Guidelines For Statutory Services

Part 6 Statutory

Volume 9

GUIDELINES FOR THE PREPARATION OF PORT STATE CONTROL INSPECTIONS (FOR SHIP OWNER)

2022

Biro Klasifikasi Indonesia

www.bki.co.id

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The following Guidelines come into force on 1st July 2022.

Foreword

The Guidelines is to be used for Ship Owner or Ship Management to prepare their vessels for ship inspections carried out by Port State Control Officer. The guidelines provide information related how to minimize the risk of ship detention, action to be taken during inspection by PSCO on board and etc.

This Guidelines contains the following 6 Sections:

- Section 1 contains introduction including Applicability, Objectives and Goals, and definitions
- Section 2 contains PSC Risk based & Action to be taken including type of inspection, Ship Risk Profile, Concentrated Inspection Campaigns and PSC Inspection Result Code
- Section 3 contains Detainable deficiencies item based on the provision of IMO Convention including SOLAS, MARPOL Convention and other mandatory codes
- Section 4 contains best practice on Board for Master and Ship Owner
- Section 5 contains PSC follow up by Fleet Quality Monitoring BKI including BKI Fleet quality system, unscheduled survey and fleet quality information
- Section 6 contains form sample checklist

This Guidelines is available to be downloaded at www.bki.co.id. Once downloaded, these Guidelines will be uncontrolled copy. Please check the latest version on the website.

Further queries or comments concerning these Guidelines are welcomed through communication to BKI Head Office.

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Section 1 Introduction

A. Applicability

Biro Klasifikasi Indonesia (BKI) has devoted ourselves to raise Port State Control (PSC) performance continuously in order to promote maritime safety and to protect the marine environment at sea. Through this guidelines BKI invites shipowners, ship management and masters to ensure their ships comply with relevant International standards thus reducing the risk factor for being detained by Port State Control.

This Guidelines applies to ships registered in BKI sailing in international waters and can be used by Ship Owners or Ship Management for the abovementioned cause. Shipowners need to ensure at all time that the ship is properly maintained and operated so that it remains in conformance with all applicable international standards and requirements. Careful maintenance and operations of the ship is considered to be the key factors in avoiding any unnecessary problems during a PSC inspection.

B. Objectives and Goal

The Objectives of this guidelines is to reduce the possible detention rate of ships in any Port State Regional MOU's to avoid any undue delay in the operation of the ships. This goal can be achieved through:

1. Understanding various risk and criteria imposed,
2. Understanding items that can be considered as detainable deficiencies,
3. Best practices for Master and Ship Owners,
4. Fleet Quality Monitoring; and
5. Sample Checklist to be used for ship self-evaluation prior to entering any ports.

Most lapses and deficiencies onboard can be prevented by doing various operational checks, maintenance and repairs of machinery and equipment periodically, which includes maintenance of shipboard records properly, confirming the validity of all certificates and documents as well as verifying the survey dates of all relevant class and statutory surveys .

BKI registered ships should follow the above measures mentioned in detailed within this Guidelines to be prepared for PSC Officer Inspection. BKI continues to provide services in this field through risk-profiling of ships and Company/Ship Owner/Ship Management, ship detention assistance, continuous updates of information on upcoming requirements and Concentrated Inspection Campaign(CIC) , sharing knowledge through training / customer visits on PSC related issues, etc.

C. Definitions

Table 1.1 Definitions

Clear Grounds	:	Evidence that the ship, its equipment, or its crew does not correspond substantially with the requirements of the relevant conventions or that the master or crew members are not familiar with essential shipboard procedures relating to the safety of ships or the prevention of pollution.
Concentrated Inspection Campaign	:	Any of the three inspections that focus on specific areas where high levels of deficiencies have been encountered by PSCOs, or where new convention requirements have recently entered into force.
Deficiency:	:	A condition found not to be in compliance with the requirements of the relevant convention.
Detention:	:	Intervention action taken by the port State when the condition of the ship or its crew does not correspond substantially with the applicable conventions to ensure that the ship will not sail until it can proceed to sea without presenting a danger to the ship or persons on board, or without presenting an unreasonable threat of harm to the marine environment, whether or not such action will affect the normal schedule of the departure of the ship.
Initial Inspection	:	An initial inspection is a general inspection of certificates and a round on deck, engine room, galley and other common areas.
Expanded Inspection	:	Expanded inspection is the initial inspection with a wider scope
Inspection:	:	A visit on board a ship to check both the validity of the relevant certificates and other documents, and the overall condition of the ship, its equipment and its crew.
Memorandum of Understanding (MoU)	:	A formal agreement between two or more parties. Companies and organizations can use MOUs to establish official partnerships. MOUs are not legally binding but they carry a degree of seriousness and mutual respect, stronger than a gentlemen's agreement.
More detailed inspection	:	An inspection conducted when there are clear grounds for believing that the condition of the ship, its equipment or its crew does not correspond substantially to the particulars of the certificates.
Port State Control (PSC)	:	The inspection of foreign ships in national ports to verify that the condition of the ship and its equipment comply with the requirements of international regulations and that the ship is manned and operated in compliance with these rules.
Port State Control Officer (PSCO)	:	A person duly authorized by the competent authority of a Party to a relevant convention to carry out port State control inspections, and responsible exclusively to that Party.
Recognized organization (RO)	:	An organization that has been assessed by a flag State, and found to comply with this part of the RO Code.
Recognized organization (RO)	:	An organization which meets the relevant conditions set forth by resolution A.739(18), as amended by resolution MSC.208(81), and resolution A.789(19), and has been authorized by the flag State Administration to provide the necessary statutory services and certification to ships entitled to fly its flag.

Table 1.1 Definitions *(continued)*

Shipowner	:	A person or company owning a ship or a share in a ship.
Stoppage of an operation	:	Formal prohibition against a ship to continue an operation due to an identified deficiency(ies) which, singly or together, render the continuation of such operation hazardous.
Substandard ship	:	A ship whose hull, machinery, equipment or operational safety is substantially below the standards required by the relevant convention or whose crew is not in conformance with the safe manning document.
Valid certificates	:	A certificate that has been issued directly by a Party to a relevant convention or on its behalf by a recognized organization and contains accurate and effective dates meets the provisions of the relevant convention and to which the particulars of the ship, its crew and its equipment correspond.

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Section 2 PSC: Risk Based & Action to be taken

A. Type of Inspection

1. Initial Inspection

Visit on board a ship to check both the validity of the relevant certificates and other documents and the overall condition of the ship, its equipment and its crew.

2. More detailed inspection

Inspection conducted when there are "clear ground" as defined in Section 1.C for believing that the condition of the ship, its equipment or its crew does not correspond substantially to the particulars of the certificates.

Clear grounds arise when:

1) Ship, equipment or crew do not appear to correspond substantially with the relevant regulation
2) Crew are not familiar with basic shipboard operational procedures related to safety or pollution prevention.

3. Expanded inspection (certain type and age of ship)

3.1 The following categories of ships will be subject on the expanded inspection by PSC are:

- ships with a high risk profile as defined in B,
- passenger ships, oil tankers, gas or chemical tankers or bulk carriers, older than 12 years of age,
- ships with a high risk profile or passenger ships, oil tankers, gas or chemical tankers or bulk carriers, older than 12 years of age, in cases of overriding or unexpected factors,
- ships subject to a re-inspection following a refusal of access order issued.

3.2 The operator or master of the ship shall ensure that sufficient time is available in the operating schedule to allow the expanded inspection to be carried out.

3.3 The scope of an expanded inspection, including the risk areas to be covered, is set out in Section 3.

4 Follow up Inspection by PSC Officer

This inspection could be carried out by PSC officer to verify that outstanding deficiencies have been addressed. An outstanding deficiency can only be closed in the database upon physical verification by a PSC officer through a follow-up inspection.

B. Ship Risk Profile

1. New Inspection Regime (NIR)

1.1 Objective

The purpose of the implementation of New Inspection Regime are

- Less number of inspection but to be better inspection process.
- Less burden to ships because of if ship is categorized as good ships, then relatively long period between inspections.
- To improve control process.

1.2 In New Inspection Regime the ship risk profile needs to be calculated in accordance with the provision in the Table 2.1.

2 Targeting System

2.1 Ships which will be a targeting on the inspection by PSC are determined by ship risk profile as describe in Table 2.1. In determining these risk profiles, it should take into account of the parameters for type of ship, flag State performance, recognised organisations and company performance as below:

Table 2.1 Calculation of Ship Risk Profile in Tokyo MoU

PARAMETER		PROFILE			
		HRS [3] (when sum of weighting points >=4)		SRS [5]	LRS [4]
		Criteria	Weighting point [1] Tokyo MOU	Criteria	Criteria
Type of ship		Chemical tanker, Gas Carrier, Oil tanker, Bulk Carrier, Passenger, Container ship	2	Neither LRS nor HRS	-
Age of ship		All types > 12 year	1		-
Flag State Performance	BGW list [2]	Black	1		White
	IMO Audit	-	-		Yes
RO	RO of Tokyo MOU	-	-		Yes
	Performance	Low Very low	1		High
Company performance		Low Very low No inspection within prev. 36 monts	2		High

Table 2.1 Calculation of Ship Risk Profile in Tokyo MoU *(continued)*

PARAMETER		PROFILE			
		HRS [3] (when sum of weighting points >=4)		SRS [5]	LRS [4]
		Criteria	Weighting point [1] Tokyo MOU	Criteria	Criteria
Deficiencies	Number of deficiencies recorded in each insp. within prev. 36 months	How many insp. were there which recorded over 5 def.	No. of insp. which recorded over 5 def.		All insp. have 5 or less deficiencies (at least one insp. within prev. 36 months)
Detention	Num. of detention within prev. 36 months	3 or more detentions	1		No detention

Note:

1 If total weighting point more than 4, the ship is classified as High-Risk Ship and will be a target inspection by PSC Officer.

