



# The ISM Code

## 4. Part B: Certification & Verification

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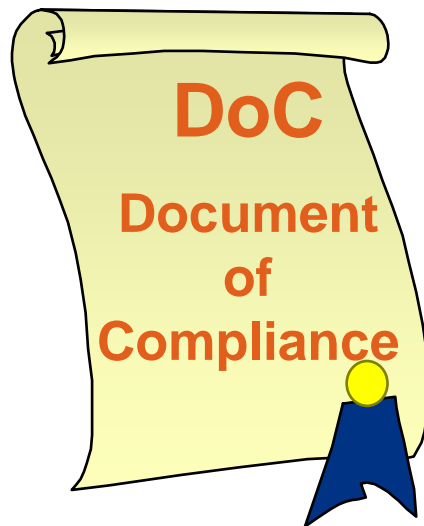
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## Second part

Part A - Implementation	Part B - Certification and Verification
<ol style="list-style-type: none"><li>1. General</li><li>2. Safety and Environmental Protection Policy</li><li>3. Company Responsibilities and Authority</li><li>4. Designated Person(s)</li><li>5. Master`s Responsibility and Authority</li><li>6. Resources and Personnel</li><li>7. Shipboard Operations</li><li>8. Emergency Preparedness</li><li>9. Reports and Analysis of</li><li>10. Maintenance of the Ship and Equipment</li><li>11. Documentation</li><li>12. Company Verification, Review and Evaluation</li></ol>	<ol style="list-style-type: none"><li>13. Certification and Periodical Verification</li><li>14. Interim Certification</li><li>15. Verification</li><li>16. Forms of Certificates</li></ol>

## ISM code certificates

Company certificate



Ship certificate



**Valid 5 Years**

## Certificates

- A full-term certificate: issued under the authority of the Flag State Government.
- Short-term certificate: issued to cover the period until a full-term is issued.
- Interim certificate: issued to a Company which has no practical operational experience of its SMS.

### **7** Element 13.1: DoC certificate

The ship should be operated by a Company:

- Which has been issued with a Document of Compliance (DoC) or,
- with an Interim Document of Compliance (IDoC) in accordance with paragraph 14.1, relevant to that ship

### Element 13.2: DoC certificate

The DoC is to be issued to a Company by :

- The Administration,
- by an organization recognized by the Administration or,
- at the request of the Administration, by another Contracting Government to the Convention to any Company complying with the requirements of this Code for a period specified by the Administration which should not exceed five years.

The DoC should be accepted as evidence that the Company is capable of complying with the requirements of the ISM Code

### Element 13.3: DoC valid for

The DoC is only valid for the ship types explicitly indicated in the document.

- Such indication should be based on the types of ships on which the initial verification was based.
- Other ship types should only be added after verification of the Company's capability to comply with the requirements of the ISM Code applicable to such ship types.
- In this context, ship types are those referred to in regulation IX/1 of the Convention (Reg 336/2006 is different).

### Element 13.4: DoC certificate validity

The validity of a DoC should be subject to annual verification by:

- The Administration,
- by an organization recognized by the Administration or,
- at the request of the Administration, by another Contracting Government

Within three months before or after the anniversary date

**±3 months**



### Element 13.5: DoC certificate withdrawal

The DoC should be withdrawn by :

