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**Internal Audit**

**ISM Code**

**Vessel ISM Internal Audit**

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| **Audit Date(s)** |  |

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| **Auditor(s)** |  |
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| **Vessel** |  |
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| **Nature of the Audit** |  |

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| **A Shipboard Tour** |  |  |  |
| **Bridge** | Yes | No | Remarks |
| Is all navigation and communications equipment fully operational? |  |  |  |
| Are updated versions of nautical publications and IAMSAR Manual (Volume III) available? |  |  |  |
| Are maritime safety information from NAVTEX or EGC checked regularly? |  |  |  |
| Are nautical charts and Notice to Mariners controlled properly? |  |  |  |
| Is ENCs updated in accordance with ECDIS handling procedure in SMS properly? |  |  |  |
| Are standing order or night order issued regularly by the master? |  |  |  |
| **Accommodation** |  |  |  |
| Are all crew accommodation facilities operating correctly? This should include common toilets, Shower & toilet in cabins etc. |  |  |  |
| Are posted Muster lists updated? |  |  |  |
| Is SOLAS training manual controlled properly?  (Available in public space(s)) |  |  |  |
| Are ship's drawings and instruction books controlled properly? |  |  |  |
| Is posted placard for garbage disposal written in language understood by crew? |  |  |  |
| Are there distinctively marked garbage receptacles to receive garbage for recycling? Any receptacles on deck area, poop decks or areas exposed to the weather should be secured on the ship and have lids that are tight and securely fixed. |  |  |  |
| Is watch schedule for watchkeeper posted? |  |  |  |
| Is hospital accommodation ready for emergency use? |  |  |  |
| Are medicaments properly controlled? |  |  |  |
| **Deck** |  |  |  |
| Are LSA and FFA appropriately maintained? |  |  |  |
| Are coating / painting of hull parts and equipment maintained properly? |  |  |  |
| Is the hull and equipment in good order, without damaged, corroded parts (excepting normal wear and tear)? |  |  |  |
| Is the ship free of temporary repairs? (if no, then provide details and reference reports made) |  |  |  |
| **Engine Room** |  |  |  |
| Is all machinery operating correctly? |  |  |  |
| Are escape routes from engine room clearly marked, accessible and in all respects ready for use? |  |  |  |
| Is operating instruction of steering changeover posted? |  |  |  |
| **Comments** | | | |
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| **B INTERVIEWS** | Yes | No |  |
| ***Crew Member 1*** | | | |
| Crew Member |  | | |
| Rank |  | | |
| Join Date |  | | |
| Did they receive familiarization on joining? |  |  |  |
| Were they given essential safety information before sailing? |  |  |  |
| Last time participated in an abandon ship drill? |  | | |
| Knows assigned duties in emergency? |  |  |  |
| Knows how to don a fireman’s outfit and BA? |  |  |  |
| Knows the general emergency alarm? |  |  |  |
| ***Crew Member 2*** | | | |
| Crew Member |  | | |
| Rank |  | | |
| Join Date |  | | |
| Did they receive familiarization on joining? |  |  |  |
| Were they given essential safety information before sailing? |  |  |  |
| Last time participated in an abandon ship drill? |  | | |
| Knows assigned duties in emergency? |  |  |  |
| Knows how to don a fireman’s outfit and BA? |  |  |  |
| Knows the general emergency alarm? |  |  |  |
| ***Crew Member 3*** | | | |
| Crew Member |  | | |
| Rank |  | | |
| Join Date |  | | |
| Did they receive familiarization on joining? |  |  |  |
| Were they given essential safety information before sailing? |  |  |  |
| Last time participated in an abandon ship drill? |  | | |
| Knows assigned duties in emergency? |  |  |  |
| Knows how to don a fireman’s outfit and BA? |  |  |  |
| Knows the general emergency alarm? |  |  |  |
| **Comments** | | | |
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| **C Compliance** | Yes | No |  |
| **Ships Certificates** |  |  |  |
| Are valid statutory certificates, CSR and survey records available onboard? |  |  |  |
| Is the ship informing the company of the validity of statutory certificates? |  |  |  |
| Are valid classification certificates onboard? |  |  |  |
| **Crew Certificates** |  |  |  |
| Do all crew hold a valid medical certificate? |  |  |  |
| Number and nationality of crew? |  | | |
| Is the ship manned in compliance with the Minimum Safe Manning Document? |  |  |  |
| Does each of Master or Officer hold a Certificate of competency or a Dispensation in accordance with STCW? |  |  |  |
| When serving onboard a ship flying Flag of a Country other than the Party, who issued the Certificate, does each of Master or Officer hold, in addition to the above (1.6.7), an Endorsement attesting the Recognition or a Dispensation issued by flag state, or a Documentary proof/evidence that application for an endorsement receipted by the Administration? |  |  |  |
| Are original copies of Master’s or Officer’s Certificates and Endorsements kept on board the ship? |  |  |  |
| Are ratings assigned to part of navigational or engine-room watch duly certificated? |  |  |  |
| **Logbook Entries** |  |  |  |
| Are necessary items entered as per SOLAS requirements? |  |  |  |
| Are necessary items entered as per the SMS? |  |  |  |
| **Oil Record Book & Garbage Record Book** |  |  |  |
| Are necessary entries made to Oil Record Book? |  |  |  |
| Are necessary entries made to Garbage Record Book? |  |  |  |
| **Flag State Requirements** |  |  |  |
| Does the ship comply with flag state requirements? |  |  |  |

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| **D Company** | Yes | No |  |
| Is the company listed on the DOC identical to that reported under ISM 3.1? |  |  |  |

