

Section		Index	
Issue No:	6	Amendment No:	5
Issue Date:	6 - 2015	Amendment Date:	10-2017

Notes: Archive on board OLD RECORDS not relevant anymore. If records are kept in an electronic format (i.e. PMS), a Note is to be made in the appropriate file/divider with the exact location of the electronic record. Files can be split in parts – I.E. 4A, 4B.

1A	Statutory Certificates
1B	Statutory and Other Certificates
2	Equipment Test / Service Certificates / Reports
3	Master's Reports/Handover/Training Logs/Checklists
	<ul style="list-style-type: none"> Master's Handover Checklist – MHC & Handover Notes Chief Officer Handover Checklist & Handover Notes Other Deck Officers' Handover Notes Additional / Requested Training and Drills Log - TDL
4	<ul style="list-style-type: none"> Monthly Safety Management Update - MSMU Shipboard Management Reviews – SMR Company Management Review (Feedback of SMRs) Internal ISM Audits - Audit Reports and Audit Note Forms - IAF External ISM Audits - Audit Report and any issued Notes Flag State Inspection Reports – FSC Port State Inspection Reports – PSC (except last PSC Report)
4A	Environmental, Occupational, Health and Safety Inspections - Weekly
5	Reports File (Archive the old ones)
	<ul style="list-style-type: none"> Incident / Near-Miss Reports – IRF and/or Near Miss/HO Form General Inspection Reports Superintendent Inspection Reports Fleet Safety & Training Officers Reports Navigational Audits P&I Survey Reports
6	Correspondence
	<ul style="list-style-type: none"> Mail Sequence Form - MSF Goods Landing Form – PO4 Other Correspondence
7	Personnel Forms
	<ul style="list-style-type: none"> Records of Rest and Work Hours – RWH (<i>signed by Master and Seafarer</i>) Shipboard Familiarisation Forms – SFF (<i>incl. SFF-SES</i>) Crew Change Form - CCF Disciplinary Forms (Verbal, Written, Dismissal) issued

Section		Index	
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	<ul style="list-style-type: none"> Joiners Declarations (i.e. D&A Declarations)
8	Bridge Operations Checklists
	<ul style="list-style-type: none"> Pilot / Master Information Exchange Checklist - PMX Bridge Pre-Manoeuvring Checklist - ENTRY INTO U.S. WATERS Bridge Equipment Familiarisation Checklist ECDIS Familiarisation Checklist
9	Engineers Checklists , Forms & Reports
	<ul style="list-style-type: none"> Engineer Pre-Manoeuvring Checklist ENTRY INTO U.S. WATERS Chief Engineer Handover Checklist – CHC & Handover Notes (C/E , all Engineer Off) Pre-Bunkering / Sludge Removal Checklist - BC Sludge Removal Receipts/ Bunker receipts in the Emission Controlled Manual Lab Fuel Analyses results Lube Oil Inventory - LOI PEER – Portable Electrical Equipment Register Dry / Wet Dock Report and Modification List - DMR Service Reports (to be classified manually on board as required)
10	Safe Work Permits - SWP
	<ul style="list-style-type: none"> Hot Work SWPs Enclosed Spaces Entries SWPs Working Aloft SWPs Maintenance /Repairs (including Electrical and refrigerating equipment)SWPs
11	Finance
	1/Ship Accounts Forms (SAF) :
	<ul style="list-style-type: none"> Portage Bond Victualling
	2/Request for Cash
	3/Finance Correspondence
12	Chartering and Cargo (Archive on board the completed voyages)
	<ul style="list-style-type: none"> Voyage Orders Cargo Information (MSDS, DG Notes, CMs, MRs, etc.) Stowage Plans, Stability and Trim Calculations Chartering / Commercial / Operational Correspondence CSSOM - Operational Forms as issued for the Voyage.