2 BGW (Black Grey White) list means status of flag state performance is established annually taking account of the inspection and detention history over the preceding three calendar years.

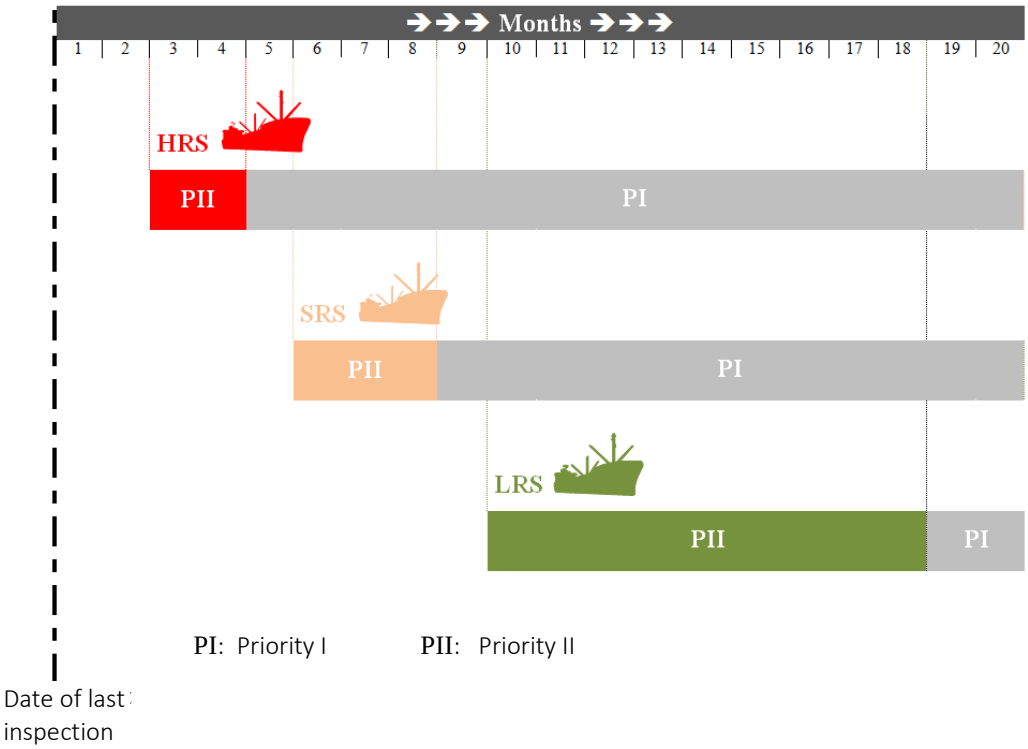
3 High Risk Ships (HRS) are ships which meet criteria to a total value of 4 or more weighting points.

4 Low Risk Ships (LRS) are ships which meet all criteria of the Low Risk Parameters and have had at least one inspection in the previous 36 months.

5 Standard Risk Ships (SRS) are ships which are neither HRS nor LRS.

2.2 According to above table, the ship risk profile classifies ships into High Risk Ship (HRS) and Low Risk Ship (LRS). If a ship is neither Low Risk nor High Risk, it is classified as Standard Risk Ship (SRS). Such categories will affect to the time window of inspection carried out by PSC. Ships categorised as high risk will have shorter period inspections by PSC Officer. Furthermore, BKI will provide additional services to those ships falls under a High-Risk Profile with reference to the provision in Section 5.

The period of inspection by PSC is shown on Fig. 2.1.



Note:
Priority I : Ships must be inspected because the time window has closed
Priority II : Ships may be inspected because they are within the time window of inspection

Fig. 2.1 Ship Risk Profile Inspection Window

2.3 Should the time window has passed, a ship becomes Priority I. The ship will be selected for inspection by PSC Officer.

2.4 When the time window opens, a ship becomes Priority II. The ship can be selected for inspection by PSC Officer.

2.5 If an overriding factor is logged against, a ship it becomes Priority I irrespective of the time window and the ship will be selected for inspection.

2.6 If an unexpected factor is logged against, a ship it becomes Priority II irrespective of the time window and the ship can be selected for inspection.

2.7 Before the window opens for any risk profile and there are no overriding or unexpected factor is logged, the ship has no priority status and member States are not obliged to perform an inspection on such ship but if deemed appropriate may still choose to do so.

3 Overriding & Unexpected factors

3.1 The overriding factors will have impact on additional inspection at Priority I. These factors include:

- Ships reported by another Member State excluding unexpected factors;
- Ships involved in a collision, grounding or stranding on their way to port;
- Ships accused of an alleged violation of the provisions on discharge of harmful substances or effluents;

- Ships which have been manoeuvred in an erratic or unsafe manner whereby routing measures; adopted by the IMO, or safe navigational practices and procedures have not been followed;
- Ships which have been suspended or withdrawn from their Class for safety reasons after last PSC inspection;
- Ships which cannot be identified in the database.

3.2 Unexpected factors could indicate a serious threat to the safety of the ship and the crew, ship and environment but the need to undertake an additional inspection is for the professional judgment of the Authority. These factors include:

- Ships reported by pilots or relevant authorities which may include information from Vessel Traffic Services about ships' navigation,
- Ships which did not comply with the reporting obligations,
- Ships reported with outstanding deficiencies (3 months after issuing of the deficiency)
- Previously detained ships (3 months after the detention),
- Ships which have been the subject of a report or complaint by the master, seafarer or any person or organization with a legitimate interest in the safe operation of the ship, shipboard living and working conditions or the prevention of pollution, unless the Member State concerned deems the report or complaint to be manifestly unfounded,
- Ships operated in a manner to pose a danger,
- Ships reported with problems concerning their cargo, in particular noxious or dangerous cargo,
- Ships where information from a reliable source became known, that their risk parameters differ from the recorded ones and the risk level is thereby increased,
- Ships carrying certificates issued by a formerly Paris MoU recognized organization whose recognition has been withdrawn since the last inspection in the Paris MoU region

C. Concentrated Inspection Campaigns (CIC)

1. These campaigns focus on a particular area of compliance with international regulations with the aim of gathering information and enforcing the level of compliance. Each campaign is prepared by experts and identifies a number of specific items for inspection. Several Concentrated Inspection Campaigns have been held in the Tokyo MOU and others MOU.

2. Ship-owner should prepare its ships in accordance with CIC requirements in order to avoid any undue delay due to detentions. In addition, BKI will issue Technical Information regarding concentrated inspection campaigns which can be downloaded through BKI website (www.bki.co.id).

D. PSC Inspection Result Code (Applicable for Tokyo MOU)

1. Deficiency

1.1 Should a ship is found not to be in compliance with the requirements of the relevant convention, PSC Officer may do the following:

1) Decide on the appropriate action to be taken
2) Be satisfied that they will be rectified
3) Decide if it is a ground for detention

1.2 Any non-conformance should be considered as deficiency. In principle, all deficiencies should be rectified before the departure of the ship. This does not mean that every deficiency must be checked as rectified by PSC.

2. Detention

2.1 Deficiencies may lead to detentions by PSC Officer. This action could be taken by the port State Control Officer when the condition of the ship or its crew does not correspond substantially with the applicable conventions.

2.2 It is being done to ensure that the ship shall not sail until it can proceed to sea without presenting a danger to the ship or persons on board, or without presenting an unreasonable threat of harm to the marine environment.

3. Deficiency Action Codes

In dealing with PSC inspections, ships may have been given recommendations/deficiencies according to the list on deficiency action code. This paragraph will give information on relevant activities for each action code identified. Master of the ships should understand the following in order to provide better communications with the PSC Officer and Ship Owner for negotiating any deficiency given.

Table 2.2 Deficiency action codes

Codes	Deficiencies Action
10	Deficiency rectified
15	Rectify deficiency at next port
16	Rectify deficiency within 14 days
17	Rectify deficiency before departure
18	Rectify deficiency within 3 months
30	Detainable deficiency (ship detained)
46	Rectify detainable deficiency at agreed repair port
48	As in the agreed flag State condition
49	As in the agreed rectification action plan
99	Other (specify in clear text)

3.1 Rectified (code 10)

Used for a deficiency which has been rectified and verified by a PSC Officer.

3.2 To be rectified at next port (code 15)

Used for a deficiency which cannot be rectified before departure but which the PSC Officer requires the rectification at the next port.

This action requires that the deficiency is rectified at the next port. It is possible that the repair work or delivery of equipment may take place during the ship's stay in that port.