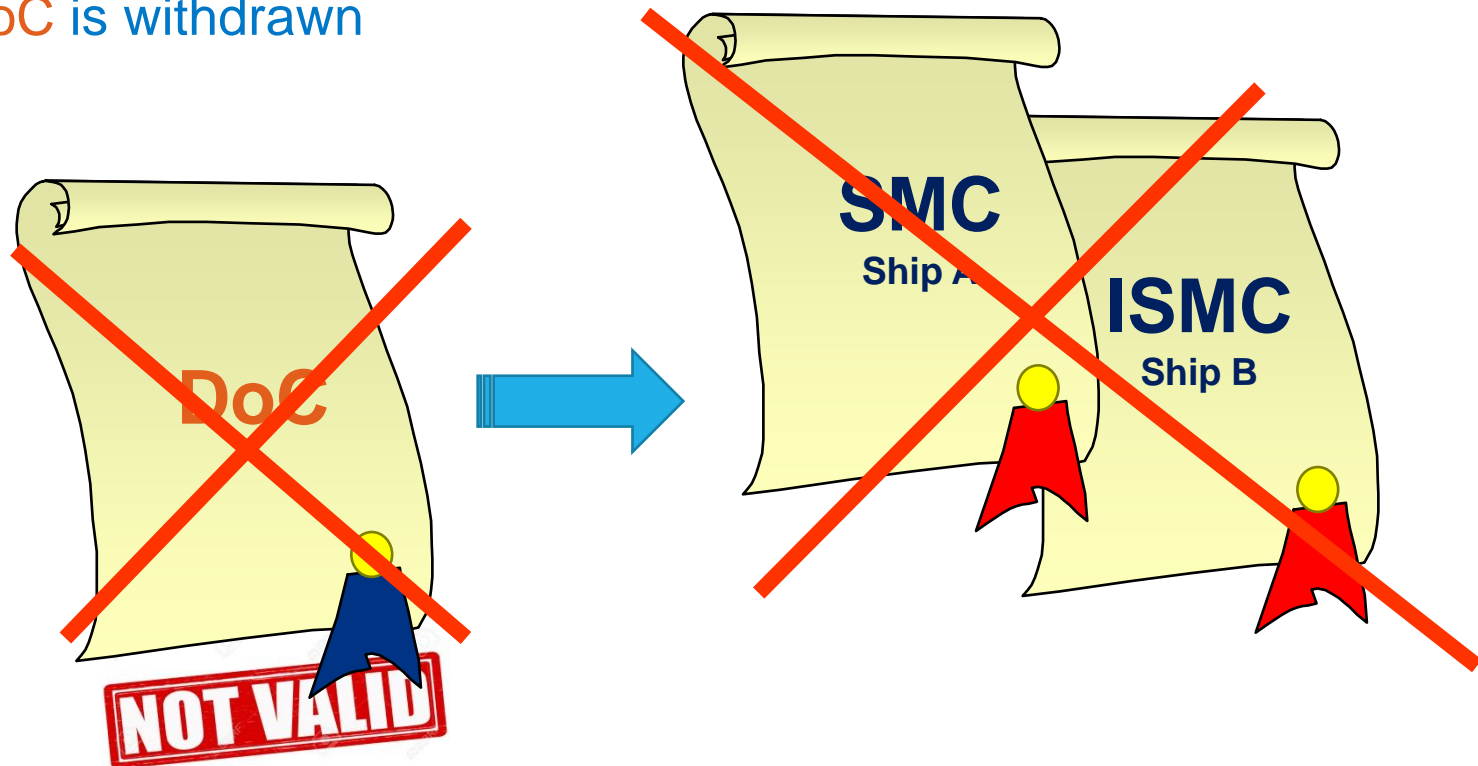
- The Administration or,
- At its requested, by the Contracting Government (CG) which issued the document

The DoC should be withdrawn when:

- The annual verification required in paragraph 13.4 is not requested or
- If there is evidence of Major Non conformities within the SMS

### Element 13.5.1: Certificates withdrawal

All associated Safety Management Certificates (SMC) and / or Interim Safety Management Certificates (ISMC) should be withdrawn if the DoC is withdrawn

