



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

Team Leader :	Manish Gupta
Team Member(s)/Trainee Auditor :	
Assessment :	<del>Company</del> /Ship
Type of Assessment :	Additional
Company Name :	A. K. Ship Management & Services
Ship Name :	AKSHIP 9

::objectives-25-no

1. General /Objective	Yes	No	NC / Obs
<b>1.2.2. Objectives of the Company</b> Objectives of the Company: Assess all identified risks to its ships, personnel and the environment <b><u>Objective evidence/Remarks by auditor</u></b> <b>Included in company of SMS manual. Risk assessment found carried out for key shipboard operations.</b>	::objectives-1-yes	::objectives-1-no	::observations-1
<b>1.2.2. Objectives of the Company</b> Company objectives also establish safeguards against all identified risks. <b><u>Objective evidence/Remarks by auditor</u></b> <b>Control measures established for identified risks. Safety Management manual, includes procedures for key shipboard operations</b>	::objectives-2-yes	::objectives-2-no	::observations-2
<b>1.2.2. Objectives of the Company</b> Company objectives continuously improve safety management skills of personnel ashore and aboard ships. <b><u>Objective evidence/Remarks by auditor</u></b> <b>Master, C/E, C/O interviewed satisfactorily for familiarisation with class and statutory requirements.</b>	::objectives-3-yes	::objectives-3-no	::observations-3



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p><b>1.2.3.1 SMS Complies With Rules &amp; Regulations</b></p> <p>SMS (Safety Management System) complies with mandatory rules &amp; regulations. This shall include all statutory and classification certificates to ensure that they are valid and that no surveys / audits / recommendations / non conformities are overdue and that the related CSRs are also updated.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Vessel having valid class and statutory certificate</b></p>	::objectives-4-yes	::objectives-4-no	::observations-4
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2. Safety and environmental policy	Yes	No	NC / Obs
<p><b>2.1 Safety and environmental Policy</b></p> <p>Company has established a safety and environmental-protection policy, which describes how the objectives described in paragraph 1.2 of ISM Code will be achieved.</p> <p>Company ensures that the policy is implemented and maintained at all levels of the organization, both ship-based and shore based.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Company safety and environment protection policy included in the Company Manual, policy is implemented and maintained. Policy found displayed in Bridge, ECR, in Mess room. Ship staff found aware of the policy. verified during the interview of chief Engineer and second office.</b></p>	::objectives-5-yes	::objectives-5-no	::observations-5
3. Company Responsibility and Authority	Yes	No	NC / Obs
<p><b>3.1 Identification of Responsible Operator</b></p> <p>Identification of responsible operator, if not the owner, reported to the Administration.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>COR , DOC and existing SMC certificate verified for responsible operator and reflecting satisfactorily.</b></p>	::objectives-6-yes	::objectives-6-no	::observations-6



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<b>3.2 Responsibilities and Authorities of Responsible Personnel</b>  Responsibilities, authorities and interrelations of responsible personnel.  <u>Objective evidence/Remarks by auditor</u>  Shipboard personnel 2nd Engineer, Master, 2/O interviewed and responded satisfactorily for their responsibilities.	::objectives-7-yes	::objectives-7-no	::observations-7
<b>3.3 Resources for Designated Person ensured</b>  Adequate resources and shore based support are provided.  <u>Objective evidence/Remarks by auditor</u>  Vessel was due for special survey and defect list verified. Availability of resource examined . Mr. Vinayak Sawant and Dileep Seth owners'representative interviewed for shore support.	::objectives-8-yes	::objectives-8-no	::observations-8
<b>4. Designated Person(s)</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>
<b>4. Designated Person</b>  Responsibilities and Authorities include monitoring the safety and pollution-prevention aspects of the operation of the ship and ensuring that adequate resources and shore-based support are applied (DPA is properly qualified and every change of DPA is reported to the Administration)  <u>Objective evidence/Remarks by auditor</u>  Details of DPA displayed onboard. Crew randomly enquired and responded satisfactorily.	::objectives-9-yes	::objectives-9-no	::observations-9
<b>5. Master's Responsibility and Authority</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>
<b>5.1.1 Implementation of safety and Environmental-protection Policy</b>  Implementation of the safety and environmental-protection policy of the Company.  <u>Objective evidence/Remarks by auditor</u>  Found implemented satisfactorily. Master and chief engineer interviewed satisfactorily	::objectives-10-yes	::objectives-10-no	::observations-10