CARISBROOKE SHIPPING LTD



SHIPBOARD SAFETY MANAGEMENT
FILING SYSTEM

FILE: 1A

STATUTORY CERTIFICATES

File 1A - Statutory Certificates - Originals

No.	Description
1	Certificate of Registry
2	Alternative Compliance Scheme (UK Flag only)
3	Minimum Safe Manning Document
4A	ISM- COMPANY Document of Compliance (DOC) - COPY ONLY
4B	ISM & Technical Management responsibility Letter (Declaration of Owner)
5	ISM - Safety Management Certificate (SMC)
6	ISPS - International Ship Security Certificate (ISSC)
7	Continuous Synopsis Records (CSR's- Forms 1 & 2 & 3)
8A	Maritime Labour Certificate
8B	Declaration of Maritime Labour Compliance - Part 1
8C	Declaration of Maritime Labour Compliance - Part 2
9	RADIO STATION LICENCE
10	Certificate of Insurance and Civil Liability for Bunker Pollution Convention
11	Wreck Removal Certificate
12	Certificate of Class (or Interim if applicable)
13	International Load Line Certificate (+ Conditions of Assignment)
14	International Tonnage Certificate
15A	Cargo Ship Safety Construction Certificate
15B	In-water Survey
16	Cargo Ship Safety Equipment Certificate (+ Record of Safety Equipment (Form E) + Record of Approved Cargo Ship Safety Equipment)
17	Cargo Ship Safety Radio Certificate (+ Record of Radio Equipment (Form R) + Record of Approved GMDSS Radio Installation)
18	International Oil Pollution Prevention Certificate (IOPP) (+ Record of Construction & Equipment)
19	International Sewage Pollution Certificate
20	Garbage Pollution Prevention Certificate / Attestation
21	International Air Pollution Prevention Certificate (IAPP) + Supplement to IAPP (Record of Construction and Equipment)
22	Certificate of Compliance for the Carriage of Solid Bulk Cargoes
23	Certificate for the Carriage of Grain
24	Document of Compliance for Ships Carrying Dangerous Goods
25	International Energy Efficiency Certificate
26	Suez Canal Tonnage Certificate (if applicable)
27A	Panama Canal Special Tonnage (if applicable)
27B	PCSOPEP – NOTICE OF ACKNOWLEDGEMENT (if applicable)
28	USA – Certificate of Financial Responsibility (+ COFR - California if applicable)
29	USA – Certificate of Entry and Acceptance (SigCO)
30	USCG NTVRP Authorization Letter
31	Ship Sanitation Control (Exemption) Certificate
32	BWM Certificate / Statement of Compliance

File 1A - Statutory Certificates - Originals

<u>33</u>	<u>USCG BWM Extension Letter (If Applicable)</u>
<u>34</u>	<u>Environmental Passport Design</u>

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SHIPBOARD SAFETY MANAGEMENT
FILING SYSTEM

FILE: 1B

STATUTORY CERTIFICATES
AND OTHER CERTIFICATES

File 1B - Statutory & Other Certificates

No.	Description
1	Engines International Air Pollution Prevention Certificate (EIAPP) - Copies as Originals with ME and AEs Technical Files
2	Anti-Fouling System Certificate
3	Record of Approved Cargo Ship Accommodation
4	Crew Accommodation Exemption Certificate or Certificate of Compliance ILO (if applicable)
5	Sound Reception Exemption (if applicable)
6	Merchant Shipping Medical Scales Certificate
7	Certificate of Asbestos Free or equivalent
8	Protection and Indemnity (P&I) Certificate of Entry + 2 x P&I MLC Insurance Certificates : Seafarers Repatriation + Owners Liabilities
9	Hull and Machinery Certificate (Insurance)
10	Gyro Compass Service (Maker's Interval)
11	Deviation Card – copy (+ Magnetic Compass Adjustment as done by Shore Service)
12	Oily Water Separator Calibration Certificate - Original (copy to be kept in Oil Record Book)
13	Drinking Water Analysis Test Certificate / Report - All certificates (history of testing) to be kept
14	Last Port State Control Report
15	Statement of Dry Dock Survey for US EPA Pollution Discharge Elimination (where applicable)
16	Canada- ECRC Contract Confirmation & Agreement & Appendix & Declaration for a Ship that is in Waters South of 60th parallel of north latitude
17	Light Dues
18	Anchor Dues
19	Loading Programme / Software Certificate & Loading PC Certificate
20	Voyager License
21	Admiralty Digital Publications License + E-NP License (if any)
22	ECDIS License
23	Planned Maintenance Certificate
24	Regs4Ships Subscription Certificate
25	Asian Gypsy Moth Certificate (if any)
26	Sewage waters Test Certificate (vessel trading to Cameroun/Douala)
27	Hazardous Materials Inventory
28	
29	
30	
31	
32	