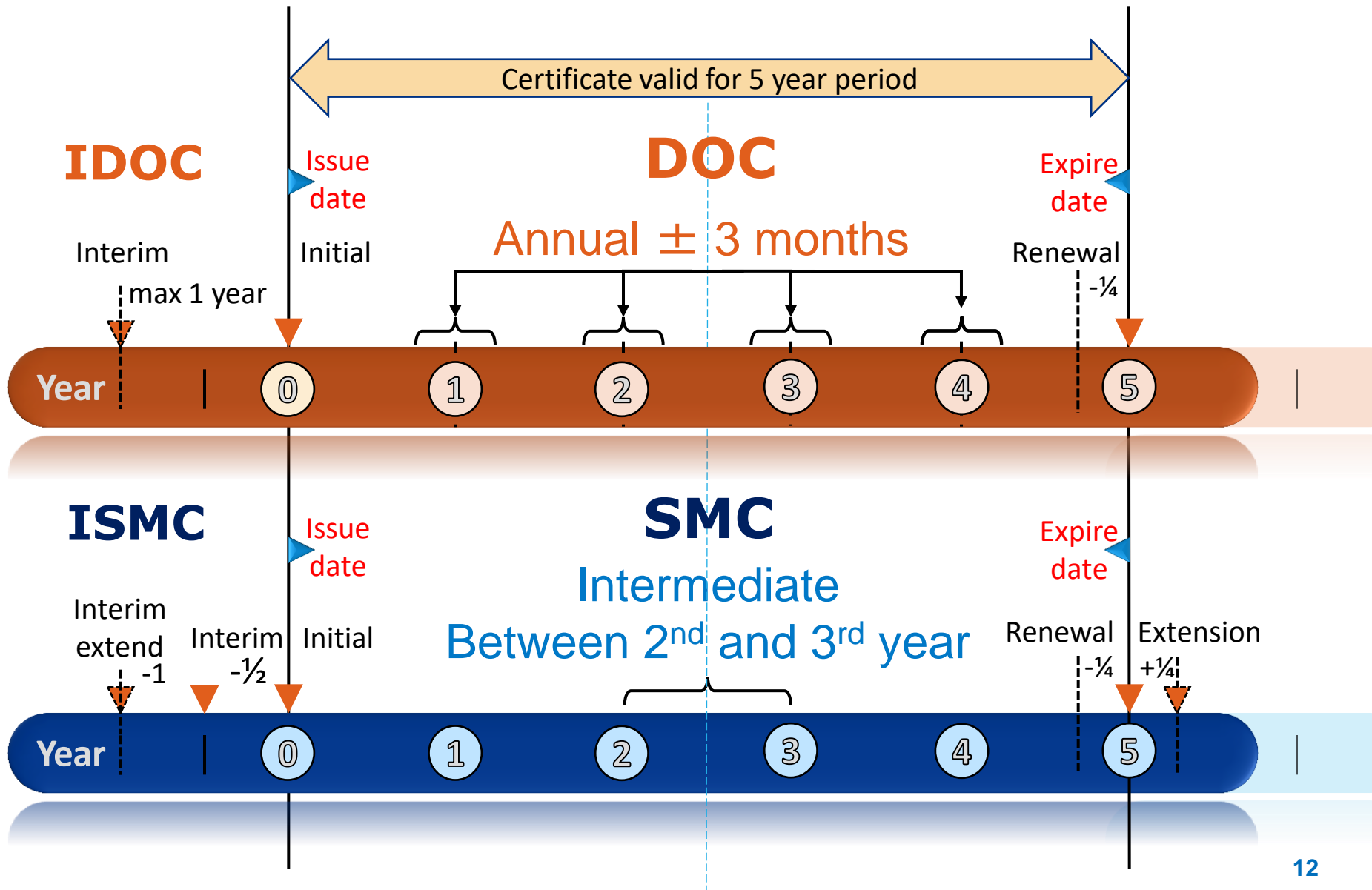


### Element 13.6: DoC certificate on board

A copy of the DoC should be placed on board the ship in order that the master of the ship, if so required, may produce it for verification by :

- The Administration,
- by an organization recognized by the Administration or,
- for the purposes of the control referred to in regulation IX / 6.2 of the Convention.

Note: The copy of the DoC is not required to be authenticated or certified



### Element 13.7: SMC certificate

The SMC is to be Issued to a ship by :

- The Administration,
- by an organization recognized by the Administration or,
- at the request of the Administration, by another Contracting Government to the Convention to any Company complying with the requirements of this Code for a period specified by the Administration which should not exceed five years.

