC, which assumes management responsibility for a vessel type already documented in its fleet, may have a six (6) month Interim SMC issued to that ship subject to the ship being verified by the RO as to compliance with the provisions of §6.3.1 above. The SMS must be fully implemented on board the vessel within that period. Extensions of time up to, but not exceeding, six (6) additional months may be granted by the Administrator on a case-by-case basis.

#### 6.3.4 *Undocumented Vessel Types*

A Company holding a valid RMI DOC which assumes management responsibility for a vessel type new to its fleet, may have a six (6) month Interim SMC issued to that ship, provided the RO verifies that the Company's revised SMS is applicable to that vessel type and the ship is verified in compliance with the provision of §6.3.1 above. The SMS must be fully implemented in the Company and on board the vessel within that period. Extensions of time up to, but not exceeding, six (6) additional months may be granted by the Administrator on a case-by-case basis.

#### 6.3.5 *Bareboat Charter Registered Vessels*

Bareboat Charter registered vessels shall be subject to the provisions of §6.3.3 or §6.3.4 above as applicable upon entry into the RMI Maritime Registry.

#### 6.3.6 *Administrator Copies*

Interim SMCs shall be forwarded via email to the Administrator by the RO immediately upon issuance to [vesdoc@register-iri.com](mailto:vesdoc@register-iri.com).

#### 6.4 Full Term SMC

6.4.1 A Full Term SMC shall be issued to a ship following an initial verification of compliance with the requirements of the ISM Code and RMI National requirements prior to the expiry of the interim period of certification. A copy shall be forwarded via email to the Administrator by the RO immediately upon issuance to [vesdoc@register-iri.com](mailto:vesdoc@register-iri.com).

6.4.2 A copy of the Full Term SMC shall be available at the Company's head office.

6.4.3 The issue of a Full Term SMC is conditional upon:

- .1 the existence of a Full Term DOC (not Interim), valid for that type of ship;
- .2 the maintenance of compliance with the requirements of a Classification Society meeting the requirements of IMO Assembly Resolution [A.739\(18\)](#) or with national regulatory requirements of an Administration which meets requirements equivalent to IMO Assembly Resolution A.739(18); and
- .3 the maintenance of valid statutory certificates, including a Full Term ISSC.

6.4.4 The period of validity of a Full Term SMC shall not exceed five (5) years and be subject to at least one (1) intermediate verification. In certain cases, particularly during the initial period of operation under the SMS, it may be necessary to increase the frequency of the intermediate verification. If only one (1) intermediate verification is carried out, it is to take place between the second and third anniversary date of the issuance of the SMC.

## **7.0 Short-Term Certificates**

### **7.1 Issue and Validity**

7.1.1 The Administrator has authorized the RO to issue a Short-Term certificate at the closing of a satisfactory ISM Code audit to accommodate the administrative processing period required for the issuance of a Full-Term certificate, subject to the following provisions.

7.1.2 The Short-Term DOC or SMC may be issued provided no major nonconformities remain and the RO auditor formally recommends certification of the Company or vessel.

7.1.3 The validity of the Short-Term DOC or SMC, as appropriate, is not to exceed five (5) months from the date of the ISM Code audit.

7.1.4 The RO shall provide a copy via email to the Administrator immediately upon issuance to vesdoc@register-iri.com.

### **7.2 Change of Flag Only**

7.2.1 The RO is authorized to issue a Short Term SMC to a vessel changing flag without an initial verification audit if the following conditions exist:

- .1 the Company chooses not to undergo a full initial verification audit leading to a new Full-Term five (5) year SMC;
- .2 the vessel is changing flag within a Company managed fleet;
- .3 the Company remains the same and holds a valid RMI Full Term DOC for the ship type;
- .4 the vessel has a valid SMC, with no major nonconformities open or outstanding;
- .5 the RO remains the same for the vessel;
- .6 the crew is predominantly the same, or at the very least, is familiar with the SMS; and
- .7 a periodical external audit aboard the vessel has been satisfactorily completed by the RO within the last six (6) months or an annual shipboard internal audit has been reviewed with satisfaction by the RO at the most recent annual Company DOC audit made within that same period.