SMS

1A

STATUTORY
CERTIFICATES



SMS

1B

STATUTORY
CERTIFICATES
and
OTHER
CERTIFICATES

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SHIPBOARD SAFETY MANAGEMENT
FILING SYSTEM

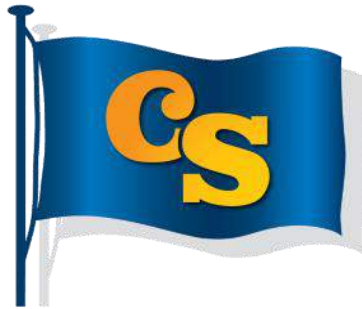
FILE: 2

EQUIPMENT TESTS / CONFORMANCE
/ INSPECTIONS
/ SERVICE CERTIFICATES
/REPORTS

File 2- Equipment Test / Service Certificates / Reports

Bridge <u>(OTHER BRIDGE EQUIPMENT SERVICE REPORTS MUST BE KEPT IN THE BRIDGE EQUIPMENT MAINTENANCE RECORDS FILE)</u>	
1	EPIRB Annual Performance Verification (+ EPIRB Registration Database Report+ Float-Free EPIRB Service (Maker's Interval)
2	VDR/ S-VDR Annual Performance Test Certificate
3	GMDSS – Shore based Maintenance Certificate (+ & Record of Equipment for GMDSS Radio Facilities (or Station)- if applicable)
4	AIS Annual Performance Test Certificate
5	SSAS (conformance type certificate, installation report and annual test)
6	Bridge Navigation Watch Alarm System (BNWAS)
7	Long-Range Identification and Tracking TEST CONFORMANCE Certificate (LRIT)
Life Saving Appliances	
8	Inflatable Lifejackets <u>(Rigid-Inherent buoyant or Inflatable)</u>
9	Immersion Suits
10	Liferafts <u>(Classic or Extended Service Range + On board Training Certificates –Copies)</u>
11	Rescue Boat
12	Free-Fall Lifeboat (where FFLB is fitted)
13	Davits and Release Hooks
14	Wire Certificates (for davits)
15	Rescue Boat Sling Certificates
16	Medical Oxygen Cylinders Recharging (& Resuscitator Cylinders Pressure Test)
Fire Fighting	
17	SELF CONTAINED BREATHING APPARATUS (SCBA)
18	EEBD
19	Portable Fire Extinguishers
20	Local Application Fixed Fire Fighting System (i.e. water mist)
21	CO2 Fixed Fire Fighting System
Deck	
22	Accommodation Gangways and Ladders- Wires
23	Anchors, Chains and Fittings
24	Mooring Ropes (number of rope ID tag must be on the certificate)
25	Ultrasonic Hatch Test Reports
26	Oxygen and Acetylene Cylinder certificates
27	LGR- LIFTING EQUIPMENT & LOOSE GEAR REGISTER FORM (NON CARGO LIFTING & LASHING, NON LSA)