After verifying that the ship operate in accordance with the approved Safety Management System, the SMC should be accepted as evidence that the Company is capable of complying with the requirements of the ISM Code

### Element 13.8: SMC certificate validity

The validity of a SMC should be subject to at least one intermediate verification by: But may decide to have annual audits!

- The Administration or,
- by an organization recognized by the Administration or,
- at the request of the Administration, by another Contracting Government

If only one intermediate verification is to be carried out and the period of validity of the SMC is five years, it should take place between 2 and 3 year.

### Element 13.9: SMC certificate withdrawal

In addition to the requirements of par. 13.5.1, the SMC should be withdrawn by:

- The Administration or,
- At its requested, by the Contracting Government (CG) which issued the document

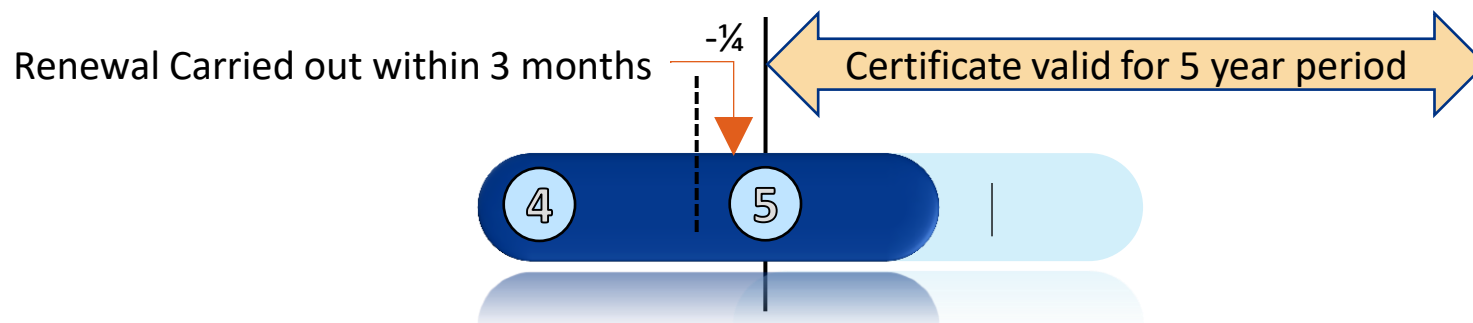
The SMC should be withdrawn when:

- The intermediate verification required in paragraph 13.8 is not requested or
- If there is evidence of Major Non conformities within the SMS

### Element 13.10: SMC certificate

Notwithstanding the requirements of par. 13.2 and 13.7, when the renewal verification is completed within 3 months before the expiry date of the existing DoC or SMC:

- The new DoC or SMC should be valid from:
  - Date of completion of the renewal verification
  - For a period not exceeding 5 years from the date of expiry of the existing DoC or SMC