3.3 To be rectified within 14 days (code 16)

Used for a deficiency which, in the PSC Officer's professional judgement, is not serious enough to require urgent rectification or verification by a PSC Officer before departure.

This action taken sets a maximum limit of 14 days but it is left to the master's responsibility to rectify the deficiency as soon as necessary and reasonable within that period.

3.4 To be rectified before departure (code 17)

Used for a deficiency which:

Should be rectified before the ship sails but is not serious enough to warrant detention, or/and can reasonably be rectified before the ship sails.

If the ship is not detained it is left to the master's responsibility to rectify the deficiency before departure. No verification by a PSC Officer is required (at that port call).

If a deficiency which is to be rectified before departure is verified by a PSC Officer as rectified before the ship departs it should be recorded as rectified.

3.5 To be rectified within 3 months (code 18)

Used for a professional judgement by PSC in deciding whether technical or operational related deficiencies, individually or collectively do not warrant a detention of the ship but indicate a failure, or lack of effectiveness, of the implementation of the ISM Code.

3.6 Detainable deficiency (ship detained) (code 30)

Used for a detainable deficiency where the PSC Officer stated that ship are detained and rectification action should be done before ship allowed to continue sailing.

3.7 To be rectified at agreed repair port (code 46)

Used only for a detainable deficiency which the PSC Officer agrees for the ship to sail to a repair port for rectification.

3.8 As in the agreed flag State condition (code 48)

Used only for a deficiency found during the PSC inspection which cannot be fully rectified before departure for which the PSC Officer has accepted a document with a condition on the outstanding deficiency issued by the flag State of the ship or delegated RO on behalf of the flag State of the ship.

3.9 As in the agreed rectification action plan (code 49)

The master and ship owner propose a Rectification Action Plan (RAP). The RAP should be submitted by the master to the flag State and should be attached to the notice of release of detention form.

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Section 3 Detainable Deficiencies Item

A. General

The following list are grouped under relevant conventions and codes, indicates those deficiencies which may be considered of such a serious nature as to be categorized as detainable deficiencies. This list is not considered exhaustive but is intended to give examples of relevant items.

B. SOLAS Convention

1. Failure of proper operation of propulsion and other essential machinery, as well as electrical installations.

2. Insufficient cleanliness of engine-room, Excess amount of oily-water mixture in bilges, insulation of piping, including exhaust pipes in engine room contaminated by oil, and improper operation of bilge pumping arrangements.

3. Failure of proper operation of emergency generator, lighting, batteries, and switches.

4. Failure of proper operation of the main and auxiliary steering gear.

5. Absence, failure, insufficient capacity or serious deterioration of personal life-saving appliances, survival craft and launching and recovery arrangements (see also MSC.1/Circ.1490/Rev.1).

6. Absence, non-compliance or substantial deterioration to the extent that it cannot comply with its intended use of fire detection system, fire alarms, fire-fighting equipment, fixed fire-extinguishing installation, ventilation valves, fire dampers and quick-closing devices.

7. Absence, substantial deterioration or failure of proper operation of the cargo deck area fire protection on tankers.

8. Absence, non-compliance or serious deterioration of lights, shapes or sound signals.

9. Absence or failure of the proper operation of the radio equipment for distress and safety communication.

10. Absence or failure of the proper operation of navigation equipment, taking the relevant provisions of SOLAS 1974 regulation V/16.2 into account.

11. Absence of corrected navigational charts, and/or all other relevant nautical publications necessary for the intended voyage, taking into account that electronic charts may be used as a substitute for the charts.

12. Absence of non-sparking exhaust ventilation for cargo pump-rooms.

13. Serious deficiency in the operational requirements listed in appendix 7.

14. Number, composition or certification of crew not corresponding with safe manning document.

15. Non-implementation or failure to carry out the enhanced survey programme in accordance with SOLAS 1974 regulation XI-1/2 and the International Code on the Enhanced Programme of Inspections during Surveys of Bulk Carriers and Oil Tankers, 2011 (2011 ESP Code), as amended.

16. Absence or failure of a voyage data recorder (VDR), when its use is compulsory.

C. MARPOL Convention, Annex I

3. Absence, serious deterioration, or failure of proper operation of the oily-water filtering equipment, the oil discharge monitoring and control system, or the 15 ppm alarm arrangements.

4. Remaining capacity of slop and/or sludge tank insufficient for the intended voyage.

5. Oil record book not available.

6. Unauthorized discharge bypass fitted.

7. Failure to meet the requirements of Reg. 20.4 or alternative requirements specified in regulation Reg. 20.7.

8. Oily bilge water and/or oil residue accumulated in machinery spaces

D. MARPOL Convention, Annex II

1. Absence of approved P&A Manual.

2. Cargo is not categorized.

3. No cargo record book available.

4. Unauthorized discharge bypass fitted.

E. MARPOL Convention, Annex III

1. Absence of a valid Document of Compliance for carriage of dangerous goods (if required).

2. Absence of a Dangerous Cargo Manifest or detailed stowage plan before departure of the ship.

3. Stowage and segregation provisions of the IMDG Code chapters 7.1, 7.2, 7.4, 7.5 and 7.6 are not met.

4. Ship is carrying dangerous goods not in compliance with the Document of Compliance for carriage of dangerous goods of the ship.

5. Ship is carrying damaged or leaking dangerous goods packages.

6. Ship's personnel assigned to specific duties related to the cargo are not familiar with those duties, any dangers posed by the cargo and with the measures to be taken in such a context.

F. MARPOL Convention, Annex IV

1. Absence of valid International Sewage Pollution Prevention Certificate.

2. Sewage treatment plant not approved and certified by the Administration.

3. Failure of sewage treatment plant.

4. Ship's personnel not familiar with disposal/discharge requirements of sewage.

G. MARPOL Convention, Annex V

1. Absence of the garbage management plan.

2. No garbage record book available.

3. Ship's personnel not familiar with disposal/discharge requirements of garbage management plan.

H. MARPOL Convention, Annex VI

1. Absence of valid International Air Pollution Prevention Certificate (IAPP Certificate) and where relevant Engine International Air Pollution Prevention Certificates (EIAPP Certificates) and Technical Files.

2. A marine diesel engine with a power output of more than 130 kW which is installed on board a ship constructed on or after 1 January 2000, or a marine diesel engine having undergone a major conversion on or after 1 January 2000 which does not comply with the NOx Technical Code 2008, as amended.

3. The sulphur content of any fuel oil used on board ships exceeds the limit of 0.5% m/m on and after 1 January 2020.

4. The sulphur content of any fuel used on board exceeds 0.1% m/m while operating within a SOX emission control area as per the provisions of regulation 14.

5. Emission reduction by equivalent arrangements is not met.

6. An incinerator installed on board the ship on or after 1 January 2000 does not comply with requirements contained in appendix IV to the Annex, or the standard specifications for shipboard incinerators developed by the Organization (resolution MEPC.244(66)).

7. Ship's personnel are not familiar with essential procedures regarding the operation of air pollution prevention equipment.

8. Absence of valid IEEC (International Energy Efficiency Certificate).

9. Absence of a Statement of Compliance related to fuel oil consumption reporting on board.

I. Load Line Convention

1. Significant areas of damage or corrosion, or pitting of plating and associated stiffening in decks Table 2.1 Calculation of Ship Risk Profile in Tokyo MoU (continued)and hull affecting fitness to proceed or strength to take local loads, unless properly authorized temporary repairs for a voyage to a port for permanent repairs have been carried out.

2. A recognized case of insufficient stability.

3. The absence of sufficient and reliable information, in an approved form, which by rapid and simple means enables the master to arrange for the loading and ballasting of the ship in such a way that a safe margin of stability is maintained at all stages and at varying conditions of the voyage, and that the creation of any unacceptable stresses in the ship's structure is avoided.

4. Absence, substantial deterioration or defective closing devices, hatch closing arrangements and watertight/weathertight doors.

5. Overloading.

6. Absence of, or impossibility to read, draught marks and/or Load Line Marks.

7. The means of freeing water from the deck not in satisfactory or operational condition.

J. IBC Code

1. Transport of a substance not mentioned in the Certificate of Fitness or missing cargo information.

2. Missing or damaged high pressure safety devices.

3. Electrical installations not intrinsically safe or not corresponding to the code requirements.

4. Sources of ignition in hazardous locations.

5. Contravention of special requirements.

6. Exceeding of maximum allowable cargo quantity per tank.

7. Insufficient heat protection for sensitive products.

8. Pressure alarms for cargo tanks not operable.

9. Transport of substances to be inhibited without valid inhibitor certificate.

K. IGC Code

1. Transport of a substance not mentioned in the Certificate of Fitness or missing cargo information.

2. Missing closing devices for accommodations or service spaces.

3. Bulkhead not gastight.

4. Defective air locks.

5. Missing or defective quick-closing valves.

6. Missing or defective safety valves.

7. Electrical installations not intrinsically safe or not corresponding to the Code requirements.

8. Ventilators in cargo area not operable.

9. Pressure alarms for cargo tanks not operable.

10. Gas detection plant and/or toxic gas detection plant defective.

11. Transport of substances to be inhibited without valid inhibitor certificate.

L. IGF Code

1. Transport of a substance not mentioned in the Certificate of Fitness or missing cargo information.

2. Missing closing devices for accommodation or service spaces.

3. Bulkhead not gas tight.

4. Defective airlocks.

5. Missing or defective quick closing valves.

6. Missing or defective safety valves.

7. Electrical installations not intrinsically safe or not corresponding to the code requirements.

8. Ventilators in cargo area not operable.

9. Pressure alarms for cargo tanks not operable.

10. Gas detection plant and/or toxic gas detection plant defective.

11. Transport of substances to be inhibited without valid inhibitor certificate.

M. STCW Convention

1. Failure of seafarers to hold appropriate certificates to have a valid dispensation or to provide documentary proof that an application for an endorsement has been submitted to the Administration.