7.2.2 If any of the conditions mentioned above have changed or does not apply with the change of flag, then the vessel must be treated as a new vessel entering the RMI Maritime Registry and be issued an Interim Certificate in accordance with §6.0 and §6.3 above.

### 7.3 Full-Term Certificates

- 7.3.1 Prior to the expiration of Short-Term Certificates, the RO shall issue Full-Term DOC or SMCs to the Company and vessels respectively. Copies shall be forwarded via email to the Administrator by the RO immediately upon issuance to [vesdoc@register-iri.com](mailto:vesdoc@register-iri.com).
- 7.3.2 The validity of the Full-Term DOC or SMCs, as appropriate, is to be five (5) years from the date of the ISM Code audit.
- 7.3.3 A Full-Term SMC shall be issued as soon as possible after the issuance of a Short-Term SMC where an audit has not been required for a change in flag only in accordance with §7.2 above, but only for the remaining term of the SMC being replaced.
- 7.3.4 See §6.4.3 above for the conditions upon which a Full Term SMC may be issued.
- 7.3.5 A Full Term Certificate issued for a Company or vessel that is complying voluntarily must be marked as such on the certificate.

### 8.0 Renewal Verification Certification

- 8.1 When the renewal verification is completed within three (3) months before the expiry date of the existing DOC or SMC, the new DOC or the new SMC should be valid from the date of completion of the renewal verification for a period not exceeding five (5) years from the date of expiry of the existing DOC or SMC.
- 8.2 When the renewal verification is completed more than three (3) months before the expiry date of the existing DOC or SMC, the new DOC or the new SMC should be valid from the date of completion of the renewal verification for a period not exceeding five (5) years from the date of completion of the renewal verification.
- 8.3 When the renewal verification is completed after the expiry date of the existing SMC, the new SMC should be valid from the date of completion of the renewal verification to a date not exceeding five (5) years from the date of expiry of the existing SMC.
- 8.4 The Administrator, or an RO on its behalf, may endorse an existing SMC if a renewal verification has been completed and a new SMC cannot be issued or placed onboard the ship before the expiry date of the existing certificate. This existing endorsed certificate may remain valid for a further period not exceeding five (5) months from its expiry date.
- 8.5 If a ship at the time when a SMC expires is not in a port in which it is to be verified, the Administrator may extend the period of validity of the SMC, 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 SMC should be extended for a period of long than three (3) 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 SMC. When the renewal verification is completed, the new SMC should be valid to a date not exceeding five (5) years from the expiry date of the existing SMC before the extension was granted.



## **9.0 Safety Management Auditing**

ROs shall conduct a systematic and independent examination to determine whether the SMS activities and related results of a Company comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve stated system objectives.

### **9.1 Guidelines**

The IACS *Procedural Requirements for ISM Code Certification*, as amended, shall form the basis for developing and implementing audit plans.

### **9.2 Audit Objectives**

Audits shall be designed to achieve at least one (1) or more of the following purposes:

- .1 to determine whether a Company's SMS elements conform to the ISM Code;
- .2 to determine the effectiveness of the implemented SMS toward meeting the safety, security and environmental objectives specified in §1.2 of the ISM Code;
- .3 to provide the Company with the opportunity to improve upon its SMS; and
- .4 to meet applicable RMI National requirements.

### **9.3 Audit Activities**

While acting in an ethical manner at all times and objectively remaining within the audit scope, an RO's audit activities shall consist of, among other things, the following:

- .1 complying with RO's applicable written auditing procedures and other directives;
- .2 planning the audit and preparing working documents;
- .3 reviewing documentation on existing SMS activities to determine their adequacy;
- .4 collecting and analyzing objective evidence that is relevant and sufficient to permit conclusions to be reached regarding the Company SMS;
- .5 remaining alert to any indications of objective evidence that can influence the audit results and possibly require more extensive auditing;
- .6 clearly reporting to the Company and the Administrator audit results on a timely basis; and
- .7 reporting major nonconformities immediately to the Company and promptly to the Administrator.

