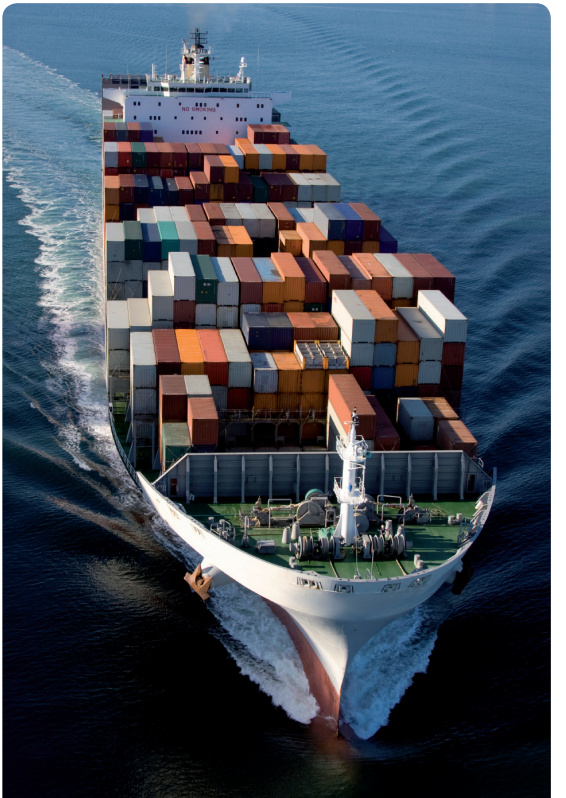
ISM & ISPS pocket checklist

Reducing the risk of Port State Control detentions

In conjunction with: UK P&I CLUB



Lloyd's Register

LIFE MATTERS

Introduction

Port State Control detentions due to ISM failures are becoming more common as the authorities are grouping deficiencies together to justify detaining the ship. The objectives of the International Safety Management (ISM) Code are to ensure safety at sea, prevention of human injury or loss of life, and avoidance of damage to the environment and property. The objectives of the ISPS Code are to ensure security of ships and port facilities. The company is responsible for implementing an effective safety and security management system to ensure these objectives are met. By doing this, the risk to the fleet can be minimised and avoid costly fines and Port State Control detentions. Effective implementation of ISM and ISPS will protect the fleet's reputation and help to get most out of the company's resources.

In conjunction with an industry partner, the UK P&I Club, we have analysed data including deficiencies found by Port State Control Officers relating to ISM & ISPS. The result is this convenient and re-usable Checklist, highlighting the most common deficiencies.

To help reduce these risks, as a minimum, the items on the chart on page 4 should be included as part of your final checks prior to voyage and port entry to ensure they continue to conform to international convention requirements. It is strongly advised that all items in this aide memoire are checked on an ongoing basis to supplement your own operational and maintenance procedures and your flag State's requirements.

This is the fifth in a series of pocket checklists to help you comply with international convention requirements. For information about other checklists in this series please visit **www.webstore.lr.org** or **www.ukpandi.com**

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Are you prepared for a Port State Control Inspection?

PSC officers always commence their inspection in the Master's office. It is essential that certification is up to date, original and valid. All other necessary documents and manuals should, where required, be approved and onboard.

If equipment is broken or missing, or the ship has suffered damage en-route, the Master must notify the port authorities prior to port entry. If the port authorities are informed of the problem and of any permanent or temporary remedies agreed with the flag State, the vessel should not be detained. However, if notice is not given before entry, the Port State has clear grounds for inspection, possibly leading to a detention.

If your ship is detained, or appears to be in the process of being detained, you should contact the nearest Lloyd's Register Group office immediately for assistance.

The major PSC organisations publish their criteria for targeting a ship on their web sites. Ship owners and operators should use these criteria to calculate the target rating of their ships.

Paris MOU - **www.parismou.org**

Tokyo MOU - **www.tokyo-mou.org**

USCG - **http://homeport.uscg.mil/mycg/portal/ep/home.do**
Other MOUs include Abuja, Black Sea, Caribbean, Indian Ocean, Mediterranean, Riyadh and Vina del Mar.

A ship operator may disagree with the findings of the PSC Authority and the majority of the regional PSC organisations have guidelines on how to appeal against a detention. These can also be found on the above web sites.