2. Failure to comply with the applicable safe manning requirements of the Administration.

3. Failure of navigational or engineering watch arrangements to conform to the requirements specified for the ship by the Administration.

4. Absence in a watch of a person qualified to operate equipment essential to safe navigation, safety radio communications or the prevention of marine pollution.

5. Inability to provide for the first watch at the commencement of a voyage and for subsequent relieving watches persons who are sufficiently rested and otherwise fit for duty.

N. AFS Convention

1. Failure of seafarers to hold appropriate certificates to have a valid dispensation or to provide documentary proof that an application for an endorsement has been submitted to the Administration.

2. Sampling proves it is non-compliant within the port's jurisdiction.

Areas which may not warrant a detention, but where, for example, cargo operations have to be suspended

Failure of the proper operation (or maintenance) of inert gas systems, cargo-related gear or machinery should be considered sufficient grounds to stop cargo operation.

Section 4 Best Practice on Board for Master or Ship Owner

A. Self-Inspection Carried Out by Master or Ship Owner

1. Self-inspection

The purpose of conducting a self-inspection is to ensure that all shipboard personnel are familiar with the procedures, processes and equipment to be inspected by the PSC, such as:

1) The self-inspection should take into account especially with regard to the item of detainable deficiencies listed in Section 3.
2) Conduct actual on-board inspection with checklist (see Section 6 for reference of an example for PSC self-evaluation check list) (The master should understand the significance and the purpose of each item to be checked).
3) Be prepared with the documentation/corrective action taken on deficiencies detected previously if it is a follow-up PSC inspection.

2. Procedure when major deficiencies are detected before Dep./Arr. at the Port

When possible major deficiencies are detected before Departure or Arrival at the Port, the Master should

1) Consider the possibility of repair/rectification of the deficiencies on board (BKI should be consulted before undertaking the repair/rectification, as applicable);
2) Consult the shore side management regarding feasibility of repairs at the Port/Other facility if on-board repairs cannot be carried out;
3) Record in Deck Log Book & Eng. Log Book;
4) Consult and inform BKI with regard to corrective action planning; and
5) Inform Port State Control as necessary.

3. Active support & management for the Ship by Owner or Management company

Ship owner/Ship management should, in order to reduce /avoid PSC detentions conduct the following

1) Bring motivation to the ship's crew through introducing PSC awareness by master/management representative periodically.
2) Active support to ship for rectification of the identified deficiencies.
3) Collection of information relevant to PSC (in form of latest IMO regulations, PSC circulars, flag State circulars, BKI Technical information, Technical bulletins, etc) & dissemination to the ship.
4) Checking the vessel's condition through periodical internal audits and inspections, etc., reviewing the outcomes and taking the necessary correcting actions.
5) Verifying the effectiveness of the Ship's safety management system.

B. Active & Positive attitude during PSC Inspections

1. During PSC inspection, the master or crew of ship should do the following

a) Having friendly attitude to PSCO. Be polite and gentle.

b) Prompt rectification (if possible) of the deficiencies & detention items or preparation of a rectification/repair plan in case the deficiencies cannot be rectified immediately (contact with shore side management).

c) Do not attempt to/conceal the self-identified detention items.

d) Feedback to PSCO (if applicable) regarding rectification results.

e) Documentations (photography/video/audio other than the ships) involving PSCO taken during inspections should be taken with permission of PSCO, to avoid any legal consequences.

f) (If deemed appropriate) Contact the management company or BKI head office as applicable.

2. Ship Master could, in a polite and gentle manner, give feedback (appeals) regarding inspection result carried by PSCO taking into account action to be taken by PSC as reference in Section 2.D.

C. Communication (Contact List)

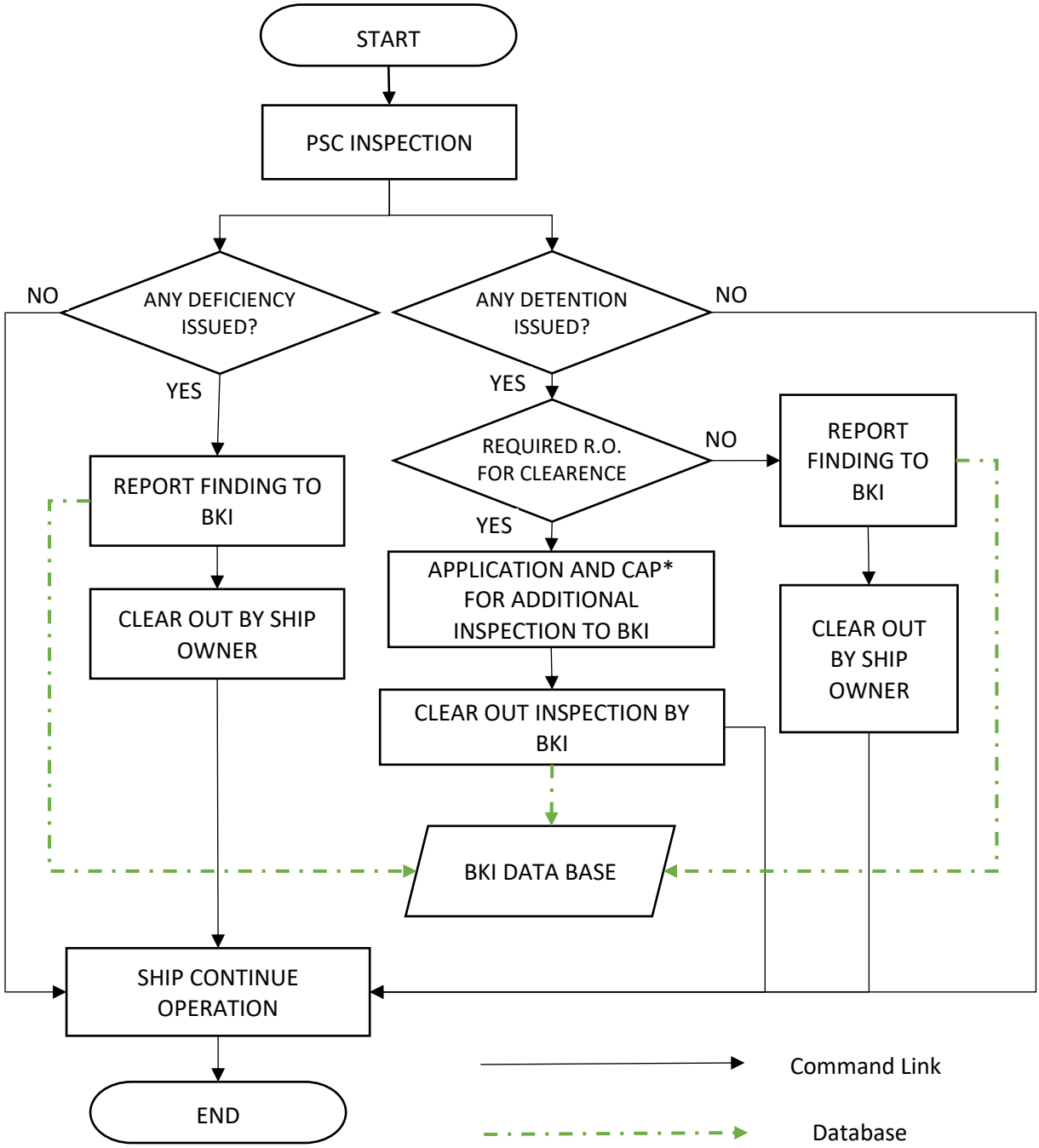
1. When the detention/deficiencies occurred, Ship Owner obliged to report detention/deficiencies as identified in PSC inspections form to BKI Head Office with following Contact Point and if the communications is done through email, the subject should be added [PSC info-ship name-IMO no]:

	Subject email	Division	e-mail
BKI Representative	[PSC info-ship name-IMO no]	Statutory Division	sta@bki.co.id

2. Ship Owner could submit an information of ship deficiencies/detention containing minimum data as follows:

- Ship name and IMO number
- Type of ship
- Gross tonnage
- The classification societies name
- Pictures/Documentation of deficiencies/detentions items, and
- Form A and Form B.

3. Ship Owner should follow the following scheme to informed any activities related to PSC Inspection.



Note:

CAP: Corrective Action Plan prepared by ship representative

Fig. 4.1 Scheme of reporting PSC Inspections to BKI

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Section 5 PSC Follow Up by Fleet Quality Monitoring BKI

A. BKI Fleet Quality Monitoring system

In order to maintain the quality of BKI inspected vessel, BKI also determine certain calculation formula to categorized the ship profile risk for preventing any further detention by PSC officer. This formula is a combination from Tokyo MoU - NIR method and own classification risk method. Ship risk calculation will take the data for a whole year inspection. The ship risk profile record will be shared to each stakeholder which indicates the “red” or “green” category for their vessel.