CARISBROOKE SHIPPING LTD








SHIPBOARD SAFETY MANAGEMENT FILING SYSTEM

FILE: 3

MASTER'S REPORTS / HANDOVER / TRAINING AND DRILLS LOGS

Master's Handover Checklist (MHC) & [Handover Notes](#)
Chief Officer Handover Checklist (COHC) & [Handover Notes](#)
[Other Deck Officers Handover Notes](#)
([Additional / Required](#)) Training and Drills Log – TDL's

1	Master's Handover Checklist (MHC) & <u>Handover Notes</u>	
2	Chief Officer Handover Checklist (COHC) & <u>Handover Notes</u>	
3	Other Deck Officer's Handover Notes	
4	<u>(Additional / Requested)</u> Training & Drills Log (TDL)	
5		



SMS

2

Equipment

Tests

Conformance
Inspections

Service Certificates

Reports



SMS

3

Master's Reports/

Handover/

Training & Drills

CARISBROOKE SHIPPING LTD



SHIPBOARD SAFETY MANAGEMENT FILING SYSTEM

FILE: 4

MONTHLY SAFETY MANAGEMENT UPDATES – (MSMU's)

SHIPBOARD MANAGEMENT REVIEWS (SMR's)

Company Management Review (Feedback of SMR's)

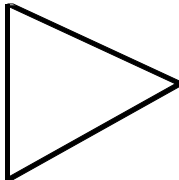
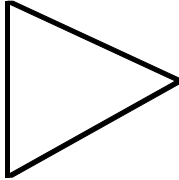
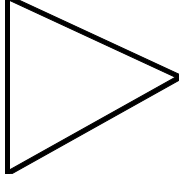
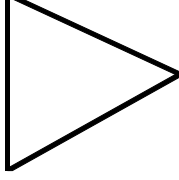
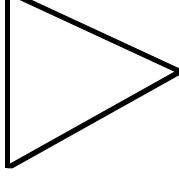
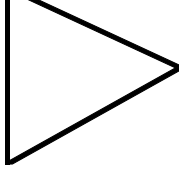
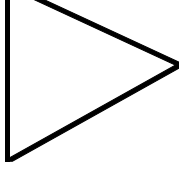
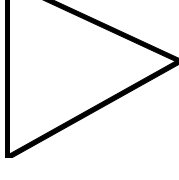
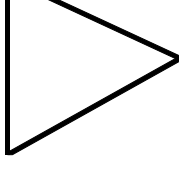
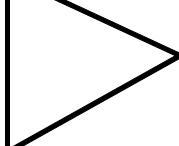
INTERNAL ISM AUDITS (+ Corrective & Preventive Actions)

EXTERNAL ISM AUDITS (+ Corrective & Preventive Actions)

FLAG STATE INSPECTION REPORTS

PORT STATE INSPECTION REPORTS

**For the above inspections, if any deficiencies raised - keep records of
objective evidences for corrective and preventive actions.**

1	Monthly Safety Management Update (MSMU)	
2	Shipboard Management Review (SMR)	
3	Company Management Review	
4	Internal ISM Audits (+ Corrective & Preventive Actions)	
5	External ISM Audits (+ Corrective & Preventive Actions)	
6	Flag State Inspection Reports	
7	Port State Control Inspection Reports	
8	For the above inspections, if any deficiencies raised - keep records of objective evidences for corrective and preventive actions.	
9		
10		