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<b>5.1.2 Motivation of Crew</b> Motivation of crew in the observation of that policy. <b>Objective evidence/Remarks by auditor</b> <b>Verified Safety committee meeting Held on 16/05/2021 in participation with all crew. Also master observed during drill and audit.</b>	::objectives-11-yes	::objectives-11-no	::observations-11
<b>5.1.3 Clear and Simple Orders</b> Issuance of appropriate orders and instructions in a clear and simple manner. <b>Objective evidence/Remarks by auditor</b> <b>Verified master standing order and night order book.</b>	::objectives-12-yes	::objectives-12-no	::observations-12
<b>5.1.4 Verification of Specified Requirements</b> Verification that specified requirements are observed. In case of persons other than crew sailing on board, verification that requirements are observed. <b>Objective evidence/Remarks by auditor</b> <b>No persons other than crew sailing on board. Verified manning as according to SMD.</b>	::objectives-13-yes	::objectives-13-no	::observations-13
<b>5.1.5 Review &amp; Reports on S.M.S. are sent the shore</b> Periodically review of the SMS and reporting of its deficiencies to the shore-based management <b>Objective evidence/Remarks by auditor</b> <b>Monthly report of May 2021 examined and master interviewed. Drill record, Ship's parameter, work done report etc found send to ashore for review as required by SMS .</b>	::objectives-14-yes	::objectives-14-no	::observations-14
<b>5.2 Master's Overriding Authority</b> SMS contains a clear statement emphasizing the master's authority. <b>Objective evidence/Remarks by auditor</b> <b>Included in ship's SMS manual . Found master aware about requirements.</b>	::objectives-15-yes	::objectives-15-no	::observations-15
<b>6. Resources and Personnel</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p><b>6.1.1 Master's Qualification</b></p> <p>Verify the Master's qualification.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Master COC, Medical and STCW certificate verified and found satisfactory.</b></p>	::objectives-16-yes	::objectives-16-no	::observations-16
<p><b>6.1.2 Master is conversant with SMS</b></p> <p>Verify that the Master is fully conversant with the SMS.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Master interviewed for awareness of Internal audit, SMS review, overriding authority, record keeping , correspondence from shore staff, DPA etc during audit and responded satisfactorily.</b></p>	::objectives-17-yes	::objectives-17-no	::observations-17
<p><b>6.1.3 Master is supported to perform his duties</b></p> <p>Verify that necessary support is given to the Master to perform his duties safely.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Master has been provided with manpower as per SMD . Necessary stores, workshop support &amp; spares, etc provided satisfactorily.</b></p>	::objectives-18-yes	::objectives-18-no	::observations-18
<p><b>6.2.1 Crew qualification, certification and medical fitness</b></p> <p>Verify the ship is manned with qualified, certified and medically fit seafarers. Manning provided on board meets the requirement of Minimum Safe Manning issued by the Administration to the operating Company.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Vessel found manned as per SMD. CoCs, watch-keeping certificates, STCW course certificates &amp; medical fitness records verified &amp; found satisfactory.</b></p>	::objectives-19-yes	::objectives-19-no	::observations-19



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p><b>6.2.2 Vessel manning</b></p> <p>Verification that the vessel is appropriately manned in order to encompass all aspects of maintaining safe operation on board as defined by IMO resolution A.1047(27). Verify crew work/rest hours records.</p> <p><b>Objective evidence/Remarks by auditor</b></p> <p><b>Confirmed by verifying work and rest hours for crew and officers</b></p>	::objectives-20-yes	::objectives-20-no	::observations-20
<p><b>6.3 New/Transferred Personnel Familiarization</b></p> <p>New / transferred personnel to new assignments, related to safety and protection of the environment are being familiarised with their duties.</p> <p><b>Objective evidence/Remarks by auditor</b></p> <p><b>Newly joined persons interviewed Vaibhav Singh(OS) and Sandeep Kumar(AB) found familiar with their safety related duties.</b></p>	::objectives-21-yes	::objectives-21-no	::observations-21
<p><b>6.4 Understanding Rules, Regulations, Codes and Guidelines</b></p> <p>All personnel involved in the SMS have adequate understanding of relevant rules, regulations, codes and guidelines.</p> <p><b>Objective evidence/Remarks by auditor</b></p> <p><b>C/E, 2/E and 2/O interviewed for awareness .</b></p>	::objectives-22-yes	::objectives-22-no	::observations-22
<p><b>6.5 Identification of Training Needs and Training imparted</b></p> <p>Identification of training needs and confirmation that such training is provided.</p> <p><b>Objective evidence/Remarks by auditor</b></p> <p><b>Shipboard training requirements verified with master and owner representative Mr. Vinayak Savnt and Deepak Sath interviewed</b></p>	::objectives-23-yes	::objectives-23-no	::observations-23