Factor which is includes into the ship risk calculation are as follows:

- Number of item deficiencies and detentions
- Number of ISM ship deficiencies item
- Ship’s age
- RO performance
- Type of ship
- Flag category
- Number of recommended class item

As a follow up action, BKI will encouraged the ship owner to reduce their vessel’s risk profile using additional inspection and/or additional audit. The additional inspection will help shipowner to avoid any detention when their vessel inspected by PSC officer. BKI Head office will inform the ship owner directly for additional inspection offering including detail information on risk profile scoring result, and ship owner will need to submit the confirmation for following this program.

B. Unscheduled Survey

The unscheduled survey is a voluntary inspection until stated otherwise, that have a sole goal to improve the risk profile of any vessel, inspected by BKI. This survey will be scheduled to be carried out twice in one-year period after any detention. The first one will be carried out immediately after ship being released. And the other one will be carried out in the same occasion of its periodical survey due date.

BKI Surveyor will enlist any item/action necessary to be improved in order to lower the high-risk profile. Ship owner will need to submit their Correction Action Plan (CAP) and carrying all item listed on that document at the first occasion after that CAP have been approved by BKI Surveyor. Each of survey item will be carried out based on the item of Annual Statutory Survey, in much detail order.

When the ship having further detention after carrying out unscheduled survey, the ship owner will be offered of more detail unscheduled inspection program which include additional company audit.

C. Fleet Quality Information

The ship risk profile information will be available for the ship owner and dedicated government bodies.

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Section 6 Checklist

A. General

The following are used to minimize the risk of the ships being detained by PSC. This checklist may be used by crew prior to arrival into the Port. The items in this checklist are group in area where deficiencies that often resulted in PSC detention.

B. Master's Office Certificates and Documentation

- ☐ Certificates and documents are available on board, current and valid, and properly endorsed.
- ☐ The vessel's Master reviews the information to confirm that the agent has returned the original certificates.
- ☐ Servicing certificates for firefighting and lifesaving equipment are in date and available.
- ☐ Special attention should be paid to dates, capacities, and required supplements.

C. Standards of Training, Certification and Watchkeeping (STCW)

- ☐ The vessel's crew members are adequately trained
- ☐ Crew certificate (STCW) and Flag's administration endorsement
- ☐ Many flag Administrations may require certificates to be issued by the vessel's flag State
- ☐ Medical certificate

D. ISM and ISPS Codes

- ☐ The vessel's Master has a firm knowledge of the vessel's Safety Management System as well as the International Ship and Port Facility Security (ISPS) Code.
- ☐ Proper on-board maintenance and drills are carried out and documented in the vessel's log book as required by the ISM and ISPS Codes.

E. ILO Maritime Labour Convention

- ☐ Master is familiar with the national requirements and company's measures ensuring compliance with the requirements of the Convention relative to seafarers' working and living conditions on board.
- ☐ Periodic inspections are carried out and documented for accommodation, food and drinking water, all spaces and equipment used for storage and handling of food, including galley areas.

F. Manuals

Manuals and booklets are on board and up to date as applicable including:

- ☐ Life Saving Appliances and Fire Safety Training manuals
- ☐ Trim and stability booklet
- ☐ Loading manual
- ☐ Cargo securing manual
- ☐ Survey planning document (including enhanced survey report files) - required by ESP oil tankers, bulk carriers and chemical carriers
- ☐ Shipboard Oil Pollution Emergency Plan (SOPEP) including updated contact list
- ☐ Shipboard Marine Pollution Emergency Plan (SMPEP)
- ☐ Grain loading manual
- ☐ Damage control plan
- ☐ Loading instrument book
- ☐ Coating technical file - required for Performance Standard for Protective Coatings (PSPC)
- ☐ Emergency towing procedure
- ☐ Garbage and Oil Record Book
- ☐ Applicable maintenance manuals.

G. PSC Categories: Bridge

1. Nautical Publications

- ☐ The latest publications are on board for ready reference such as IMO publications and flag Administration regulations.

2. Charts

- ☐ Charts, including tide tables, are up to date.
- ☐ The Notice to Mariners is properly logged.
- ☐ Electronic charts display the information systems.

3. Passage Plans

- ☐ Voyage passage plans are correctly documented.

4. Lights, Shapes and Sound Signals

- ☐ The list of lights, international code of signals and illustrated table of lifesaving signals is legible and the signalling lamp is in good working condition and has been tested on both emergency power supply and battery power.
- ☐ Lights are installed in correct location based on COLREG 1972 (e.g. Stern Lantern, Mast Head Lantern, etc.).
- ☐ Port and Starboard side lights screens are painted matte black.

5. Magnetic and Gyro Compasses

- ☐ The standard magnetic compass is adjusted for proper working condition, and the deviation card has been updated.
- ☐ No excessive deviation errors.
- ☐ The standard magnetic compass is free of air bubbles.
- ☐ The lifeboat/rescue boat magnetic compass is in good working order.
- ☐ The gyro compass is operational, and the error book is maintained.

6. GMDSS, EPIRB and AIS

- ☐ Radio equipment is in good working order and is serviced and tested by a recognized radio technician.
- ☐ EPIRB is in proper working condition, programmed correctly and the battery expiration date is displayed within the window.
- ☐ The vessel's automatic identification system (AIS) is properly programmed and operational.
- ☐ VDR annual performance test certificate is on board.
- ☐ LRIT is in working condition, and the test report is available.

- ☐ Crews are able to operate the MF/HF radio using both AC and DC power

7. Radar Transponder

- ☐ The radar transponder is located in the proper location, operationally tested and the expiration date of batteries is confirmed.

8. Radars, Echo Sounder and ECDIS

- ☐ Radars and echo sounder are in proper working condition.
- ☐ ECDIS audible alarms are fully functional.

9. Bridge Navigational Watch Alarm System (BNWAS)

- ☐ BNWAS to be demonstrated that system is protected by security pass code (should be under control of Master).

10. Documentation

- ☐ Service records for life raft and fire extinguishing equipment.
- ☐ Ship records from the Master's Log, primary and secondary steering gear testing, remote steering control, steering positions on the bridge, rudder angle indicator, steering gear failure alarms, control communications and control alarms, proper functioning of the emergency diesel generator, main propulsion ahead and astern testing.

11. The Battery Room

- ☐ Room is to be inspected for cleanliness and proper ventilation.
- ☐ Battery room equipment is present and in good condition (gloves, eye protection, hydrometer, etc.).

12. Pyrotechnics

- ☐ Dates on flares are not expired and required amount are to be on board.

H. PSC Categories: Accommodations

1. Fire Dampers and Doors

- ☐ The fire dampers are in good working condition, functionally tested and recently examined internally and externally.
- ☐ Damper flaps are structurally sound with no edge wastage.
- ☐ The external ventilation trunk is marked to show damper flap position – OPEN or CLOSE.
- ☐ The location of fire dampers can be found on the fire control plan.
- ☐ Louver type dampers are tested to ensure louver contact and function.
- ☐ Weathertight doors are closing properly and in accordance with load line regulations.

- ☐ Accommodation internal fire doors not tied back with 'hooks.'

2. Firefighting Equipment

- ☐ The fire, smoke and heat detectors have been tested for proper operation.
- ☐ Fire detection panel displays with no faults.
- ☐ Fire stations have the appropriate equipment secured properly.
- ☐ Fire hoses are not leaking and have been checked for dry rot and usability.
- ☐ Fire hoses are of correct length and diameter for location (15m, 20m, etc.).
- ☐ Fire main is in good condition and does not have patches or holes.
- ☐ Isolation and relief valves are working properly.
- ☐ Portable and fixed firefighting systems have been serviced as required, and extinguishers are properly marked with date of servicing.
- ☐ Fixed firefighting systems have been serviced and do not have any loose hoses, and the system has been reactivated.
- ☐ Fire line isolating valve between the engine room (ER) and deck has been tested and is working properly.
- ☐ Foam systems where fit have had analysis samples taken and are operation-ready.
- ☐ Fixed water spray system valves are aligned and ready for immediate use.
- ☐ Access to fixed CO_2 system (key in glass box) to be readily available.

3. Fire Control Plans

- ☐ Fire control plans are up to date with appropriate IMO markings and symbols.
- ☐ Emergency control stations are clean and equipped with applicable safety equipment.
- ☐ Remote and quick closing devices are in good operating order.

4. Life Jackets with Lights and Whistles

- ☐ The correct number and location are clearly shown on the safety plan and are located on board.

5. Cable Penetrations

- ☐ Cable penetrations in accommodation bulkheads (wheelhouse / radio room, etc.) are all effectively sealed.

I. PSC Categories: Cargo Area

1. Liferafts

- ☐ Liferafts have been serviced by an approved servicing company.

- ☐ Liferafts hydrostatic releases are correctly connected and have valid service certificates and/or expiry dates.
- ☐ Liferafts are properly secured.
- ☐ Launching arrangements are in good condition (as applicable) with no obstructions for float-free operation.