#### 9.4 Objective Evidence

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

#### 9.5 Document Review

9.5.1 As a basis for planning an audit, an RO shall review for adequacy the Company's recorded description of its methods for meeting the SMS requirements.

9.5.2 No further auditing shall be conducted if the review reveals that the SMS described in the documentation by the Company is not adequate to meet the requirements of the ISM Code until such time as all nonconformities are resolved to the satisfaction of the RO.

#### 9.6 Audit Plans

9.6.1 An audit plan shall be prepared by the RO in consultation with the Company.

9.6.2 The RO shall design the audit plan to be flexible in order to permit changes in emphasis based on information gathered during the audit process and to permit effective use of the RO's resources. The plan is to be approved by the Company and communicated to those planning to be involved in the audit.

9.6.3 The audit plan shall include the following elements:

- .1 the audit objectives and scope;
- .2 identification of the individuals having significant direct responsibilities regarding the objectives and scope;
- .3 identification of reference documents such as applicable international codes, bridging documents, external audits and assessments, and the Company's SMS;
- .4 identification of audit team members;
- .5 audit team assignments;
- .6 the language of the audit;
- .7 dates and places where audit is to be conducted;
- .8 identification of the organizational units of the Company to be audited;
- .9 the expected time and duration for each major audit activity;

.10 the schedule of meetings to be held with the Company or audited unit; and

.11 confidentiality requirements, if any.

9.6.4 Upon request, the audit plan shall be provided to the Administrator for its review.

## **10.0 Nonconformities**

10.1 Nonconformity

### *10.1.1 Definition*

Nonconformities are those deviations from the requirements of the ISM Code, the Administrator and/or the documented SMS of a Company that pose a low level of risk to the vessel's safety, security, protection of the environment or integrity of the SMS. Nonconformities shall include observed situations where objective evidence indicates a minor nonfulfillment of a specified requirement that has been determined by the RO not to affect the ability of the management of the Company nor any of its vessels from achieving the system objectives of the Company or the ISM Code.

10.1.2 The purpose of identifying nonconformities is to determine why the nonconformity arose so that appropriate corrective action can be taken to avoid recurrence. The identification of nonconformities via the audit process allows for continuous improvement and development of best practices.

10.1.3 Corrective action for nonconformities shall be completed within a time period agreed to between the RO and the Company, which shall not exceed three (3) months from the date of issuance of a nonconformity notice. The RO shall confirm that the Company and/or vessel has determined and initiated appropriate corrective action to correct the nonconformities or to correct the root causes of the nonconformities.

10.1.4 The RO shall advise the Administrator of corrective actions requiring more than three (3) months and obtain approval for such extended time periods, as determined by the RO to be required, from the Administrator.

10.2 Major Nonconformity

### *10.2.1 Definition and Examples*

A major nonconformity shall mean an identifiable deviation, which poses a serious threat to personnel or vessel safety, security or serious risk to the environment and requiring immediate corrective action. In addition, major nonconformities shall include the lack of effective or systematic implementation of the requirements of the ISM Code. Examples of specific major nonconformities are, but not limited to:

.1 Operational shortcomings that would render the ship substandard by IMO standards.

- .2 Ship hull/machinery damage, wastage or malfunction as a consequence of systemic faults in the SMS that would warrant a recommendation to withdraw a statutory certificate or suspension of the ship from class.
- .3 Absence of required RMI licensed officers and or certified ratings as required by the RMI Maritime Act 1990 ([MI-107](#)), RMI Minimum Safe Manning Certification and the STCW, unless the Master is in possession of a valid exemption from the Administrator.
- .4 Discovery by the RO that there are outstanding requirements on the statutory safety certificates which, as yet, have not been dealt with within the time permitted as a result of systemic faults in the SMS.
- .5 Observation of an obvious safety, security, or environmental violation during an audit, which has not been or is not being corrected or documented.
- .6 Observation of obvious violations of the applicable International Labour Organization (ILO) Convention requirements that have not been documented as waived or exempted.
- .7 Objective evidence of flagrant violations of the RMI safety, security, or pollution prevention laws, RMI Maritime Regulations (MI-108), and/or Marine Notices is found, observed or brought to the attention of the RO.
- .8 Discovery by the RO auditors that ship personnel or the Company management are not aware of or have not been instructed in the provisions of the ISM Code and the SMS as well as the importance of the DOC and SMCs.
- .9 The total absence of a required SMS element or a group of nonconformities within an element.