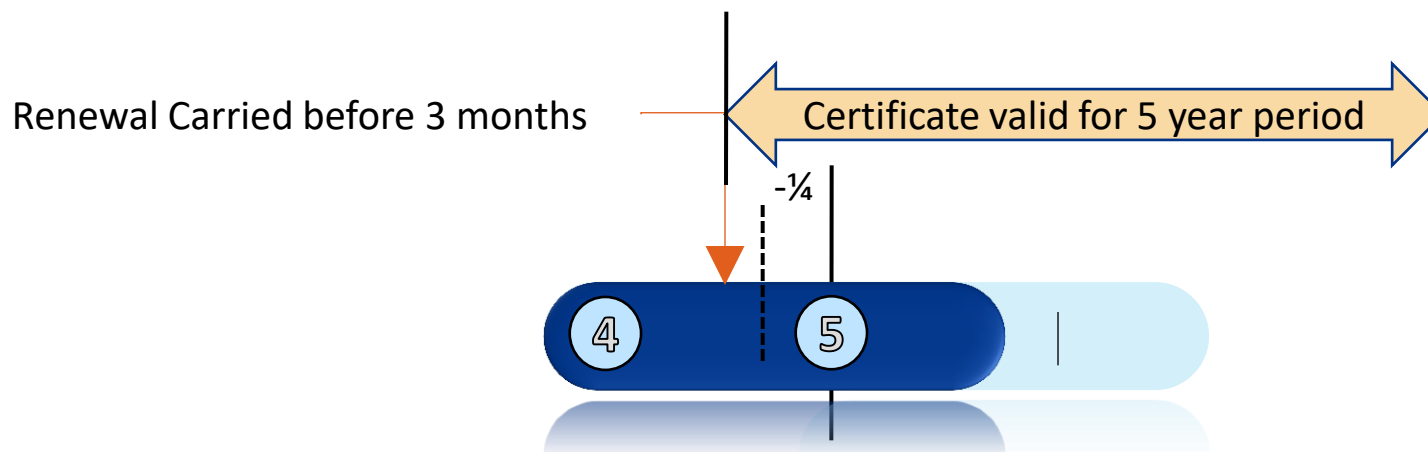




### Element 13.11: SMC certificate

When the renewal verification is completed more than 3 months before the expiry date of the existing **DOC** or SMC:

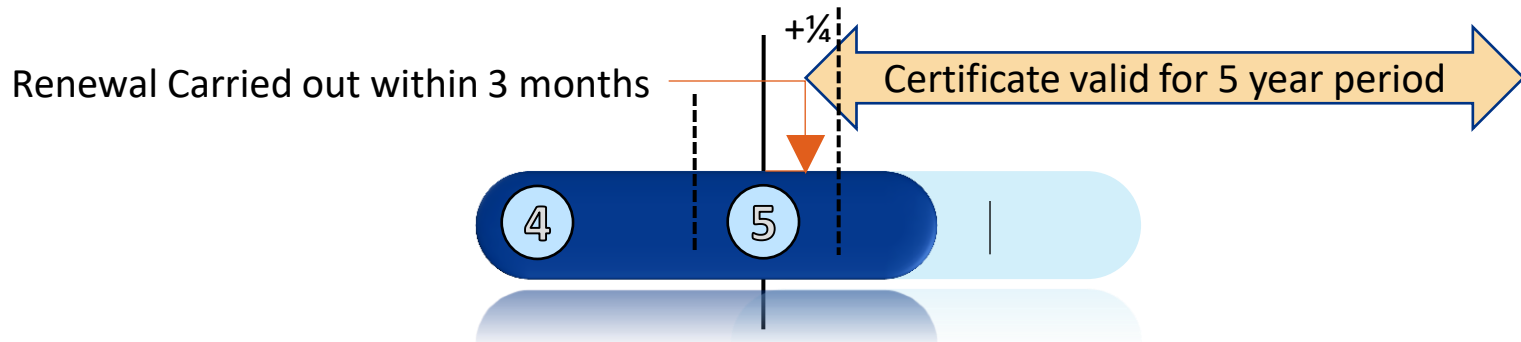
- The new **DOC** or SMC should be valid from:
  - the date of completion of the renewal verification for a period not exceeding 5 years from the date of completion of the renewal verification.



### Element 13.12: SMC certificate

When the renewal verification is completed after the expiry date of the existing SMC than:

- The new SMC should be valid from:
  - the date of completion of the renewal verification for a period not exceeding years from the date of completion of the renewal verification.



### Element 13.13: SMC certificate

If a renewal verification has been completed and a new SMC cannot be issued or placed on board the ship before the expiry date of the existing certificate, the Administration or organization recognized by the Administration may endorse the existing certificate and such a certificate should be accepted as valid for a further period which should not exceed five months from the expiry date.

A short term SMC may be issued on the day of the audit by the administration auditor as a response or proof of completion of the initial, annual or renewal audit process. Validity of short term SMC is 5 months.

### Element 13.14: SMC certificate

If a ship at the time when a SMC expires is not in a port in which it is to be verified, the Administration may extend the period of validity of the Safety Management Certificate 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 longer than three 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 Safety Management Certificate.