IMO Procedures for Port State Control, Appendix 1 also provides guidelines on detentions [ISBN: 92-801-5099-5].

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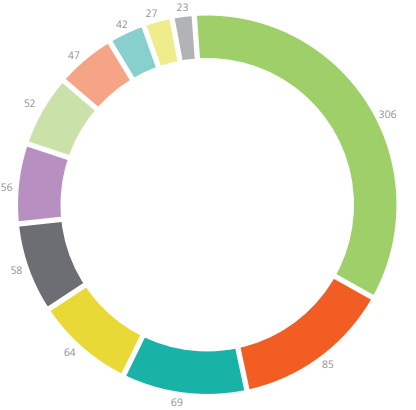
ISM & ISPS deficiencies

The following are the most common ISM/ISPS deficiencies (by number) found by Port State Control officers during the period 2007-2009 on ships classed by Lloyd's Register.



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1. First Impression

The first impression the Port State Authority gain is very important. It will set the scene for any inspections that take place. Take note of:

1. ☐ **Gangway & moorings**
   - in good condition
   - rigged as required (e.g. wires, steps, gangway net, bottom stanchions, man ropes)
   - clean (e.g. no grease from fall wires on steps, handrails, manropes)

2. ☐ **Access control**
   - identification check (check for photo ID)
   - visitors log maintained
   - restricted areas controlled

Rigged gangway

3. ☐ **Appearance of gangway watch, officers and crew**
   - neat working clothes
   - appropriate personal protective equipment
   - professional attitude

4. ☐ **Appearance of accommodation and outside decks**
   - clean
   - tidy
   - well illuminated
   - non slip walkways on outside deck

5. ☐ **PSC officer should be accompanied by senior officer(s) during inspection, tour of the vessel etc.**
   - the accompanying officer(s) should have keys readily available to access secured areas and lockers

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2. Certificates and Documents

Certificates and documents must be valid, carried onboard and available for review.

Certificates:

1. ☐ **All required classification, statutory and other trading certificates are readily available**
2. ☐ **A copy of the company's document of compliance (DoC) with the endorsements for annual verifications**
3. ☐ **Safety Management Certificate (SMC)**
4. ☐ **International Ships Security Certificate (ISSC)**
5. ☐ **The latest issue of the Continuous Synopsis Record (CSR) is available and valid (see also Note 1). The file of previously issued CSR's is complete**

Notes:

1. The name, Company ID number and address of the Company and ship type must be the same on SMC, DoC, ISSC and CSR.
2. Reference to required certification and documentation can be found in MSC/Circular.1151 (as amended or superseded).

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2. Certificates and Documents - continued

Documents:

6. ☐ **All ISM manuals, procedures and instructions are available in the latest revisions**

7. ☐ **A copy of the company's Safety and Environmental policy is available**

8. ☐ **All records required by the ISM procedures are available and completed as required**

9. ☐ **Ship's library, documentation and manuals are valid, complete and available as applicable and as required by the procedures and Flag**

10. ☐ **The approved Ship Security Plan (SSP) is available, including evidence of the approval (Approval Letter and Report)**

Notes:

1. The relevant procedures, instructions and records must be in the working language or languages understood by all personnel.
2. Evidence that the SSP has been submitted for approval may be acceptable in special circumstances.
3. All officers and crew should have access to the relevant procedures and instructions, including the Life Saving Appliances and Fire Safety training manuals that should be available in the officers and crew lounges.
4. It is recommended that notice boards are kept up to date to highlight safety bulletins, procedural changes, contact details, work and rest hours and other relevant information.

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3. System Management

The effectiveness of the Safety Management System is to be analysed and reviewed. Opportunities for improvement of the system are to be identified and implemented. The following are some of the key aspects to achieve this:

1. **The Master's Reviews are carried out as required and relevant identified action items are addressed**
2. **Internal audits are held as required by the Management System, at intervals not exceeding twelve months. Reports are to be made available on board**
3. **External audits are held as required by the ISM Code, reports are available on Board**
4. **Procedures for reporting non-conformities, accidents, incidents and near misses, analysis and follow-up are implemented. Required corrective and preventive actions are carried out and verified for satisfactory implementation**
5. **All identified risks to its ships, personnel and the environment are assessed and appropriate safeguards established. Evidence of the risk assessments need to be available ISM & ISPS**

Reviewing the Safety Management System

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4. Resources and Personnel

Ensuring that personnel are competent, qualified, medically fit, well rested and fully familiar with their duties and responsibilities is a key aspect of an effective safety management system.