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SHIPBOARD SAFETY MANAGEMENT
FILING SYSTEM

FILE: 4A

Environmental, Occupational, Health and Safety
Inspections
—
Weekly



SMS

4

MSMU's

SMR's

Internal/External
Audits

Flag State
Inspection Reports

Port State
Inspection Reports



SMS

4A

Environmental,

Occupational,

Health

And

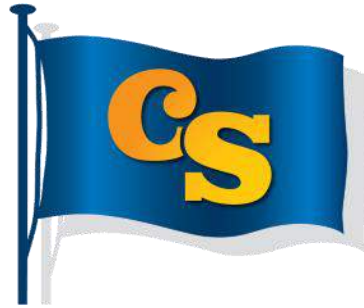
Safety

Inspections

-

Weekly

CARISBROOKE SHIPPING LTD



SHIPBOARD SAFETY MANAGEMENT FILING
SYSTEM

FILE: 5

REPORTS

INCIDENT REPORTS

NEAR-MISS / HAZARDOUS OCCURRENCE REPORTS

GENERAL INSPECTIONS

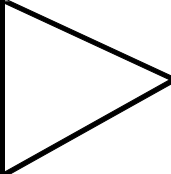
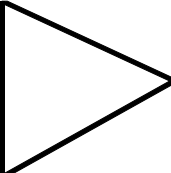
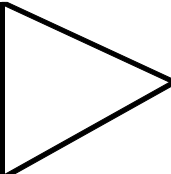
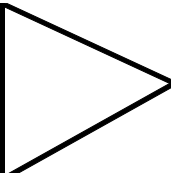
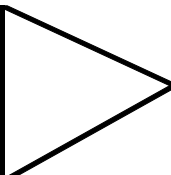
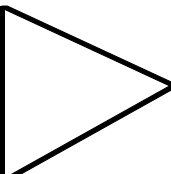
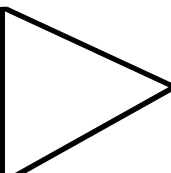
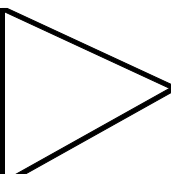
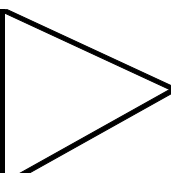
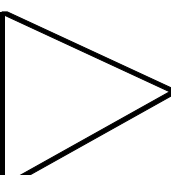
SUPERINTENDENT INSPECTIONS

FLEET SAFETY & TRAINING OFFICER REPORTS

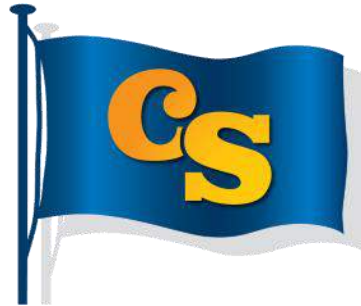
NAVIGATIONAL AUDITS

P&I INSPECTION REPORTS

For the above inspections, if any deficiencies raised - keep records of objective evidences for corrective and preventive actions.

1	Incident Report Forms (IRF)	
2	Near-Miss / Hazardous Occurrence Reports	
3	General Inspection Reports	
4	Superintendent's Inspections	
5	Fleet Safety Training Officers Reports	
6	Navigational Audits	
7	P & I Survey Reports	
8		
9		
10		

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SHIPBOARD SAFETY MANAGEMENT FILING
SYSTEM

FILE: 6

CORRESPONDENCE

Mail Sequence Form - MSF

Goods Landing Form – PO4

Other Correspondence

1	Mail Sequence Form (MSF)	
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2	Goods Landing Forms (PO4)	
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3	Other Correspondence	
---	----------------------	--

4		
---	--	--

5		
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SMS

5

Incident
Reports

NMHO Reports

General
Inspections

Supers
Inspections

FSTO Reports

Navigational
Reports



SMS

6

Correspondence

MSF's

PO4

Other
Correspondence

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SHIPBOARD SAFETY MANAGEMENT FILING SYSTEM

FILE: 7

PERSONNEL FORMS

Records of Rest and Work Hours – RWH

(Signed by Master and Seafarer)

(Keep here only for crew on board, others to be archived)

Shipboard Familiarisation Forms – SFF (incl. SFF-SES)

(Keep here only for crew onboard, others to be archived)

Crew Change Form – CCF

(Keep here only for crew on board, others to be archived)

Disciplinary Forms (Verbal, Written, Dismissal) issued

Joiners Declarations (Drug & Alcohol Declarations, etc..)