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| **E Designated Person** | Yes | No |  |
| Do the crew know the identity of the DPA? |  |  |  |
| Do the Master and Officers know the DPA’s role? |  |  |  |
| Are the safety and pollution prevention monitoring activities of the DPA sufficient? |  |  |  |

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| **F Masters Responsibility & Authority** | Yes | No |  |
| Is the Master familiar with his responsibilities and authority required by ISM Code Section 5? |  |  |  |
| Has the Master implemented the safety and environmental protection Policy of the Company? |  |  |  |
| Does the Master motivate the crew to respect the Company policy? |  |  |  |
| Does the Master issue appropriate orders and instructions in a clear and simple manner? |  |  |  |
| How did the Master verify that specified requirements have been observed? |  |  |  |
| Is the Master aware of the ***Overriding authority*** and the authority to request the company’s assistance ensured under the ISM Code? |  |  |  |
| Has the Master carried out ***Risk Assessment*** according to the SMS procedure established by the Company? |  |  |  |
| **Comments** | | | |
| The Master is absolutely clear when it comes to his responsibilities and authority with respect to the vessel and appears to have no difficulty in discharging these effectively. | | | |

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| **G Resources & Personnel** | Yes | No |  |
| Have on-board training and instructions been conducted as per the Manual/Procedures? |  |  |  |
| Have newly joined crew members received the Familiarization training required by STCW? |  |  |  |
| Have newly joined crew members received the Familiarization training required by SOLAS within 2 weeks after joining? |  |  |  |
| Have On-board trainings and instructions required by SOLAS conducted regularly? |  |  |  |
| Are SMS related documents given in a language understood by ship’s crew? |  |  |  |
| Are all crew able to read and understand the SMS manual? |  |  |  |
| Are crews able to communicate effectively in the execution/performance of their duties? |  |  |  |
| Is the Master’s SMS awareness on acceptable level? (to be judged at the end of audit) |  |  |  |
| Is the Master given necessary support so that the master’s duties can be safely performed? |  |  |  |

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| **H Shipboard Operations** | Yes | No |  |
| Have the shipboard operations been carried out as per the Company’s SMS? |  |  |  |
| Have operations during departure been performed as per the procedures? |  |  |  |
| Are Daily Reports, i.e. ship’s position, course and speed, etc. sent to the Company indicated on the DOC every day? |  |  |  |
| Have arrival operations been performed as per the procedures? |  |  |  |
| Have pollution prevention operations been performed as per the procedures? |  |  |  |
| Have special operations identified been performed as per the procedures? |  |  |  |
| Rest hours procedures complied with? |  |  |  |
| Alcohol Abuse procedures complied with? |  |  |  |
| **Comments** | | | |
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| **I Emergency Preparedness** | Yes | No |  |
| Is the ship prepared for Emergency Situations identified by the company? |  |  |  |
| Has the company provided the ship with updated emergency contact list? |  |  |  |
| Is the Master familiar with the procedures to respond emergency situations identified? |  |  |  |
| Have drills and exercise for the emergency situations identified been conducted as per the procedures? |  |  |  |
| Are radio personnel aware of how to transmit distress alert under GMDSS? |  |  |  |
| Is SOPEP (SMPEP) properly controlled with the latest emergency contact list? |  |  |  |
| Have mandatory drills been conducted regularly? |  |  |  |
| Has the Company given the master necessary support as per the procedures? |  |  |  |
| **Comments** | | | |
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| **J Maintenance** | Yes | No |  |
| Is the Ship maintained sufficiently in accordance with the relevant rules and regulations and the Company’s requirements? |  |  |  |
| Have maintenance works performed been properly recorded? |  |  |  |
| Have specific measures for important equipment/technical system identified been taken as per the procedures? |  |  |  |
| Are the “maintenance manuals and associated documents” for lifeboats and launching appliances prepared by the manufacturer or service provider controlled properly? |  |  |  |
| Have weekly/monthly inspections and routine maintenance for lifeboats and launching appliances been conducted under the direct supervision of an Officer in accordance with the instructions provided by the manufacturer or service provider? |  |  |  |
| Are the records of inspections, servicing, repairs and maintenance for lifeboats and launching appliance signed by the person who carried out the work and also signed by the Company’s representative or the Master? |  |  |  |
| Are technical deficiencies reported to the Company? |  |  |  |
| Has the company responded to the deficiency reported? |  |  |  |
| Have corrective actions to the deficiency reported been taken? |  |  |  |

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| **K HSQE** | Yes | No |  |
| Were there any reports on NC, accident and hazardous occurrence which were sent ashore? |  |  |  |
| Has the ship been controlled (regardless of detention or not) by PSC since the last audit? |  |  |  |
| Are all PSC inspection records kept onboard? |  |  |  |
| Have any deficiencies identified at inspections by the third parties, such as charterers, P & I club and etc, since the last audit? |  |  |  |
| Have all NCs, accidents and hazardous occurrences which were to be reported, been informed to the Company? |  |  |  |
| Has the company responded to the deficiencies reported? |  |  |  |
| Have corrective actions to the deficiencies reported been taken? |  |  |  |

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| **L Document Control** | Yes | No |  |
| Are all documents and data controlled as per the Company’s SMS? |  |  |  |
| SMS is latest build? |  |  |  |
| Is SMS available to all personnel? |  |  |  |
| Have company's circular letters or information been filed properly and easily identified? |  |  |  |
| Are as-Built Construction Drawings and other plans showing subsequent structural alterations available on board? |  |  |  |

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| **Auditor(s)** | |
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