



GUIDE FOR

MARINE HEALTH, SAFETY, QUALITY,
ENVIRONMENTAL AND ENERGY MANAGEMENT
(The ABS Guide for Marine Management Systems)

OCTOBER 2016 (Updated February 2017 – see next page)

**American Bureau of Shipping
Incorporated by the Legislature of
the State of New York 1862**

**© 2016 American Bureau of Shipping. All rights reserved.
ABS Plaza
16855 Northchase Drive
Houston, TX 77060 USA**

Updates

February 2017 consolidation includes:

- October 2016 version plus Corrigenda/Editorials

Foreword (1 October 2016)

The significant impact of management practices on the safe operation of ships has been recognized for some time. The General Assembly of the International Maritime Organization requested the Maritime Safety Committee, by resolution A.596(15), to develop, as a matter of urgency, guidelines concerning shipboard and shore-based management, and to include in the work program of both the Maritime Safety Committee and the Marine Environment Protection Committee an item on shipboard and shore-based management for the International Safety Management Code (ISM Code). The ISM Code was developed by the International Maritime Organization to provide the maritime community with an internationally recognized standard for the safe management and operation of ships and for pollution prevention. Initially adopted as resolution A. 741(18), it later was incorporated into Chapter IX of the SOLAS convention and became mandatory for oil tankers, chemical tankers, bulk carriers and cargo high-speed craft of 500 gross tonnage and upwards, and for passenger ships including passenger high-speed craft from 1 July 1998. Other cargo ships and self-propelled mobile offshore drilling units (MODUs) of 500 gross tonnage and upwards, subject to SOLAS, were required to comply by 1 July 2002.

Other management system standards have been developed, notably ISO 9001, ISO 14001, ISO 50001 and OHSAS 18001, non-specific to the maritime industry, which address management practices from the perspective of controlling quality, environmental impacts, energy performance and occupational health hazards. These standards, though not specific to the marine industry, provide useful guidance that can be employed in marine management and the operation of ships to further enhance management systems focused on the safe operating practices and prevention of pollution.

The general management system principles embodied by the ISM Code, ISO 9001, ISO 14001, ISO 50001 and OHSAS 18001 have been incorporated in this Guide. These principles, where appropriate, have been “marinized” in order to bring them within the concept of the industry itself.

This revision of the Guide incorporates changes to the requirements identified in ISO 9001-2015 standard, ISO 14001-2015 standard and ISM Code 2014 edition. Proper implementation of these requirements should assist the Company to take a risk based approach and establish controls as appropriate.

ABS offers this Guide to the maritime industry as a tool for enhancing marine management practices and further supporting responsible management in the operation of ships, the prevention of pollution, and improved energy performance.

This Guide becomes effective on the first day of the month of publication.

Users are advised to check periodically on the ABS website www.eagle.org to verify that this version of this Guide is the most current.

We welcome your feedback. Comments or suggestions can be sent electronically by email to rsd@eagle.org.



GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

CONTENTS

SECTION 1	General	1
1.1	Scope and Application.....	1
1.2	Certification.....	3
1.2.1	General.....	3
1.2.2	Certification Process.....	4
1.2.3	Representations	5
1.2.4	Termination.....	5
1.2.5	Audit Guidelines	5
1.3	Definitions	5
SECTION 2	Policy	10
2.1	General Requirements	10
2.2	Occupational Health, Safety, Environmental and Energy Policy	10
2.3	Quality Policy.....	12
SECTION 3	Planning	13
3.1	Environmental Aspects.....	13
3.2	Energy Planning	13
3.3	Hazard Identification, Risk Assessment, Actions to Address Risk and Opportunities	13
3.4	Compliance Obligations	15
3.5	Energy Review	16
3.6	Energy Baseline	16
3.7	Energy Performance Indicators.....	17
3.8	Health, Safety and Energy Objectives and Targets	17
3.9	Quality and Environmental Objectives and Planning	17
3.10	Customer Requirements	18
3.10.1	Customer Communication	18
3.10.2	Determining the Requirements Related to Management of Ships (other services)	18
3.10.3	Review of the Requirements Related to Ship Management Services (other Services)	19
3.10.4	Changes to the Service requirements	19

3.11	Management Programs	19
3.11.1	General.....	19
3.11.2	Leadership and Commitment	20
3.12	Management System Documentation.....	21
SECTION 4	Implementation and Operation	23
4.1	Resources, Roles, Responsibility, Accountability, and Authority	23
4.2	Infrastructure.....	23
4.3	Environment for Operation of Shore Based and Shipboard Services	24
4.4	Designated Person(s)/Quality Management Representative/ Environmental Management Representative(s)/Energy Management Representative(s)/OH&S Management Representative.....	24
4.5	Master's Responsibility and Authority.....	25
4.6	Personnel.....	25
4.6.1	Master's Qualification and Support.....	25
4.6.2	Shipboard and Shore Personnel	25
4.7	Competence, Training, and Awareness	26
4.7.1	General.....	26
4.7.2	Management System Awareness Training.....	27
4.7.3	Familiarization Training	27
4.8	Communication, Participation, and Consultation	27
4.9	Control of Documents	28
4.10	Operational Control.....	29
4.11	Control of Externally Provided Processes, Products and Services	32
4.11.1	General.....	32
4.11.2	Evaluation of External Providers	32
4.11.3	Type and Extent of Control of Purchased Materials and Services	32
4.11.4	Information for External Providers	33
4.11.5	Procurement of Energy Services, Products, Equipment and Energy	33
4.12	Property Belonging to Customers or External Providers	33
4.13	Preservation of Service.....	33
4.14	Identification and Traceability	34
4.15	Maintenance of the Ship and Equipment.....	34
4.15.1	General.....	34
4.15.2	Inspections	34
4.15.3	Critical Equipment and Systems.....	34
4.16	Emergency Preparedness and Response	34
4.16.1	General.....	34
4.16.2	Emergency Plans	34
4.16.3	Drills and Exercises.....	35
4.17	Design.....	35