(Keep here only for crew on board, others to be archived)

- | | | |
|---|---|--|
| 1 | Records of Rest and Work (RWH) | |
| 2 | Shipboard Familiarisation Forms (SFF)
(including SFF - SES) | |
| 3 | Crew Change Form (CCF) | |
| 4 | Disciplinary Forms
(Verbal, Written, Dismissal) issued | |
| 5 | Joiners Declarations
(i.e. Drug & Alcohol Declarations, etc..) | |

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SHIPBOARD SAFETY MANAGEMENT FILING SYSTEM

FILE: 8

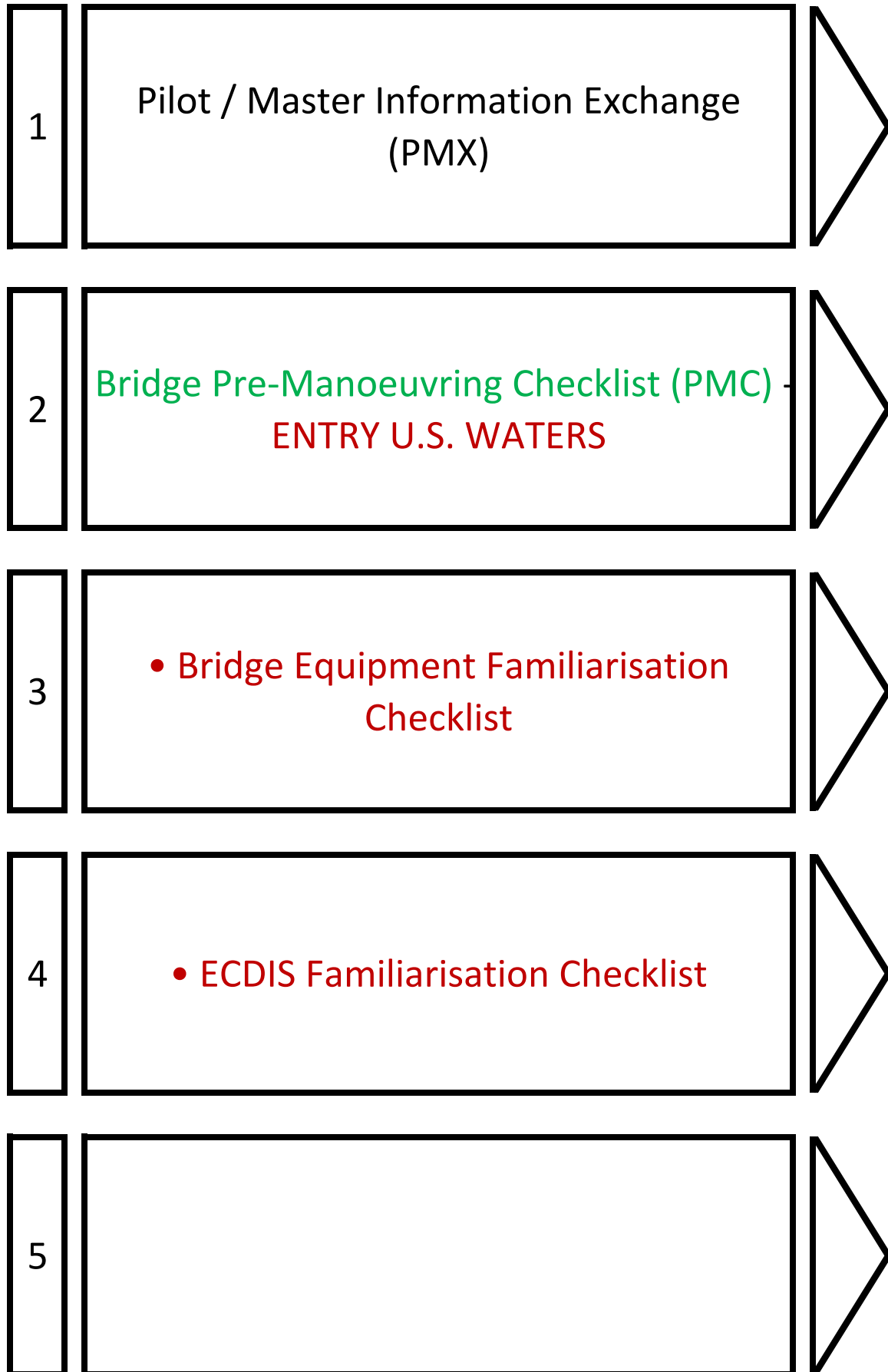
BRIDGE OPERATION CHECKLISTS

Pilot / Master Information Exchange Checklist – PMX

Bridge Pre-Manoeuvring Checklist - **ENTRY INTO U.S. WATERS**

Bridge Equipment Familiarisation Checklist

ECDIS Familiarisation Checklist





SMS

7

Personnel Forms

RWH's

SES & SFF's

CCF

Disciplinary
Forms

Joiners
Declarations



SMS

8

Bridge Operation
Checklists

PMX

Bridge Pre-Manoeuvring
Checklists

Bridge Equipment
Familiarisation
Checklists

ECDIS
Familiarisation
Checklists

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SHIPBOARD SAFETY MANAGEMENT FILING SYSTEM

FILE: 9

ENGINEERS CHECKLISTS, FORMS & REPORTS

Engineer Pre-Manoeuvring Checklist [ENTRY INTO U.S. WATERS](#)

Chief Engineer Handover Checklist – CHC & [Handover Notes](#)

[All Other Engineers Officers Handover Notes](#)