When the renewal verification is completed, the new SMC should be valid to a date not exceeding five years from the expiry date of the existing Safety Management Certificate before the extension was granted.

### Element 14.1: Interim certification IDoC **9**

An Interim Document of Compliance (IDoC) may be issued to facilitate initial implementation of this Code when:

- a Company is newly established; or
- new ship types are to be added to an existing DoC,

(Also when a Company changes name)

following verification that the Company has a safety management system that meets the objectives of paragraph 1.2.3 of this Code, provided the Company demonstrates plans to implement a safety management system meeting the full requirements of this Code within the period of validity of the IDoC.

### Element 14.1: Interim certification IDoC

(cont...) Such an **IDoC** should be issued for a period not exceeding 12 months by the Administration or by an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government.

A copy of the **IDoC** should be placed on board in order that the master of the ship, if so requested, may produce it for verification by the Administration or by an organization recognized by the Administration or for the purposes of the control referred to in regulation IX/6.2 of the Convention.

The copy of the Document is not required to be authenticated or certified.

### Element 14.2: Interim certificate ISMC

An Interim Safety Management Certificate (ISMC) may be issued to:

- to new ships on delivery;
- when a Company takes on responsibility for the operation of a ship which is new to the Company; or
- when a ship changes flag

**10**

Such an ISMC should be issued for a period not exceeding 6 months by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government.

### Element 14.3: Interim certificate ISMC

An Administration or, at the request of the Administration, another Contracting Government may, in special cases, extend the validity of an ISMC for a further period which should not exceed 6 months from the date of expiry.

- In general the Company must always provide a justified reason.  
An extension of the ISMC can be considered as a postponement of the Initial verification, and should be approved in advance of the expiry date.
- All “special cases” should be dealt with on a case-by-case basis by the Administration and not RO !!

When is it considered a justified reason?



### **Definition of “special cases”**

The Company should contact the Administration in writing and well in advance with any request for an extension. Note that a RO cannot issue an extension of the ISMC without the agreement of the Administration.

Force majeure or unforeseen circumstance

- War zones / Piracy area
- Health risk
- Change of vessel's schedule/route
- At sea longer than anticipated (e.g.: environmental conditions)
- Delays of visas or permits of personnel

Operation or certificate related

- Change of flag, Company, RO or charter in the interim period
- Harmonization of statutory certificates (ISM, ISPS, MLC, etc.)
- Scheduled interruption of the operations (Lay-up, dry-dock or idle)
- Unscheduled interruption of the operations (e.g.: accident or break down);

### Element 14.4: Interim certificate ISMC

An Interim Safety Management Certificate may be issued following verification:

- The DoC, or the IDoC, is relevant to the ship concerned;
- The safety management system provided by the Company for the ship concerned includes key elements of this Code and has been assessed during the audit for issuance of the DoC or demonstrated for issuance of the IDoC;
- The Company has planned the internal audit of the ship within three months;
- The master and officers are familiar with the safety management system and the planned arrangements for its implementation;
- Instructions, which have been identified as being essential, are provided prior to sailing; and
- Relevant information on the safety management system has been given in a working language or languages understood by the ship's personnel.

## Element 15: Verification

All verifications required by the provisions of this Code should be carried out in accordance with procedures acceptable to the Administration, taking into account the guidelines developed by the Organization<sup>19</sup>

*Guidelines on implementation of the International Safety Management (ISM) Code by Administrations Resolution A.1071(28)*

Can we endorse an additional audit on a ISMC?

### Element 16: Forms of certificates

The DoC, the SMC, the IDoC and the ISMC should be drawn up in a form corresponding to the models given in the appendix to this Code. If the language used is neither English nor French, the text should include a translation into one of these languages.

In addition to the requirements of paragraph 13.3, the ship types indicated on the DoC and the IDoC may be endorsed to reflect any limitations in the operations of the ships described in the safety management system.

Questions?