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p><b>6.6 SMS documentation is in Working language</b></p> <p>Personnel receive relevant information on the SMS in working language understood by them.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Vessel working language is ENGLISH as per SMS. During audit personnel found able to understand and communicate in working language. Onboard documentation, standing orders , night order were found in English.</b></p>	::objectives-24-yes	::objectives-24-no	::observations-24
<p><b>6.7 Effective Communication between ship's personnel (language)</b></p> <p>Personnel are able to communicate effectively in the execution of their duties related to the SMS</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Verified during opening and closing meeting, safety drill and during gangway access control</b></p>	::objectives-25-yes		::observations-25
<b>7. Shipboard Operations</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>
<p>Procedures, plans and instructions, including checklists as appropriate, for key shipboard operations are available</p> <p>The various tasks are defined and assigned to qualified personnel.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Shipboard procedures are defined SMS. Defficiency found during verification of procedure and a NC recommended.</b></p>	::objectives-26-yes	::objectives-26-no	::observations-26



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p><b>Measures to address coronavirus (COVID-19) risks to ship personnel and personnel involved in ship/port interface</b></p> <p>Plans, procedures, including checklists as appropriate, based on latest guidelines from IMO, WHO, IMHA and flag/port State (such as WHO document "Operational considerations for managing COVID-19 cases or outbreaks on board ships", IMO Circular letter No. 4204/Add. 1 to 16) are available and are being followed on board. These include procedures relating to interaction, personal protective equipment (PPE), social distancing, hygiene and testing.</p> <p><b><u>Objective evidence/Remarks by auditor</u></b></p> <p><b>Crew found wearing necessary PPE. Crew found to be aware of for necessary precaution and measures to be taken. Company circular ship guidance and port guidelines followed.</b></p>	::objectives-27-yes	::objectives-27-no	::observations-27
<p><b>IMO Data Collection System (DCS) for fuel oil consumption</b></p> <p>Fuel oil consumption and other requisite data, as per Appendix IX of MARPOL Annex VI, is collected in accordance with SEEMP – II</p> <p><b><u>Objective evidence/Remarks by auditor</u></b></p>	::objectives-28-yes	::objectives-28-no	::observations-28
<p><b>EU Monitoring, Reporting and Verification (MRV) of CO2 emissions</b></p> <p>For ships making voyage to/from/within EU, fuel consumption and other requisite data, as per EU MRV Regulation, is collected in accordance with Monitoring Plan examined by an accredited verifier</p> <p><b><u>Objective evidence/Remarks by auditor</u></b></p> <p><b>NA</b></p>	::objectives-29-yes	::objectives-29-no	::observations-29





# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p><b>Maintenance and management of IHM (Inventory of Hazardous Materials) in the context of EU Ship recycling Regulation (for EU flag ships and w.e.f. 01.01.2021 for non-EU flag ships calling EU ports/anchorages)</b></p> <p>A person has been designated as responsible for maintaining and updating IHM and this person is aware of his duties, as incorporated in SMS. Procedures for non-installation or non-usage of prohibited and/or restricted hazardous materials have been established and are being implemented. Procedures for updating of IHM during scheduled or unscheduled works including changes, replacement or repairs have been included in SMS and are being followed. Updated IHM and an archive of associated documentation, such as Material Declarations and Supplier's Declaration of Conformity, is maintained.</p> <p><b><u>Objective evidence/Remarks by auditor</u></b></p> <p>NA</p>	::objectives-30-yes	::objectives-30-no	::observations-30
<p><b>Measures on prohibition and detection of asbestos on board</b></p> <p>From 1 January 2011, any new installations do not have Asbestos Containing Materials (ACMs), reference SOLAS Chapter II-1 Reg. 3-5.</p> <p>For installations prior 1 January 2011, ACMs, where allowed, are managed properly and SMS includes an Asbestos Management Plan, taking into account MSC/Circ. 1045.</p> <p><b><u>Objective evidence/Remarks by auditor</u></b></p>	::objectives-31-yes	::objectives-31-no	::observations-31
<p><b>Cyber Risk Management</b></p> <p>Are cyber risks appropriately addressed in the safety management system and implemented, as applicable. (checklist IRS/ISM/CYS-CL to be filled up for verification)</p> <p>For installations prior 1 January 2011, ACMs, where allowed, are managed properly and SMS includes an Asbestos Management Plan, taking into account MSC/Circ. 1045.</p> <p><b><u>Objective evidence/Remarks by auditor</u></b></p> <p>Refer details of NC</p>	::objectives-32-yes	::objectives-32-no	::observations-32
<b>8. Emergency preparedness</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>
<p>1. If any emergency drill has been witnessed during the audit, kindly indicate the type of emergency drill witnessed e.g. fire in engine room / grounding / man overboard etc.</p>			