Pre-Bunkering / Sludge Removal Checklist – BC

Sludge Removal Receipts/ Bunker Delivery Notes in EC Manual

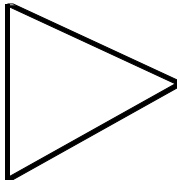
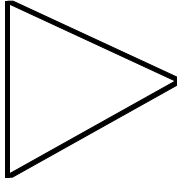
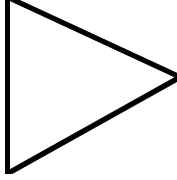
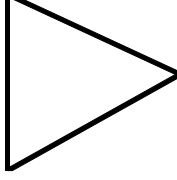
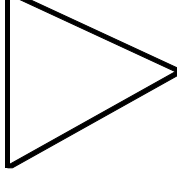
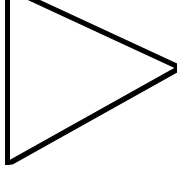
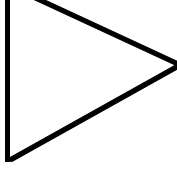
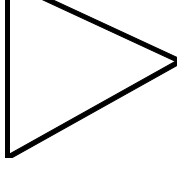
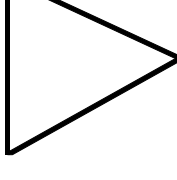
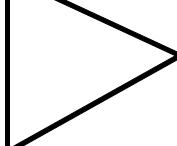
Lab Fuel Analyses Results

Lube Oil Inventory – LOI

PEER- Portable Electrical Equipment Register

Dry / Wet Dock Report and Modification List – DMR

Service Reports (to be classified manually on board as required)

1	Engineer Pre-Manoeuvring Checklist (PMC) - ENTRY U.S. WATERS	
2	Chief Engineer Handover Checklist (CHC) & Handover Notes	
3	<u>All Other Engineer Officers Handover Notes.</u>	
4	Pre-Bunkering / Sludge Removal Checklist (BC)	
5	Sludge Removal Receipts / Bunker Receipts in Emissions Control Manual	
6	Lab Fuel Analysis Results	
7	Lube Oil Inventory (LOI)	
8	PEER - Portable Electrical Equipment Register	
9	Dry/Wet Dock Report and Modification List - DMR	
10	Service Reports (to be classified manually on board as required)	