10.2.2 Major nonconformities shall be handled in accordance with IMO Circular [MSC/Circ.1059-MEPC/Circ.401](#).

10.2.3 Any major nonconformities found by the RO in the course of an audit shall be reported immediately in writing to the Company, the Master of the vessel involved and to the Administrator. Neither the DOC nor the SMC will be issued or endorsed as the case may be until all major nonconformities are corrected by the Company or downgraded to nonconformities by the RO.

10.2.4 The RO shall determine the nature and extent of major nonconformities found during intermediate, renewal, or additional audits and recommend to the Administrator not to issue the DOC or SMC, or the issuance of a time specific (Short Term) DOC or SMC to allow for the completion of corrective action, or withdrawal of an existing DOC or SMC.

### 10.3 Nonconformities Associated with Risk Assessment

10.3.1 Companies must take risk assessment into consideration when reviewing the effectiveness of their SMS and be able to show evidence (via policies, procedures, guidance, training etc.) that they address the requirement for risk assessment. Company policy that does not address risk assessment shall be considered a major nonconformity which requires immediate corrective action and a preliminary corrective action plan.

10.3.2 An RO may raise a nonconformity, major nonconformity or observation depending on the severity of unaddressed risk and may require the Company to carry out a risk assessment of the particular identified hazard, with the aim to introduce appropriate safeguards or verify that existing safeguards are in place and effectively addressing the risk.

10.3.3 A major nonconformity for a risk assessment may be downgraded by the RO on receipt of an acceptable plan of action to address the deficiency.

### 11.0 Certificate Withdrawal and Invalidation

#### 11.1 Withdrawing Authority

Certificates may only be withdrawn by the Administrator or by an RO when authorized to do so by the Administrator.

##### 11.1.1 *DOC Withdrawal*

Upon the withdrawal of the DOC, the RO shall immediately notify the Company and the Administrator, when acting on its behalf. When the RO is authorized by the Administrator to withdraw the DOC, the RO shall give a letter to the Company stating that the DOC is withdrawn from the date of signature of the letter, and request that the DOC be surrendered. A copy of the letter shall be immediately sent by the most expedient means to the Administrator. The Company shall be required to immediately notify the appropriate ships that the DOC is invalid and proceed with the immediate withdrawal of the SMCs covered by the DOC.

##### 11.1.2 *SMC Withdrawal*

When the RO is authorized by the Administrator to withdraw the SMC, the RO shall immediately notify the Company, give a letter to the Master of the ship stating that the SMC is withdrawn from the date of signature of the letter, and request that the SMC be surrendered. A copy of the letter shall be immediately sent by the most expedient means to the Administrator.

#### 11.2 Reasons for Withdrawal

- .1 the failure to conduct internal, periodic, or intermediate verification audits;
- .2 the Company's failure to fully implement its SMS;

- .3 the Company's failure to maintain its SMS in substantial compliance with the requirements of the ISM Code;
- .4 the Company's failure to maintain its SMS in substantial compliance with the requirements of the ISPS Code;
- .5 nonconformities that remain uncorrected beyond their due date; and
- .6 the recommendation of the RO based upon objective evidence of the existence of a major nonconformity or an ineffective SMS.

### 11.3 Invalidation of SMCs

Withdrawal of the Company DOC invalidates the SMCs of all related vessels. Should the Administrator authorize the RO to withdraw the Company DOC, the SMCs of all related vessels shall also be withdrawn by the RO.