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p><b>8.1 Identification, description and response to emergency situations</b></p> <p>Identification of potential emergency shipboard operations and response to these emergency operations.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Company has identified emergencies and response to emergency situations. Drill planner examined .Chief engineer and ch.officer interviewed during audit . Approved SOPEP Manual available - Contact list last updated .</b></p>	::objectives-33-yes	::objectives-33-no	::observations-33
<p><b>8.2 Emergency drills and exercises (ship/shore)1</b></p> <p>Programmes for emergency drills and exercises. Give details of emergency drill carried out during the audit.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Ship shore drill conducted on 22/05/2021</b></p>	::objectives-34-yes	::objectives-34-no	::observations-34
<p><b>8.3 Company emergency response measures</b></p> <p>Company response measures at any time to hazards, accidents and emergency situations involving its ships.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Contact nos. of DPA, CSO, PFSO, etc displayed at common spaces.</b></p>	::objectives-35-yes	::objectives-35-no	::observations-35
<b>9. Report and Analysis of Non-Conformities, Accidents and Hazardous Occurrences</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>
<p><b>9.1 Reporting, Investigation &amp; Analysis of NCs and hazardous occurrences</b></p> <p>Reported to the Company, investigated &amp; analysed with the objective of improving safety and pollution prevention, including near misses.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Incident/accident file found available .Nil incident reported</b></p>	::objectives-36-yes	::objectives-36-no	::observations-36



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p><b>9.1 Reporting, Investigation &amp; Analysis of NCs and hazardous occurrences</b></p> <p>Verification of records of previous PSC / FSI Inspections and IACS PR 17 deficiencies (ship detained or not). Confirmation, through records or audits, that these deficiencies have been effectively corrected. List of PSC / FSI record(s) verified</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>1.FSI records verified. FSI carried out on 02.02.2021, with deficiencies and closed subsequently except deficiency no 1 i.e. "Stability Booklet, LSA, SSP Plan etc, sewage discharge criteria not endorsed by the class". FSI has recommended to close deficiency by 15/07/2021.</b></p> <p><b>Deficiency now examined for rectification found plans now signed by the class.</b></p> <p><b>2. One NC was raised during internal audit 09/03/2021. Same closed by auditor.</b></p>	::objectives-37-yes	::objectives-37-no	::observations-37
<p><b>9.2 Corrective Action (CA)</b></p> <p>Implementation of corrective and preventive actions, including measures intended to prevent recurrence.</p> <p><u>Objective evidence/Remarks by auditor</u></p>	::objectives-38-yes	::objectives-38-no	::observations-38
<b>10. Maintenance of the Ships and Equipment Yes No NC / Obs</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>
<p><b>10.1 Maintenance in Conformity with Relevant Rules, Regulations and any additional requirements from the Company</b></p> <p>Maintenance to be in conformity with relevant Rules &amp; Regulations and with any additional requirements which may be established by the company (including classification and statutory records).</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Maintenance found being done as per PMS. PMS record verified for Jun 2021 verified and found satisfactory.</b></p>	::objectives-39-yes	::objectives-39-no	::observations-39