2. Lifesaving Equipment

- ☐ Lifebuoys – the correct number is identified by type with line, light or smoke as applicable and with legible vessel markings.
- ☐ Bridge wing Man-Overboard smoke and lights ready for easy release.

3. Hatch Covers and Weathertight Closing Appliances

- ☐ Hatch covers and weathertight closing appliances are in proper working condition and have been checked for missing or damaged gaskets, cleats, wedges and securing devices.
- ☐ Hatches are tight and properly fitted.
- ☐ Where required, there is safe access to the bow.

4. Cargo Control Room

- ☐ Oil Discharge and Monitoring Equipment is functioning properly and has not been tampered with.

J. PSC Categories: Main Deck

1. Lifeboats/Rescue Boat

- ☐ The lifeboat (rescue) structure (hull integrity, seats/ thwarts, flooring, releasing hook connections to the boat, releasing gear, tiller/gudgeons) has been checked for proper maintenance with no wastage or rot.
- ☐ The engine is in good working condition and has been operationally tested, and fuel tank is full.
- ☐ The lifeboat (rescue) equipment has been checked for proper quantity, expiration date and condition.
- ☐ Lifeboat/rescue boat painter is connected.
- ☐ Lifeboats (rescue) have been lowered as per schedule and released from hooks to confirm release mechanisms.
- ☐ Required interior equipment has been accounted for.
- ☐ Lifeboat seat belts are of contrasting colors.
- ☐ Lifeboat window at helmsman’s position has clear visibility.
- ☐ Lifeboat hatches are maintained.
- ☐ Lifeboat nonslip surfaces are maintained.

- ☐ Air supply system is maintained.

2. Lifeboat/Rescue Boat and Liferaft Davits

- ☐ Davits are in good working condition and have been operationally tested.
- ☐ Davits should be checked for wastage, proper hoisting/lowering and braking function.
- ☐ Sheaves and loose gear are not worn.
- ☐ Wires have been serviced and changed out as necessary.
- ☐ Limit switches and winches have been tested.
- ☐ Launching instructions are clearly posted and located in way of emergency lighting.

3. Deck

- ☐ Excessive corrosion, cracking, buckling – if found should be immediately reported to the BKI
- ☐ Handrails are intact and in accordance with load line regulation.

4. Air Pipes and Ventilators

- ☐ Air pipes and closure devices are checked for wastage.
- ☐ Closure devices have been opened and the flame screen checked.

5. Shore Connections

- ☐ International shore connection is on board.
- ☐ Electrical shore connections have proper connections and are functioning.
- ☐ MARPOL Annex I and IV standard discharge connections where required have proper fittings, are marked, and have proper intact drip coamings.

6. Accommodation Ladder

- ☐ Accommodation ladders are free of any defects (fractured steps, side ropes etc.), and the gangway safety net has been prepared and correctly rigged.

7. Vessel Access

- ☐ Gangway log book entries are maintained and up to date.
- ☐ Areas with restricted access are clearly marked and locked.

8. Load Line – Draft Marks

- ☐ Port and Starboard Load Line marks checked and confirmed to be clearly visible.
- ☐ Draft marks are clear to read.

K. PSC Categories: Engine Room

1. Main and Emergency Fire Pumps

- ☐ The main and emergency fire pumps are to be in proper working condition – gauges operational, priming pump functioning, remote starting is operational (if applicable) and pumps are capable of taking sea suction and maintaining the proper line pressure.
- ☐ Operating instructions are posted in plain view.
- ☐ Visual examination is completed of fixed firefighting system nozzles.

2. Machinery Safety Systems

- ☐ Valves are free from obstruction and are in operational condition.
- ☐ All machinery safety systems are operational without alarms present.
- ☐ All FO Tank sounding pipes are closed, and self-closing devices are working correctly.

3. Electrical Installation

- ☐ 220v main and emergency switchboards, and feeder panels are clear of any low insulation readings.
- ☐ Switchboards are to be provided with insulated matting both in front and behind.

4. Cleanliness

- ☐ Excess oil leaks from engines, bilges, containment areas and FO/LO processing areas have been cleaned.
- ☐ The sources of any excessive oil leaks have been rectified.
- ☐ Repair damaged lighting and/or replace burned bulbs.
- ☐ Fire hydrants and hose stations are clean and in good working order.
- ☐ No thermal insulation is oil soaked.
- ☐ No oil-soaked rags are left in decks or bilge wells.
- ☐ Tools and equipment are stored properly, and emergency exits are clear.

5. MARPOL Annex IV

- ☐ Sewage treatment plant is fully operational, including aeration blowers, sight tube, alarm panel, etc.
- ☐ Sewage treatment system is operational and not leaking.

6. MARPOL Annex V

- ☐ Garbage Management Plan are available on board.
- ☐ Garbage Record Book entries are up to date.

- ☐ Incinerator alarms and safety devices are all fully operational.

7. Main Propulsion Engine

- ☐ Components of the main propulsion engine are working correctly.
- ☐ The emergency control station and engine side station are operating correctly.
- ☐ Validate that emergency procedures can be carried out as applicable.
- ☐ There are no visible engine oil leaks.
- ☐ MARPOL Annex VI, technical files for each engine should be available.
- ☐ The record book of the engine parameters should be updated by the Chief Engineer as applicable.

8. Auxiliary Engines and Equipment

- ☐ Auxiliary engines and attachments have been tested to see that gauges, emergency shut downs, automatic changeovers and quick closing valves are operating properly.
- ☐ Auxiliary engine fuel oil leakage alarms are working and drain valves are in closed position.
- ☐ MARPOL Annex VI, the EIAPP certificates and technical files for each engine should be available.
- ☐ The record book of the engine parameters should be updated by the Chief Engineer as applicable.
- ☐ There are no visible engine oil leaks.

9. Oily Water Separator Equipment

- ☐ Check to see that oily water separator equipment and 15 ppm alarm have been operationally tested including automatic stopping devices, alarms, piping systems and gauges, and found properly functioning.
- ☐ Confirm that no unauthorized piping or electrical modifications have been made.
- ☐ Verify that the Oil Record Book has been filled out correctly and signed by the Chief Engineer and Master, as per MARPOL Annex I.

10. High Pressure Fuel Lines

- ☐ High pressure fuel lines are jacketed and spray shields in place as required.

11. Portable and Fixed Firefighting Systems

- ☐ Systems have been serviced as required and extinguishers are properly marked with date of servicing.
- ☐ Machinery space fire hoses are correct length (15m maximum).
- ☐ Boiler burner location is provided with sand box.
- ☐ Fire Doors have proper closing mechanisms and are not purposely open.

12. MARPOL Annex VI (Incinerators)

- ☐ Valid IMO Type Approval Certificate is available.
- ☐ Manufacturer's operating manual is available.
- ☐ Incinerator alarms and safety devices are all fully operational.

L. PSC Categories: Work Spaces (Pump Room, Steering Flat, etc.)

1. Main and Emergency Fire Pumps

- ☐ The main and emergency fire pumps are to be in proper working condition – gauges operational, priming pump functioning, remote starting is operational (if applicable) and pumps are capable of taking sea suction and maintaining the proper line pressure.
- ☐ Operating instructions are posted in plain view.

2. Steering Gear

- ☐ The main and emergency steering gear has been tested and is functioning properly with no visible hydraulic leaks.
- ☐ Steering gear gyro compass repeater without deviation error.

3. Emergency Power

- ☐ The emergency generator has been operationally tested and is capable of coming online automatically within 45 seconds.
- ☐ Emergency generator fuel oil tank is full, and quick closing valve is operational.
- ☐ Emergency lighting is operationally tested, and any defective lights replaced.
- ☐ A transitional source of power (as applicable) and emergency power batteries have been checked for proper operation.

4. Portable and Fixed Firefighting Systems

- ☐ Systems have been serviced as required and extinguishers are properly marked with date of servicing.

5. Insulation

- ☐ A-60 Insulation is intact in all areas (emergency escape trunks, etc.).

M. PSC Categories: Port Arrival

1. Pre-Arrival

- ☐ Accidental damage that is suffered while sailing to the port of call must be submitted to the Port State with details on the circumstances of the accident, damage suffered, remedial action and information about notification to the Flag State.

2. Increased Chances of Port State Activity

- ☐ First time being in the region in the past year.
- ☐ Vessel has not been inspected in the last 6 months.
- ☐ Deficiencies were found at last Port State inspection.
- ☐ Vessel has been detained in the last year.

N. ISM Code: PSC ISM-Related Deficiencies

1. ISM Element 2: Safety and Environmental Protection Policy

- ☐ A Safety and Environmental Protection (SEP) policy, understood and supported by the crew, provides strong evidence of an overall effective implementation of the company's SMS.
- ☐ The policy posters are displayed at prominent locations.
- ☐ The policy is properly controlled, and the latest revision is in use.
- ☐ Crew members are able to demonstrate a satisfactory level of awareness of the SEP policy.
- ☐ Safety and environmental objectives and targets established in the SMS are consistent with those contained in the policy statement.
- ☐ On board procedures and practices support and contribute to the successful achievement of objectives and targets established by the company.