### 11.4 Issuance or Reinstatement of Certificates

Issuance or reinstatement of a DOC and/or SMCs, as the case may be, which have been withheld or withdrawn as the result of major nonconformities shall only occur after the RO confirms to the Administrator that there has been closure to the satisfaction of the RO on all outstanding nonconformities as verified by additional audit.

## 12.0 Appeals

In the event a Company disagrees with a determination made by the RO, the Company, through its designated person, after exhausting the RO appeals procedures, may make a direct appeal to the Administrator which shall then make a final determination based upon both the substance of the appeal and the recommendations of the RO.

## 13.0 Contact Information

Questions regarding the ISM Code should be referred to the Administrator at [regulatoryaffairs@register-iri.com](mailto:regulatoryaffairs@register-iri.com)

## **APPENDIX I REGULATIONS AND GUIDELINES TO BE TAKEN INTO ACCOUNT**

The following is a list of publications that should be used as a reference when developing, implementing or auditing an SMS. This list is not all inclusive, but is intended to serve as a good starting point.

### **1.0 Principal International Shipping Conventions and Codes**

#### **1.1 International Convention for the Safety of Life at Sea, 1974, as amended, including the 1988 Protocol (SOLAS 74)**

SOLAS lays down a comprehensive range of minimum standards for the safe construction of ships and for basic safety equipment (e.g. fire prevention, navigational, life saving and radio) to be carried on board. SOLAS also contains operational instructions, particularly on emergency procedures, and provides for regular surveys and for the issue of certificates of compliance.

The following IMO Codes, *inter alia*, are mandatory under SOLAS:

- International Safety Management (ISM) Code;
- International Ship and Port Facility Security (ISPS) Code;
- International Maritime Dangerous Goods (IMDG) Code;
- International Maritime Solid Bulk Cargoes (IMSBC) Code;<sup>7</sup>
- International Bulk Chemical (IBC) Code;
- International Gas Carrier (IGC) Code;
- International Gas Fuel (IGF) Code;<sup>8</sup>
- International Code for Ships Operating in Polar Waters (Polar Code);<sup>9</sup>
- Code for the Construction and Equipment of Mobile Offshore Drilling Units (MODU Code);
- Code of Safety for Special Purpose Ships (SPS Code);
- Code of Safe Practice for Cargo and Securing.<sup>10</sup>

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<sup>7</sup> The IMSBC Code supersedes the Code of Safe Practice for Solid Bulk Cargoes (BC Code).

<sup>8</sup> The IGF Code should become mandatory under SOLAS on 01 January 2017.

<sup>9</sup> The Polar Code will take effect upon entry into force of the new Ch XIV of SOLAS on 01 January 2017.

<sup>10</sup> Only some requirements are mandatory.

**1.2 International Convention for the Prevention of Pollution from Ships as modified by the Protocol of 1978 (MARPOL)**

MARPOL contains measures to prevent pollution caused both accidentally and in the course of routine operations. Six (6) annexes to the Convention cover, respectively, pollution by oil, noxious liquid substances in bulk, harmful substances carried in packaged forms, sewage, garbage and atmospheric pollution.

**1.3 International Convention on Standards, Training, Certification and Watchkeeping for Seafarers, 1978 as amended (STCW 78)<sup>11</sup>**

STCW establishes minimum standards of competence and qualifications for ships' officers and ratings and other personnel at sea, and requirements for certification by labor supply nations and flag States. It also sets out mandatory requirements for Company responsibilities and crew familiarization.

**1.4 Convention on the International Regulations for Preventing Collisions at Sea, 1972, as amended (COLREG 72)**

The COLREGS lay down the 'rules of the road', such as rights of way, safe speed, action to avoid collision, and procedures to observe in narrow channels and in restricted visibility.

**1.5 International Convention on Load lines, 1966, including the 1988 Protocol (LL66)**

The Load Line Convention sets the minimum permissible freeboard, according to the season of the year and the trading area of the ship; special ship construction standards are laid down with regard to water tightness.