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p><b>10.2.1 Inspection at appropriate intervals</b></p> <p>Verify that inspections are held at appropriate intervals.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p>Monthly log abstract for May 2021 examined Log book of deck and engine room May 2021 and April 2021 examined.</p>	::objectives-40-yes	::objectives-40-no	::observations-40
<p><b>10.2.2 Reports of NC and its possible cause</b></p> <p>Verify that any non-conformity is reported</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p>Defect list of Jun 2021 examined.</p>	::objectives-41-yes	::objectives-41-no	::observations-41
<p><b>10.2.3 Appropriate Corrective Action</b></p> <p>Verify appropriate Corrective Action is taken.</p> <p><u>Objective evidence/Remarks by auditor</u></p>	::objectives-42-yes	::objectives-42-no	::observations-42
<p><b>10.2.4 Records of these activities are maintained</b></p> <p>Verify that records of these activities are maintained.</p> <p><u>Objective evidence/Remarks by auditor</u></p>	::objectives-43-yes	::objectives-43-no	::observations-43
<p><b>10.3 Critical Equipment and Systems Identified / Measures to Promote Reliability</b></p> <p>Identification of equipment and technical systems the sudden operational failure of which may result in hazardous situation.</p> <p>SMS provides measures to promote reliability, including regular testing of standby arrangements and equipment or technical system that are not in continuous use</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p>Critical equipment list examined. Found entire critical equipment revised according to ship type in line with requirement of CA/PA subsequent to NC No 4 raised in DOC audit held in 2021.</p>	::objectives-44-yes	::objectives-44-no	::observations-44



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p><b>10.2, 10.3 &amp; 10.4 integrated into the ship's maintenance routine</b></p> <p>Verify that 10.2, 10.3 &amp; 10.4 are integrated into the ship's maintenance routine.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Vessel is having paper based PMS .</b></p>	::objectives-45-yes	::objectives-45-no	::observations-45
<b>11. Documentation</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>
<p><b>11.1 SMS Documents and Data Control</b></p> <p>Procedure to control all documents and data which are relevant to the SMS (when a document review is required a copy of the SMS control page shall be attached).</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>SMS documentaion found maintained satisfactorily. Records of charts correction, nautical publications, garbage log, SEA, watch- keeping schedule, ORB, engine log, found maintained satisfactory.</b></p>	::objectives-46-yes	::objectives-46-no	::observations-46
<p><b>11.2.1 Valid Documents available at all relevant locations</b></p> <p>Verify that valid documents are available at all relevant locations.</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Documents verified and found in order. Ship certificates, Master SMS review, Drill record , Training record kept in custody of Master. Bunkering Checklist, Risk assessment form, and hot work permit available with C/E.</b></p> <p><b>Corrective action of DOC NC No 3 done and risk assessment D15 modified .</b></p>	::objectives-47-yes	::objectives-47-no	::observations-47
<p><b>11.2.2 Changes to documents reviewed and approved by authorized personnel</b></p> <p>Verify that changes of documents are reviewed and approved by authorised personnel</p> <p><u>Objective evidence/Remarks by auditor</u></p> <p><b>Controlled documents kept in custody of master. Same revied and found in order.</b></p>	::objectives-48-yes	::objectives-48-no	::observations-48



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<b>11.2.3 Obsolete documents promptly removed</b> Verify that obsolete documents are promptly removed. <b>Objective evidence/Remarks by auditor</b> SMS manual , class and certificate folder, servicing record examined and found updated.	::objectives-49-yes	::objectives-49-no	::observations-49
<b>2. In case last two internal audits were not carried within 12 months, please report reason for same</b> <b>3. Applicable for Company audit.</b>			
<b>11.3 Relevant documentation kept onboard the ship</b> The documents used to describe and implement the SMS may be referred to as the Safety Management Manual Relevant documentation shall be kept on board the ship. <b>Objective evidence/Remarks by auditor</b>	::objectives-50-yes	::objectives-50-no	::observations-50
<b>12. Company Verification, Review and Evaluation</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>
<b>12.1 Internal Safety Audits of activities<sup>2</sup></b> Internal safety audits onboard and ashore performed to verify whether safety and pollution-prevention activities comply with the SMS in intervals not exceeding twelve months. Give date of last two internal audits. <b>Objective evidence/Remarks by auditor</b> Internal audit done on 09/03/2021.	::objectives-51-yes	::objectives-51-no	::observations-51
<b>12.2 Period for assessment of those performing delegated ISM tasks<sup>3</sup></b> Verification that Company periodically assesses whether all those undertaking delegated ISM related tasks(internal personnel and subcontractors) are acting in conformity with the Company's responsibilities under the ISM Code <b>Objective evidence/Remarks by auditor</b> Not applicable.	::objectives-52-yes	::objectives-52-no	::observations-52
<b>12.3 SMS Evaluation &amp; Review</b> Periodical evaluation of its effectiveness and, when needed, revision of the SMS <b>Objective evidence/Remarks by auditor</b> NC sk/01 raised	::objectives-53-yes	::objectives-53-no	::observations-53