2. ISM Element 3: Company Responsibilities and Authority

- ☐ The provision of support, allocation of resources and overall commitment of the company is vital for the effective implementation of the SMS on board the vessel.
- ☐ Responsibility, authority and lines of reporting of key personnel are clearly defined and documented.
- ☐ Crew personnel are able to demonstrate a satisfactory level of awareness of their duties and responsibilities as detailed in the SMS.
- ☐ If day-to-day operations of the vessel have been delegated to a management company, evidence of this delegation is available.
- ☐ Requisitions for supply of stores, spares and requests for repairs are being followed up by the shore-based management in a timely manner.
- ☐ There is evidence of follow up action and monitoring by shore-based management over documented and reported outstanding nonconformities and deficiencies.

3. ISM Element 4: Designated Persons

- ☐ As the custodian of the SMS, the ISM Code places a special responsibility on the designated person ashore (DPA). The nominated person must hold the relevant qualification and experience and demonstrate the commitment required by the position.
- ☐ Identity and contact details of the DPA have been reported to the flag Administration, if required.

- ☐ DPA has direct access to the top company management.
- ☐ Qualifications, experience and training of the DPA meets the IMO guidance contained in the Annex to MSC-MEPC.7/Circ.6.
- ☐ Crew are aware of the identity and contact details of the DPA.
- ☐ There is evidence to show that the DPA is engaged in monitoring the safety and pollution prevention aspects of all vessel operations.

4. ISM Element 5: Master's Responsibility and Authority

- ☐ The Master has the responsibility to ensure that the requirements specified in the company's SMS are being observed. To this end, the Master needs to be completely familiar with the SMS and be given the necessary support and overriding authority to make decisions relating to safety and pollution prevention.
- ☐ Master is able to demonstrate familiarity with his/her role and responsibility under the ISM Code.
- ☐ SMS contains a clear statement giving the Master overriding authority to take decisions relating to safety and pollution prevention and to ask for assistance from the company when needed.
- ☐ Master is aware of where this overriding authority is documented and is able to explain the intent of this provision.
- ☐ Master's review of the SMS has been carried out as specified in the SMS and that it is effective.
- ☐ Master's standing and night orders are current and in accordance with SMS.
- ☐ Master is verifying that crew is observing the procedures and processes specified in the company's SMS.

5. ISM Element 6: Resources and Personnel

- ☐ The SMS must ensure that all personnel including the crew are competent, properly qualified, medically fit and given the proper training and familiarization to safely and efficiently perform their assigned responsibilities.
- ☐ Crew on board meet or exceed the minimum safe manning criteria established by the flag Administration, and the vessel is appropriately manned in order to maintain safe operations on board under all conditions.
- ☐ Officers and ratings hold valid certificates and endorsements as per the International Convention on Standards of Training, Certification and Watchkeeping.

6. Seafarers (STCW)

- ☐ All crew hold valid medical fitness certificates.
- ☐ The Master is fully conversant with the company's SMS.
- ☐ Safety induction, shipboard familiarization and safety training of crew have been carried out as per the SMS.
- ☐ Crew members are able to effectively communicate as a team in the execution of their duties.

- ☐ Crew members are able to demonstrate their familiarity with the SMS commensurate to their roles and responsibilities.
- ☐ Shipboard officers are familiar with relevant rules and regulations covered by the SMS.
- ☐ Company and ship security officers are qualified and hold valid certificates as required by the Administration.
- ☐ Watchkeeping schedules have been established, and a record of hours of rest is being maintained as per the STCW.

7. ISM Element 7: Shipboard Operations

- ☐ Key shipboard operations that can affect safety and pollution prevention must be backed by documented procedures with responsibilities assigned to qualified personnel.
- ☐ The SMS contains documented procedures for key shipboard operations.
- ☐ Roles and responsibilities have been clearly assigned to qualified personnel who are able to demonstrate their familiarity with assigned tasks.
- ☐ Voyage passage planning is carried out from berth to berth.
- ☐ Navigational charts and publications for the intended passage are available on board and have been updated to the latest notices to mariners.
- ☐ Ship stability and stress calculations for different stages of the voyage are being carried out.
- ☐ Bridge and engine room checklists (arrival, departure, testing controls, watchkeeping, etc.) are being followed.
- ☐ Permit to work (hot work, entry into enclosed spaces, working aloft, lock out-tag out) procedures are being complied with.
- ☐ Suitable personnel protective equipment is being used by the crew.
- ☐ Bunker and fuel transfer procedures are complied with.
- ☐ Procedures for operations with low sulphur fuel oil are being followed – as applicable.
- ☐ The ballast water exchange plan is complied with as per regulations.
- ☐ The waste management plan is properly implemented.
- ☐ A safe means of embarkation and disembarkation is available.
- ☐ An efficient gangway watch is maintained and access to the vessel is controlled.

8. ISM Element 8: Emergency Preparedness

- ☐ The company should identify all potential emergency situations that can affect its fleet; develop contingency plans to mitigate adverse impact of emergencies; periodically test the contingency plans to validate their effectiveness; and train and familiarize the crew.
- ☐ Crew emergency response plans and muster lists are current and up to date.
- ☐ Personnel are familiar with their muster stations and assigned duties.

- ☐ Contingency plans for potential emergency situations are available.
- ☐ Drills as required by SOLAS and as per the company's SMS have been carried out.
- ☐ Emergency exercises with the shore-based emergency response team have been carried out as required by the SMS.
- ☐ Post-drill analysis to identify weaknesses and lessons learned is carried out for continuous improvement.
- ☐ Personnel are able to satisfactorily demonstrate emergency drills.
- ☐ Emergency contact information for the shore-based emergency response team is updated and kept current.
- ☐ All safety equipment is readily available and adequately maintained.
- ☐ Fire control plans are up to date and current.
- ☐ Means of escape and access are not obstructed.

9. ISM Element 9: Report and Analyses of Nonconformities, Accidents and Hazardous Occurrenes

- ☐ Accidents, incidents, near misses and nonconformities must be reported and analysed to determine the root cause. Appropriate timely corrective actions must be taken to prevent recurrence. Data collected is to be used for trending and continuous improvement.
- ☐ All accidents, incidents, injuries and near misses are being reported.
- ☐ Accidents, incidents, injuries and near misses are being recorded and investigated to determine the root cause.
- ☐ Timely corrective and preventive action is being taken and records maintained.
- ☐ Reported accidents and incidents are being closed out in a timely manner after verification of effectiveness of action taken.
- ☐ Follow-up actions and monitoring by shore-based management of reported cases an action taken are evident.
- ☐ Following a PSC detention, corrective action taken by the ship must not be limited to the PSC deficiencies.
- ☐ Action has been taken to identify and resolve other similar deficiencies existing on board.

10. ISM Element 10: Maintenance of the Ship and Equipment

- ☐ This element addresses areas in the SMS where the highest percentage of nonconformities and deficiencies are identified. Nearly 30% of all PSC ISM-related deficiencies relate to inadequate maintenance. A vast majority of detainable PSC ISM deficiencies (Code 30) relate to maintenance of ship and equipment.
- ☐ The vessel is clean, tidy, habitable and well illuminated.
- ☐ There is no evidence of excessive corrosion and/or wastage on exposed decks and fittings.

- ☐ The ship has implemented and is maintaining an effective planned and/or preventive maintenance system (PPMS).
- ☐ PPMS is up to date with minimum overdue maintenance items.
- ☐ Inspection of the vessel is carried out as established in the SMS, and identified defects are being dealt with.
- ☐ All class, statutory and other required trading certificates are valid and up to date.
- ☐ No unauthorized repairs, modifications or alterations have been carried out.
- ☐ Machinery and hull defects including breakdowns have been reported to the company.
- ☐ Reported defects are being monitored by the company, and timely corrective action is being implemented to rectify them.
- ☐ There is no accumulation of oily water residues in the machinery space bilges or on the tank tops.
- ☐ Air pipes, sounding pipes, ventilators and closing appliances are properly maintained and are fully operational.
- ☐ Lifeboat/rescue boat lowering winch/davits are being maintained/serviced and are in good operational condition.
- ☐ Critical and standby equipment and systems have been identified and routine testing is being carried out.
- ☐ A sufficient stock of spares and stores is available on board as required by the SMS.
- ☐ Records of maintenance and test activities are available.

11. ISM Element 11: Documentation

- ☐ All documentation relating to the SMS must be controlled and available at all relevant locations to ensure safe and pollution-free operations.
- ☐ All class, statutory and other applicable trading certificates relevant to the ship are available.
- ☐ The latest revisions of the SMS manuals, procedures and records are readily available at relevant locations.
- ☐ The latest editions of publications required by the vessel's flag Administration are available.
- ☐ A copy of the company's ISM Document of Compliance with the latest endorsement is available.
- ☐ Deck, engine, GMDSS and other applicable official log books are maintained and up to date.
- ☐ The correct format of the Oil Record Book is in use on board and kept up to date.
- ☐ Latest issue of the Continuous Synopsis Record (CSR) including old revisions of CSR are maintained on board.

12. ISM Element 12: Company Verification, Review and Evaluation

- ☐ The company must ensure that the SMS is effectively implemented and fosters continuous improvement through a system of internal audits and management reviews.