**1.6 International Convention for the Control and Management of Ships' Ballast Water and Sediments, 2004, not yet in force (BWM 2004)**

The BWM Convention includes technical standards and requirements for the control and management of ships' ballast water and sediments, to prevent the import of alien marine organisms into local ecosystems.

**1.7 International Convention for Safe Containers, 1972 (CSC)**

The CSC Convention establishes structural safety requirements and tests for containers, and requirements for inspection and approval by Administrations.

**1.8 ILO Maritime Labour Convention, 2006 (MLC, 2006)**

The MLC, 2006 creates a single, coherent instrument embodying as far as possible all up-to-date standards of existing international maritime labour Conventions and Recommendations, as well as the fundamental principles to be found in other

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<sup>11</sup> IMO adopted amendments to the STCW Convention in June 2010.



international labour Conventions and introduces new inspection and certification requirements.

## 2.0 IMO Guidelines

- IMO Circular [MSC/Circ.443](#), Measures to Prevent Unlawful Acts Against Passengers and Crews On Board Ships, 26 September 1986
- IMO Circular [MSC/Circ.762-MEPC/Circ.312](#), Guidance to Companies Operating Multi-Flagged Fleets, 11 July 1996
- IMO Circular [MSC/Circ.1059-MEPC Circ.401](#), Procedures Concerning Observed ISM Code Major Non-Conformities, 16 December 2002
- IMO Circular [MSC-MEPC.7/Circ.8](#), Guidelines for the Operational Implementation of the ISM Code by Companies, 19 October 2007
- IMO Circular [MSC-MEPC.7/Circ.6](#), Guidance on the Qualifications, Training and Experience Necessary for Undertaking the Role of the Designated Person Under the Provision of the ISM Code, 19 October 2007
- IMO Circular [MSC-MEPC.7/Circ.7](#), Guidelines on Near-Miss Reporting, 10 October 2008
- IMO Circular [MEPC.1/Circ.683](#), Guidance for the Development of a Ship Energy Efficiency Management Plan , 17 August 2009
- **IMO Assembly Resolution [A.443\(XI\)](#)**, Decision of the Shipmaster with regard to Maritime Safety and Marine Environment Protection, 15 November 1979
- **IMO Assembly Resolution [A.787\(19\)](#)**, Procedures for Port State Control, 23 November 1995, as amended by IMO Resolution A.882(21), Amendments to Procedures for Port State Control, 25 November 1999
- **IMO Assembly Resolution [A.851\(20\)](#)**, General Principles for Ship Reporting Systems and Ship Reporting Requirements, 27 November 1997
- IMO Circular [MSC.1/Circ.1045](#), Guidelines for maintenance and monitoring of on-board materials containing asbestos, 28 May 2002
- IMO Circular [MSC.1/Circ.1354](#), amendments to the Elements to be taken into account when considering the safe stowage and securing of cargo units and vehicles in ships (resolution A.533(13)), 30 June 2010
- IMO Circular [MSC.1/Circ.1426/Rev.1](#), Unified Interpretation of SOLAS Regulation II-1/3-5, 25 November 2016
- IMO Circular [MSC.1/Circ.1352/Rev.1](#), Guidance on Providing Safe Working Conditions for Securing of Containers on Deck, 30-Sep-2014

- IMO Circular [MSC.1/Circ.1353/Rev.1](#), Revised Guidelines for the Preparation of the Cargo Securing Manual, 30-Sep-2014

### **3.0 Industry Guidelines on Best Practices**

The following best practice guidelines and tools might, where relevant (and depending on ship type), be taken into account when developing and implementing the SMS:

- Assessment and Development of Safety Management Systems (ICS);
- Bridge Procedures Guide (ICS);
- Guide to Helicopter/Ship Operations (ICS);
- Guidelines for the Preparation of Garbage Management Plans (ICS);
- Guidelines on Good Employment Practice (ISF);
- International Safety Guide for Oil Tankers and Terminals (ICS/OCIMF/IAPH);
- ILO Maritime Labour Convention 2006: A Guide for the Shipping Industry (ISF);
- On Board Training Record Books for Deck Cadets (ISF);
- On Board Training Record Book for Engineer Cadets (ISF);
- On Board Training Record Book for Deck Ratings (ISF);
- On Board Training Record Book for Engine Ratings (ISF);
- Health, Safety and Environmental Case Guidelines for Mobile Offshore Drilling Units 2009 (IADC)
- Maritime Security: Guidance for the Ship Operator on the IMO International Ship and Port Facilities Security (ISPS) Code (ICS);
- Marlins English Language Test for Seafarers (ISF);
- Model Ship Security Plan (ICS);
- Peril at Sea and Salvage - A Guide for Masters (ICS/OCIMF);
- Personal Training and Service Record Book (ISF);
- Pirates and Armed Robbers - Guidelines on Prevention for Masters and Ship Security Officers (ICS/ISF);

- Best Management Practices for Somali Based Piracy, Suggested Planning and Operational Practices for Ship Operators, and Masters of Ships Transiting the High Risk Area, Version 4 (Version 5 when released) (Industry Non-Governmental Organizations);
- Guidelines on Ship and Voyage Specific Risk Assessment (SVSRA);
- Guidelines for Owners, Operators and Masters for Protection against Piracy in the Gulf of Guinea Region;
- Prevention of Oil Spillages through Cargo Pumproom Sea Valves (ICS/OCIMF)
- Tanker Safety Guide (Chemicals) (ICS);
- Tanker Safety Guide (Liquefied Gas) (ICS);
- The STCW Convention: Incorporating STCW Checklists (ISF);
- Safe Transport of Containers by Sea - Guidelines on Best Practices (ICS/World Shipping Council);
- Shipping and the Environment - A Code of Practice (ICS);
- Ship/Shore Safety Checklist for Bulk Carriers (ICS);
- Ship to Ship Transfer Guide (Liquefied Gases) (ICS/OCIMF/SIGTTO);
- Ship to Ship Transfer Guide (Petroleum) (ICS/OCIMF); and
- Watchkeeper (IMO/ILO work hour record program) (ISF)
- Guidance on the Use of Oily Water Separators

Many other useful publications, guidelines and circulars potentially relevant to the SMS are produced by:

- International Maritime Organization (IMO);
- International Labour Organization (ILO);
- Baltic and International Maritime Council (BIMCO);
- International Association of Drilling Contractors (IADC);
- Cruise Lines International Association (CLIA);
- International Association of Classification Societies (IACS), Procedural Requirements for ISM Code Certification;

- International Association of Ports and Harbors (IAPH);
- International Association of Dry Cargo Ship Operators (INTERCARGO);
- International Association of Independent Tanker Operators (INTERTANKO);
- Nautical Institute (NI);
- Oil Companies International Marine Forum (OCIMF), and
- Society of International Gas Tanker and Terminal Operators (SIGTTO).

National shipowners' associations, national maritime administrations, classification societies and P&I Clubs also produce many other important publications, and guidance notes, related to safety and environmental protection.

#### **4.0 RMI Marine Notices and Marine Guidelines**

In addition to the relevant provisions of RMI Law ([MI-107](#)) and RMI Regulations ([MI-108](#), [MI-118](#), [MI-293](#), [MI-260](#), [MI-264](#)), RMI [Marine Notices](#) (MN) and RMI [Marine Guidelines](#) (MG) must be taken into account when developing an SMS. These documents include, but are not limited to:

##### **4.1 [Marine Notices](#):**

- [MN-2-011-14](#), Maintenance and Inspection of Fire Protection Systems and Appliances
- [MN-2-011-16](#), International Ship and Port Facility Security (ISPS) Code
- [MN-2-011-33](#), Maritime Labour Convention, 2006 Inspection and Certification Program
- [MN-2-011-37](#), Life Boat Equipment Requirements, Maintenance, and Servicing
- [MN-2-011-39](#), Piracy, Armed Robbery, and the Use of Armed Security
- [MN-2-011-47](#), Plans and Procedures to Recover Persons from the Water
- [MN-2-013-2](#), International Convention for the Prevention of Pollution from Ships, 1973, as Modified by the Protocol of 1978(MARPOL 73/78) Recordkeeping and Reporting Requirements
- [MN-2-013-4](#), Shipboard Oil Pollution Emergency Plan (SOPEP) Approval
- [MN-2-013-12](#), Regulations on Energy Efficiency for Ships
- [MN-2-014-1](#), Ballast Water Management Plans