1. ☐ **The number of personnel meets the requirements of the Minimum Safe Manning Certificates**

2. ☐ **Up-to-date crew list is available**

3. ☐ **Standards of Training, Certification & Watchkeeping (STCW) certification is available as required for all personnel**

4. ☐ **Medical fitness certificates are available for all personnel**

5. ☐ **Crew members have received familiarization and other required training**

6. ☐ **Crew members are familiar with:**
   - the company's safety and environmental protection policy
   - their duties and responsibilities as identified in the Safety Management System (SMS) and in the Ship Security Plan (SSP)
   - officers are familiar with the identity, duties and contact details of the Designated Person Ashore (DPA)

7. ☐ **The Ship Security Officer (SSO) is trained and certified in accordance with STCW requirements and is familiar with his or her duties**

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4. Resources and Personnel - continued

8. ☐ **All personnel can communicate effectively in the working language of the ship or another language readily understood**

9. ☐ **Work and rest hours are as required and accurate records are available**

10. ☐ **Master's responsibility and authority is clearly defined, documented and understood**

Notes:

1. All required certification and seafarer documentation should be available as originals.
2. STCW certification includes Certificates of Competency, Flag State Endorsements or evidence of application for same / Confirmation of Receipt of Application, ship type specific endorsements.
3. Evidence is to be available to show all seafarers have received the necessary training for all their duties, including shipboard specific duties. Records of familiarisation when joining the vessel should also be kept.

Alert! is a quarterly newsletter raising human element awareness initiative. Alert! and an associated web site **www.he-alert.org** describes and illustrate the human element within every aspect of the maritime industry, from equipment manufacturers to ship owners to naval architects to seafarers.

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5. Inspection and Maintenance

Maintenance of the ship and equipment is the most common ISM deficiency found by Port State Control. The ship and all equipment are to be inspected regularly, well maintained and ready for operation at all times.

1. ☐ **Inspection and preventative maintenance of all equipment, machinery and structures are carried out as required by the Management System**

2. ☐ **Maintenance and inspection routines are carried out by competent officers / personnel and under supervision of heads of department**

3. ☐ **All Life Saving Appliances and Fire Fighting Equipment are in good working condition and ready for immediate use**

4. ☐ **Records of inspection, maintenance, testing and calibration are readily available**

Maintenance and inspection routines

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5. Inspection and Maintenance - continued

Maintenance of the ship and equipment is the most common ISM deficiency found by Port State Control. The ship and all equipment are to be inspected regularly, well maintained and ready for operation at all times.

5. ☐ **Identified defects and deficiencies are acted on promptly and their status is controlled, including the appropriate follow up**

6. ☐ **Defects and deficiencies have been reported to the company, class society, flag administration, Recognized Organisation and/or port authorities as necessary**

7. ☐ **Sufficient spare parts are available in accordance with the requirements of the management system for the safe operation of the vessel**

8. ☐ **The status of requisitions is controlled**

9. ☐ **Housekeeping, cleanliness and hygiene are satisfactory in all areas**

10. ☐ **Equipment and technical systems, the sudden operational failure of which may result in hazardous situations, has been identified and the maintenance is carried out as required and sufficient spare parts are available**

Note:

Details of some of the above points can be found in the other Pocket checklists produced by Lloyd's Register; Port State Inspections, Life Saving appliances, Marine Fire Safety & Marine Pollution Prevention – all available from **www.webstore.lr.org** or **www.ukpandi.com**

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6. Emergency Preparedness

All seafarers are to be fully familiar with their duties and responsibilities in an emergency situation and all emergency equipment is to be well maintained and ready for use.