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SHIPBOARD SAFETY MANAGEMENT FILING SYSTEM

FILE: 10

SAFE WORK PERMITS

- Hot Work SWPs
- Enclosed Spaces Entries SWPs
- Working Aloft SWPs
- Maintenance /Repairs (incl. Electrical and refrigerating equipment) SWPs

	Safe Work Permits (SWP)	
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1	<u>Hot Work</u>	
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2	<u>Enclosed Spaces Entries</u>	
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3	<u>Working Aloft</u>	
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4	Maintenance / Repairs (including electrical & refrigerating equipment)	
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CARISBROOKE SHIPPING LTD



SHIPBOARD SAFETY MANAGEMENT FILING
SYSTEM

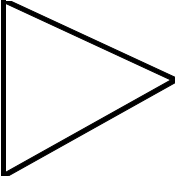
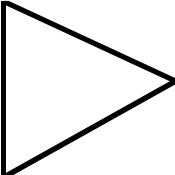
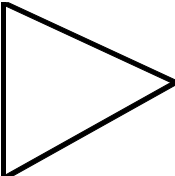
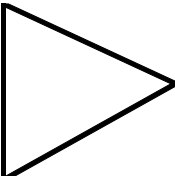
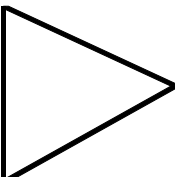
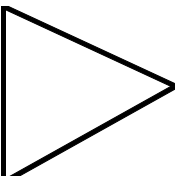
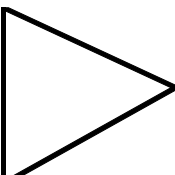
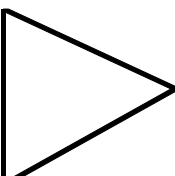
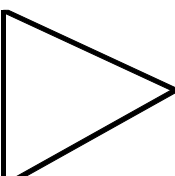
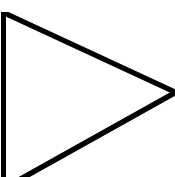
FILE: 11

FINANCE

[Ship Accounts Forms- SAF](#)

Request for Cash

Finance Department Correspondence

1	Ship Accounts Forms	
1a	Portage Account	
1b	Bond	
1c	Victualling	
2	Request for Cash	
3	Finance Dept Correspondence	
		
		
		
		

CARISBROOKE SHIPPING LTD



SHIPBOARD SAFETY MANAGEMENT FILING SYSTEM

FILE: 12

CHARTERING AND CARGO

(Archive on board the completed voyages)

Voyage Orders

Cargo Information (MSDS, DG Notes, CMs, MRs, etc.)

Stowage Plans, Stability and Trim Calculations

(Signed by Master and Chief Officer)

Chartering / Commercial / Operational Correspondence

CSSOM - Operational Forms issued for the Voyage

1	Voyage Orders	
2	Cargo Information: MSDS- HME/Non-HME, DG Notes, CMs, MRs, etc	
3	Stowage Plans, Stability and Trim Calculations (Signed by Master and Chief Officer)	
4	Chartering /Commercial / Operations Correspondence	
5	CSSOM - Operational Forms issued for the Voyage.	



SMS

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**Engineers
Checklists,
Forms & Reports**

CHC/HONs
BC's / LOI's
Sludge Removal
Receipts
LAB FUEL
RESULTS
PEER's / DMR's
Service Reports



SMS

10

Safe Work Permits

Hot Work

Enclosed Spaces

Working Aloft

Maintenance/Repair



SMS

11

Finance

Ship Account
Forms (SAF)

Request for Cash

Finance Dept
Correspondence



SMS

12

**Chartering &
Cargo**

Voyage Orders

Cargo Information
Stowage Plans,
Stability and Trim
Calculations

Chrtrs/Ops/
Commercial
Correspondence