- [MN-5-034-1](#), Safety Inspection Program
- [MN-5-034-3](#), Operational Safety Checklist for SOLAS 74/78 Requirements
- [MN-7-038-2](#), Minimum Safe Manning Requirements for Vessels
- [MN-7-038-4](#), Principles of Watchkeeping
- [MN-7-041-1](#), Entering Enclosed Spaces Aboard Ships – Safety Precautions
- [MN-7-041-5](#), Electronic Log Book Systems
- [MN-7-041-6](#), Nautical Chart and Publication Carriage and Electronic Chart Display and Information System (ECDIS) Requirements
- [MN-7-042-1](#), Medical Care on Board Ship and Ashore: Medical Chest, Recordkeeping and Responsibilities and Training for Medical Care
- [MN-7-044-1](#), Accommodations, Recreational Facilities, Food, Catering and Water
- [MN-7-045-1](#), Demonstrating Compliance of Seafarer Recruitment and Placement Services
- [MN-7-046-1](#), Articles of Agreement between the Master and Seafarers in the Merchant Service of the Republic of the Marshall Islands
- [MN-7-049-1](#), Hazardous Work and Consideration of Health and Safety Issues for Seafarers Under the Age of 18
- [MN-7-051-1](#), Payment of Wages – Account
- [MN-7-051-2](#), Minimum Hours of Rest
- [MN-7-052-1](#), Repatriation
- [MN-7-053-1](#), On Board Complaint Procedures

#### 4.2 [Marine Guidelines:](#)

- [MG-2-11-3](#), Guidelines on the Basic Elements of a Shipboard Occupational Health and Safety Program
- [MG-2-13-3](#), Oil Record Book Guidelines
- [MG-2-14-1](#), Ballast Water Management
- [MG-5-34-2](#), Guidelines for Undergoing a Port State Control Inspection
- [MG-6-36-1](#), Guidelines on the Control of Ships in an Emergency

- [MG-6-36-2](#), Notification and Reporting of Marine Casualties, Marine Incidents, Occurrences and Offenses
- [MG-7-41-5](#), Stowaways: Prevention of Access; Resolution of Cases
- [MG-7-44-1](#), Food Handling, Storage and Preparation
- [MG-7-45-1](#), Guidance on Seafarer Employment Agreements (SEAs)
- [MG-7-47-1](#), Guidance on Medical Exams and Certificates for Seafarers

## **5.0 ISO 31000:2009 – Risk Management**

The International Organization for Standardization (ISO) 31000 standard published on 13 November 2009 to provide a standard on the implementation of risk management. The purpose of ISO 31000 is to be applicable and adaptable for “any public, private or community enterprise, association, group or individual.” Accordingly, the general scope of ISO 31000 - as a family of risk management standards - is not developed for a particular industry group, management system or subject matter field in mind, rather to provide best practice structure and guidance to all operations concerned with risk management.

ISO 31000 provides generic guidelines for the design, implementation and maintenance of risk management processes throughout an organization. This approach to formalizing risk management practices facilitates broader adoption by Companies who require an enterprise risk management standard that accommodates multiple ‘silo-centric’ management systems.

The scope of this approach to risk management is to enable all strategic, management and operational tasks of an organization throughout projects, functions, and processes to be aligned to a common set of risk management objectives. Accordingly, ISO 31000:2009 is intended for a broad stakeholder group including:

- executive level stakeholders;
- appointment holders in the enterprise risk management group;
- risk analysts and management officers;
- line managers and project managers; and
- compliance and internal auditors;

ISO 31000:2009 addresses the entire management system that supports the design, implementation, maintenance and improvement of risk management processes.

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