



PACIFIC MARINE SERVICES

SMS 1A : PMS/XX/X/14 / UAE

Date :

NAME OF COMPANY : XXXXX

(Handbook for ISM Audit 11TH Edition)

- (a) Statutory and Class Certificate, and the statutory and survey records of at least one ship of each ship type covered by the SMS.
 - (b) Activities related to SMS have been operated in conformity with the Company SMS, as well as the requirements of conventions such as the ISM Code, SOLAS, STCW and Flag requirements, through examination of the controlled records.
 - (c) In the case of a Company, which manages ship(s) manned with multi-national crew, how the Company is checking the language skills of the crew and their communication abilities.
 - (d) Understanding and implementation of the Company's SMS by Designated Person(s) and the Manager of each Department/Section related to the SMS shall be verified through interview.
- (4)** In cases of Company Audits including Annual and Renewal Audits, the Company shall provide the statutory and classification survey records as well as ISM audit records relevant to all ships concerned, for auditors' scrutiny.

4.2 Audit for issuing Interim DOC

4.2.1 In the case of a newly established Company

An audit for issuing Interim DOC; for a newly established Company shall be conducted according to the following steps.

- (1) An auditor of an Office having jurisdiction over the area of the Company shall visit the Company, and shall ask some questions. In addition, the auditor shall confirm the contents of the "SMS Implementation Plan", which is described in 3.4.1(2) (a) on page 8.
- (2) An interim document review shall be conducted at the Head Office of P.M.S.
- (3) Interim DOC shall be issued from the Office, upon completion of the interim document review.
- (4) In this case, the Company shall undergo Initial Audit to obtain DOC, within the validity (6 + 3 months) of the Interim DOC. In this case, further Document Review for the Manual and Procedures should be conducted prior to the Audit on site. In this regard, the Application for the Initial Audit should be forwarded one month before the intended date.

4.2.2 In the case of Addition of Ship Type

An audit for issuing an Interim DOC for a Company who is in possession of DOC issued by PMS and applies its SMS to a new ship type(s), which is not stated on the existing DOC, shall be conducted according to the following steps.

- (1) An auditor of an Office shall verify the revised parts of the SMS Manual, Procedures (cargo handling, emergency response and maintenance relevant to ship type(s) to be added) and SMS Implementation Plan for the ship type(s) in question.
- (2) An Interim DOC indicating only the new ship type(s) shall be issued from the Office, upon completion of above verification.
- (3) In this case, the Company shall undergo an Additional Audit to obtain a DOC, within the validity (9 months) of the Interim DOC



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4.3 Annual Audit of Company

(I) An Annual Audit is to be carried out within three months before or after the anniversary

3.4 Application for Audit

3.4.1 Application for Company Audit

An Application Form for Company Audit is available to download from "Download Application Forms".
"Application for Company Audits of SMS" (Form No, APPLI-C)

The Company is requested to submit the Application for Company Audit to an office of PMS having jurisdiction over the area of the Company, attaching the following documents.

Documents to be attached to the Application for Company Audit

(1) Initial Audit

The following documents shall be attached to the original of the Application.

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|--|----------|
| (a) Safety Management Manual (SMS Manual); | 2 copies |
| (b) Procedures related to SMS (including forms and checklist); | 1 copy* |
| (c) List*3 of Ship(s) of each ship type" covered by the SMS; | 2 copies |
| (d) Outline of the Company and its business activities; | 2 copies |
- 1: 2 copies when the Procedures are not separate from the SMS Manual
2: Ship Type shall be in accordance with "1. Ship Type and Application of the ISM Code" (page 2)
3: List of Ship(s) shall include "Name of Ship", "Name of Class Society\Class No.", "Year Built", "Flag", "IMO No." and Gross tonnage".

In case of "Other Cargo Ship", "purpose" shall be added in the List.

(2) Audit for issuing Interim DOC

(a) A new-IN' established Company

A "SMS Implementation Plan" shall be submitted in addition to the documents specified in (1) Initial Audit.

In this case, an auditor of PMS shall visit the Company in advance. An "SMS Implementation Plan" shall include following items.

- Delivery date of SMS documents (ashore and ship)
- Implementation date of SMS (ashore and ship)
- Scheduled date of Internal Audit (ashore and ship)
- Scheduled date of Initial Audit by PMS (ashore and ship)

(b) Addition of Ship Type(s) to DOC issued by PMS

When a Company, who is in possession of DOC issued by PMS applies its SMS to a new ship type(s) not stated on the existing DOC, the Company is requested to submit "revised parts of SMS Manual, Procedures". **List of Ship(s)" and "SMS Implementation Plan" related to the ship type(s) in question.

(3) Annual or Renewal Audit

The Company is requested to submit the revised parts of the SMS Manual, when there is any change to the SMS Manual.

(4) Additional Audit

The Company is requested to submit documents which describe the reason and detail of Additional Audit and supplemental information, as necessary.

(2)