1. ☐ **Procedures are available for all potential emergency situations**

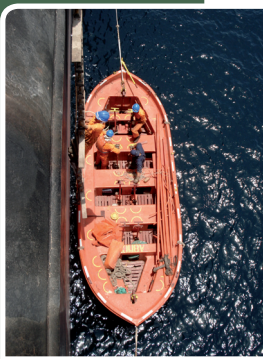
2. ☐ **The Muster List is up to date and meets SOLAS requirements**

3. ☐ **Fire Control plans are up to date and reflect the equipment on board. Fire plans are identical in all locations**

4. ☐ **All personnel are familiar with:**
   - the alarm signals
   - their muster station
   - their duties in case of an emergency

5. ☐ **A programme for Drills and Exercises is in place (Including all identified potential emergency situations)**

6. ☐ **Drills and exercises are held and documented as required**



Lifeboat drill

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6. Emergency Preparedness - continued

7. ☐ **Drills and exercises are relevant, reviewed on completion and learning points are identified**

8. ☐ **All emergency equipment is well maintained and ready for use**

9. ☐ **Emergency escapes are free from any obstruction**

10. ☐ **Emergency contact details for the company are readily available**

11. ☐ **Emergency contact details for the port – including Agent, P&I Club, Port control/Harbour Master, Pollution control and emergency services are readily available**

Notes:

1. The Muster List must include all details required by SOLAS Ch III Reg 37, including clearly identified responsibilities and duties, defined substitutes for key personnel and the identification of the officer(s) responsible for maintenance and inspection of Life Saving Appliances and Fire Fighting Equipment.

Drill notes:

1. Some PSC Officers will require crew to carry out abandon ship and fire drills. Crew must be able to demonstrate familiarity with the equipment and be able to carry out their duties quickly and competently.
2. It's advisable to use different scenarios when carrying out drills so that the crew is ready and prepared for different emergency situations. Ensure that details of these drills are recorded.
3. Photographic records with dates as evidence of drills being held can be used.

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7. Shipboard Operations

Procedures, plans and instructions are to be established and implemented for key shipboard operations concerning the safety of the personnel, ship and protection of the environment.

1. ☐ **Procedures are available for all key shipboard operations**
2. ☐ **Responsibilities and duties are clearly assigned to qualified personnel**
3. ☐ **All personnel are familiar with their duties and responsibilities**
4. ☐ **Procedures are implemented effectively and records maintained as required**

Keeping charts up to date

Notes:

Examples of key shipboard operations include, but are not restricted to:

- cargo and ballast operations
- voyage planning and navigation
- pre-arrival and departure checks
- watch keeping
- bunkering operations
- management of oily residues, sludge and oily water
- safe working procedures such as e.g. enclosed space entry, working aloft / over the side, hot work, etc.
- garbage handling

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8. ISPS

Ship Security controls are to be established and implemented at all times.

1. ☐ **Access control procedures are clearly implemented and the personnel in charge of access control are familiar with their duties**

2. ☐ **The Ship Security Plan (SSP) and related records are protected from unauthorized access or disclosure**

3. ☐ **The relevant officers are aware to which parts of the SSP limited access may be allowed (see ISPS Code)**

4. ☐ **The Security Level is set correctly as required by the Flag State and Port Authorities and all personnel are aware of the current level**

5. ☐ **Ship's stores are checked on receipt and stowed promptly, in accordance with levels set by SSP**

6. ☐ **All security equipment is maintained, calibrated and tested as required by their manuals and the SSP Gangway watch**

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8. ISPS - continued

7. ☐ **Drills are carried out regularly as per ISPS Code and SSP**

8. ☐ **Restricted areas are clearly identified and marked as required by the SSP. Access to and activity within Restricted Areas is controlled as required by the SSP**

9. ☐ **Searches are carried out in accordance with the level set by the SSP**

10. ☐ **Ship Security Alert System (SSAS) is operational and records for tests and maintenance available**

11. ☐ **Company Security Officer (CSO) or designated representative is available at all times. The CSO can be readily identified by SSO and applicable officers and crew. Contact details are available**

12. ☐ **Security arrangements do not compromise safety, see notes**

13. ☐ **Records are maintained and retained as required by the SSP and ISPS Code A 10.1**

Notes:

1. Securing arrangements should not prevent immediate access to Life Saving Appliances, Fire Fighting Equipment and SOPEP materials in an emergency situation.
2. It must be possible to open doors along escape routes from both sides (MSC Circular 847, regulation 45 refers). This includes emergency escapes and doors to the accommodation and wheelhouse.

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