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<b>12.4 Audits and CA</b>  Audits and corrective actions, in accordance with documented procedures.  <u>Objective evidence/Remarks by auditor</u>  Initial audit . Extenal audit not done so far	::objectives-54-yes	::objectives-54-no	::observations-54
<b>12.5 Independence of Auditors</b>  Auditors shall be independent of the areas being audited (unless this is impracticable).  <u>Objective evidence/Remarks by auditor</u>  During DOC audit NC No 1 raised for independance of internal auditor .Company procedure in process of revision for CA/PA of NC raised.	::objectives-55-yes	::objectives-55-no	::observations-55
<b>12.6 Communication of audit results</b>  Communication of audit results and reviews of all personnel having responsibility in the area involved.  <u>Objective evidence/Remarks by auditor</u>  Audit results were communicated to all concerned department.	::objectives-56-yes	::objectives-56-no	::observations-56
<b>12.7 Implementation of timely CA</b>  Management takes timely corrective action on deficiencies found.  <u>Objective evidence/Remarks by auditor</u>	::objectives-57-yes	::objectives-57-no	::observations-57
<b>13. Certification and Periodical Verification</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>
<b>13.1 Document of Compliance (DOC) for relevant Ship Type</b> <b>13.2 Issuing Authority and validity</b> <b>13.3 Document of Compliance (DOC) Ship Type</b>  (Document Of Compliance) is relevant to ship type and flag administration (Verify copy of DOC with latest endorsement is available on board. Attach copy with report).  <u>Objective evidence/Remarks by auditor</u>  Valid DOC for other cargo ship type copy found available on board.	::objectives-58-yes	::objectives-58-no	::observations-58



# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

All periodical audits performed accordingly (in the company and on board the ship(s))  <u>Objective evidence/Remarks by auditor</u>  Internal audits found carried out within after three months from interim SMC audit.	::objectives-59-yes	::objectives-59-no	::observations-59
13.6 Copy of DOC on board (not required to be authenticated or certified) <u>Objective evidence/Remarks by auditor</u>  Verified onboard.	::objectives-60-yes	::objectives-60-no	::observations-60
NCs for last audit closed effectively  Corrective and preventive actions for NCs recorded during last SMC and DOC audit found effective (In case of SMC audit, this includes actions as planned for NCs raised during previous DOC audit, if relevant to this ship)  <u>Objective evidence/Remarks by auditor</u>  01 Nc raised durin internal audit same closed satisfactorily.	::objectives-61-yes	::objectives-61-no	::observations-61
General examination during shipboard audit	Yes	No	NC / Obs
Deck, engine, bridge and accommodation areas visited to gain an overall impression of housekeeping and the condition of the ship and equipment, observe shipboard operations being conducted, observe emergency drills as appropriate and conduct interviews with ship's crew as appropriate.  Where weather conditions prevent safe access to certain areas this shall be documented  <u>Objective evidence/Remarks by auditor</u>  General examination of the vessel carried out, and safety drill ( Fire in Galley ) witnessed satisfactorily.	::objectives-62-yes	::objectives-62-no	::observations-62
Specific Flag Requirements	Yes	No	NC / Obs





# ASSESSMENT CHECKLIST

REPORT NO. : BOM22SMC011

DATE : 13/06/2022

<p>Specific Flag requirements complied with (Refer Instructions to Surveyors – Circular No. D.13 and Flag circulars)</p> <p><b><u>Objective evidence/Remarks by auditor</u></b></p> <p><b>A)Verified compliance to following flag administration now verified and found implemented satisfactorily:-</b></p> <p><b>1. Prohibition of Single Use Plastic. (DGS Order 5 of 2019 and addendum thereto)</b></p> <p><b>2. FSI as required by MS Notice 04 of 2017</b></p> <p><b>3. DGS Swachh Sagar portal and Advance Notification Form (ANF) are being raised on Portal.</b></p> <p><b>B) DOC NO No 3 :Risk assessment forms DE 15revised and in draft stage the provision likelihood/probabilty for identification of hazards inducted.</b></p> <p><b>C)DOC NC No 5 : Crew wages paid untill May 2021.</b></p>	::objectives-63-yes	::objectives-63-no	::observations-63
<b>Additional Audit</b>	<b>Yes</b>	<b>No</b>	<b>NC / Obs</b>
<p>Description of Additional Audit performed (as applicable).</p> <p><b><u>Objective evidence/Remarks by auditor</u></b></p> <p><b>NA</b></p>	::objectives-64-yes	::objectives-64-no	::observations-64

<b>Signature of the Team Leader: Sushil Kumar Sijariya</b>	<b>Date: 21/06/2021</b>
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