- ☐ Internal audits have been carried out at intervals not exceeding 12 months by auditors who are independent of areas audited.
- ☐ External audits have been carried out as required by the ISM Code.
- ☐ Audit reports are available on board.
- ☐ Audit findings are being tracked to closure.
- ☐ Timely corrective action has been taken to close out audit findings.
- ☐ Shore-based management is monitoring and providing the necessary support in implementation of corrective actions.
- ☐ The company has developed and implemented a procedure for risk assessments.
- ☐ Periodic verification has been performed to confirm that individuals undertaking delegated
- ☐ ISM-related tasks are acting in conformity with the company's responsibilities under the Code.
- ☐ Appropriate safeguards have been established against all identified risks to the ship, personnel and the environment.
- ☐ Management reviews to verify the effectiveness of the SMS are being carried out and records are available.

O. International Ship and Port Facility Security (ISPS) Code

- ☐ PSC detentions resulting from ISPS-related deficiencies are on the rise. To prevent these, vessels must implement the security measures as per the approved ship security plan. Access to the ship must be controlled through an efficient system of gangway watchmen, visitor identification and checking of personal belongings.
- ☐ There is an approved Ship Security Plan (SSP) on board, and all security measures are implemented for the applicable security level.
- ☐ Master, Ship Security Officer (SSO) and crew members are aware of all levels of ship security and applicable procedures at each level.
- ☐ SSO and other personnel with security duties are trained and certified in accordance with STCW requirements.
- ☐ Master and SSO are aware of their responsibility of periodically reviewing security measures and recommending changes to the SSP as appropriate.
- ☐ Access to ship is controlled and crew members on watch are familiar with the access control measures at each security level. This includes control measures applied at ladders, gangways, ramps, doors, side scuttles, windows, ports, cranes, hoisting gears, etc. as applicable.
- ☐ Restricted areas have been identified and crew members are aware of access control measures applied to these areas.
- ☐ All security equipment necessary for maintaining the security levels, including all security equipment listed in the SSP, is in working condition.

- ☐ Stores, spares, provisions are searched in accordance with the SSP, and crew members are aware of their responsibilities.
- ☐ Shipboard security training and drills are periodically carried out in accordance with SSP.
- ☐ Security incidents and breaches of security are documented, and timely corrective and preventive actions taken.

Following records of security activities are maintained on board:

- ☐ Training, drills and exercises.
- ☐ Security threats and security incident reports.
- ☐ Changes in security level.
- ☐ Communications relating to the direct security of the ship such as specific threat to the ships or to port facilities the ship is, or so has been.
- ☐ Declaration of Security (DOS) for last 10 port calls.
- ☐ Internal audit report(s).
- ☐ Periodic reviews of Ship Security Assessment and Ship Security Plan.
- ☐ Maintenance, calibration and testing of security equipment identified in the SSP.

P. Detailed Items on ILO Maritime Labour Convention (MLC, 2006)

1. Minimum Age

- ☐ All seafarers onboard are at least 16 years of age or as required by flag state.
- ☐ Seafarer under the age of 18 is not working at night (except under an approved training program).
- ☐ Seafarer under the age of 18 is not carrying out tasks that are likely to jeopardize their safety or health.

2. Medical Certification

- ☐ Seafarers are not allowed to work if they are not medically fit.
- ☐ Seafarers have been issued a medical examination certificate by a qualified medical practitioner in accordance with the national law.
- ☐ Medical certificate validity should not be more than two years for seafarer 18 years or more and one year for seafarer less than 18 years of age.
- ☐ Seafarers holding color vision certificates does not exceed 6 years of validity or any other time frame impose by flag state.
- ☐ If the medical certificate has any restriction, seafarer do not attend to any task where the restriction applies.
- ☐ Medical certificates are in the English language if the ship is engaged in international voyages.

3. Qualifications of Seafarers

- ☐ Seafarers are trained or certified in accordance with the STCW convention, and minimum requirements of the Safe Manning Document (SMD) are met.
- ☐ All seafarers have completed training for personal safety onboard ship.
- ☐ Seafarers' employment agreements.
- ☐ Copy of seafarer employment agreement (SEA) and collective bargaining agreement (CBA) as applicable are available on board.
- ☐ Each SEA is signed by the seafarer and the ship owner or an authorized representative of the shipowner.
- ☐ All SEA address requirements of the Standard A 2.1 of MLC 2006 and are consistent with applicable national standard(s).
- ☐ SEA is written in the English language and does not contain any clause that violates seafarers' rights.

4. Use of any Licensed or Certified or Regulated Private Recruitment and Placement Service

- ☐ Documentary evidence indicates that private recruitment and placement service(s) employing seafarers on behalf of the shipowner is (are) operated in accordance with the convention.
- ☐ Private recruitment and placement services are licensed or certified or regulated in accordance with the convention.
- ☐ Seafarers are not charged for recruitment and placement services.

5. Hours of Work or Rest

- ☐ Work schedule at sea and in port conforms to the requirements of the convention.
- ☐ Work schedule is written in English language and working language of the ship and posted in relevant locations.
- ☐ Records of hours of work or rest are maintained in a format specified/accepted by the flag state.

6. Manning Levels for the Ship

- ☐ Ship complies with the Safe Manning Document (SMD) or equivalent issued by the flag state.
- ☐ Sufficient number of seafarers are onboard to ensure safety and security under all conditions, taking into account seafarer fatigue and the particular nature and conditions of voyages undertaken.

7. Accommodation and Onboard Recreational Facilities

- ☐ Documentary evidence confirming that accommodation is built to the applicable national standard(s).
- ☐ Heating, lighting, ventilation systems, and other fittings and fixtures are in good working condition.
- ☐ Separate sleeping rooms and sanitary facilities are provided to men and women seafarers.

- ☐ Sanitary facilities are adequate for number of personnel onboard and functional.
- ☐ Hospital is maintained in accordance with the national requirements and used only for taking care of sick seafarers.
- ☐ Laundry facilities are adequate and functioning correctly.
- ☐ Noise and vibration including other ambient factors are controlled and within limits as specified under national requirements.
- ☐ Periodic Inspection records of the accommodation, including mess rooms and recreational facilities are available.

8. Food and Catering

- ☐ Food and drinking water of adequate quantity, nutrition and quality are provided.
- ☐ Seafarers are not charged for food and drinking water.
- ☐ Ship's cook is at least 18 years of age and trained and qualified for the position.
- ☐ Periodic inspection records of food, drinking water, food preparation, storage and handling areas are available.
- ☐ Catering facilities are hygienic and fit for the purpose.

9. Health and Safety and Accident Prevention

- ☐ Health and Safety Policy is available and understood by all seafarers.
- ☐ Programs for prevention of occupational accidents, injuries, and diseases are implemented.
- ☐ Safety committee meetings are periodically conducted and documented.
- ☐ Personnel Protective Equipment (PPE) is available to seafarers.
- ☐ A risk assessment is taken into consideration for the work assignment.
- ☐ Accidents are investigated and reported.

10. On Board Medical Care

- ☐ Seafarers are provided appropriate health protection and medical care, including dental care on board the ship at no cost.
- ☐ Personnel with appropriate STCW qualification are on board to provide medical care or first aid (where medical doctors are not required to be carried on board).
- ☐ Medical chest, medical supplies and equipment meets national requirements.
- ☐ International Medical Guide for Ships and medical report forms are maintained on board.

11. On-Board Complaint Procedures

- ☐ Seafarers are provided with a copy of on-board complaint procedure in the working language of the ship.

- ☐ Seafarers are familiar with the on-board complaint procedure, including prohibition on victimization for filing a complaint.
- ☐ Seafarers understand that they have a right to file a complaint directly with the ship's Master or external authorities.
- ☐ A complaint log, including disposition of each complaint, is maintained on board.

12. Payment of Wages

- ☐ Seafarers are paid regularly in accordance with SEA (including CBA if any), at least monthly.
- ☐ Monthly wage slips are provided to each seafarer, and no unauthorized deductions are made.
- ☐ Charges for remittances and allotments, including exchange rates, are in accordance with national requirements.

13. Financial Security for Repatriation

- ☐ Evidence of financial security confirms that financial security for repatriation is available onboard and includes an attestation from the financial security provider that the financial security meets the requirements of Standard A2.5.2 of MLC 2006.
- ☐ Financial security documents include name of the ship, port of registry, call sign, IMO number, name and address of the provider or providers of the financial security, contact details of the persons or entity responsible for handling seafarers' requests for relief, name of the shipowner, and period of validity of the financial security.
- ☐ A copy of the Financial Security is posted in a conspicuous place on board where it is available to the seafarers. Where more than one financial security provider provides cover, the document provided by each provider are carried on board.

14. Financial Security Relating to Shipowners' Liability

- ☐ Evidence of financial security confirming that financial security for repatriation is available onboard and includes an attestation from the financial security provider that the financial security meets the requirements of Standard A 4.2.1 of MLC 2006.
- ☐ Financial security documents include name of the ship, port of registry, call sign, IMO number, name and address of the provider or providers of the financial security, contact details of the persons or entity responsible for handling seafarers' requests for relief, name of the shipowners, and period of validity of the financial security.
- ☐ A copy of the Financial Security is posted in a conspicuous place on board where it is available to the seafarers. Where more than one financial security provider provides cover, the document provided by each provider are carried on board.