SECTION 5	Performance Evaluation and Improvement	36
5.1	Monitoring, Measurement, Analysis and Evaluation	36
5.1.1	General.....	36
5.1.2	Monitoring and Measuring Resources	37
5.1.3	Analysis and Evaluation of Compliance.....	38
5.1.4	Customer Satisfaction	39
5.2	Improvement.....	39
5.2.1	General.....	39
5.2.2	Non Conformity, Corrective and Preventive Action.....	39
5.2.3	Control of Nonconforming Outputs	40
5.2.4	Incident Investigation.....	41
5.2.5	Continual Improvement	41
5.3	Control of Records.....	41
5.4	Internal Audit	42
SECTION 6	Management Review	44
APPENDIX 1	Correspondence Between ISM Code, ISO 9001:2015 & ISO 14001:2015, OHSAS 18001:2007, ISO 50001:2011 and ABS Guide for Marine Health, Safety, Quality, Environmental and Energy Management	46
APPENDIX 2	Supplemental Requirements of the ISM Code	49
APPENDIX 3	Terms and Conditions for the Use of “ABS SMS Certified” and “ABS HSQEE Certified” Logos	53



GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

S

1 GENERAL

1.1 Scope and Application

The *ABS Guide for Marine Health, Safety, Quality, Environmental and Energy Management* or the *ABS Guide for Marine Management Systems* in short, has been developed with the objective of assisting shipowners, managers, and operators to improve the safety, environmental and energy performance in the management and operation of ships. ABS recognizes the positive impact that sound management practices may have upon these areas of concern. This Guide provides the maritime industry with a model for implementation of an Integrated Management System covering these key issues.

This Guide is intended for the use of Companies operating all types of ships. Its requirements have been stated in general terms in order to have application to a wide variety of ship operations and management styles.

The requirements of this Guide have been largely derived from the sound management system principles reflected in the requirements of the “International Management Code for the Safe Operation of Ships and for Pollution Prevention” (also known as the “International Safety Management Code”, or more commonly as the “ISM Code”), “Quality management systems – Requirements” (ISO 9001:2015), “Environmental management systems – Requirements with guidance for use” (ISO 14001:2015), “Energy Management Systems – Requirements with guidance for use” (ISO 50001:2011) and “Occupational health and safety management systems – Requirements” (OHSAS 18001:2007). Though the requirements of this Guide have been intended to encompass the requirements of these referenced standards, users of this Guide are encouraged to obtain for themselves copies of these standards for reference. These standards and others associated with them, contain valuable information and guidance useful in understanding the fundamentals and implementation of viable management systems.

Though this Guide has been developed principally as a management system model for occupational health, safe operation, prevention of pollution, preservation of the environment, and improved energy performance, quality concerns are also addressed. While quality management focuses principally upon enhancing customer satisfaction and encouraging fulfillment of customer requirements for quality, ABS considers that the employment of quality principles can have a significant positive impact on achieving goals and objectives in the areas of safety and environmental management. The quality system requirements of this Guide provide prescriptions that are intended to help enhance a health, safety, environmental, and energy management system’s effectiveness.

Note: This Guide has excluded section 8.3 of the ISO 9001:2015 standard, Design and Development of products and services. It is recommended that this element of the ISO standard should not be excluded from the Company's management system if they have any input to the design of a vessel they are building, intend to build or a vessel they are modifying to their specific requirements. Companies applying for certification to this Guide may not be required to have this element in the scope of their audit. No other exclusion to the requirements of this Guide is permitted.

This Guide is designed to facilitate a progressive approach to an integrated management system of occupational health, safety, quality, environmental and energy concerns. The Guide identifies requirements in five categories. The categories are identified to the left of the corresponding requirement by an “s”, “q”, “e”, “h” or “En” and are explained below.

Requirements identified by an “s” are **safety** management requirements. These requirements are based mainly upon the requirements of the ISM Code but also include additional prescriptive requirements that ABS considers will enhance the goals and objectives to be achieved within this area. Safety management requirements provide the baseline requirements of this Guide and contain a number of requirements also applicable to quality, environmental, **occupational health & safety, energy** management. **These “s” requirements are the baseline and must be implemented regardless of the notation(s) requested by the client.**

Requirements identified by an “h” are **occupational health & safety** management requirements that **shall** be implemented together with the “s” requirements in order to properly manage both occupational health and safety management concerns. Occupational health requirements, in combination with a number of the safety requirements, address issues of concern embodied by OHSAS 18001:2007. Additionally, prescriptive requirements have been included that ABS considers can enhance the goals and objectives to be achieved within the combined areas of occupational health and safety management.

Requirements identified by a “q” are **quality** management requirements that **shall** be implemented together with the “s” requirements in order to properly manage both safety and quality management concerns. Quality management requirements in combination with a number of the safety requirements address issues of concern embodied by ISO 9001:2015. Additionally, prescriptive requirements have been included that ABS considers can enhance the goals and objectives to be achieved within the combined areas of safety and quality management.

Requirements identified by an “e” are **environmental** management requirements that **shall** be implemented in addition to the “s” requirements in order to properly manage both safety and environmental management concerns. Environmental management requirements in combination with a number of the safety management requirements address issues of concern embodied by ISO 14001:2015. Additionally, prescriptive requirements have been included that ABS considers can enhance the goals and objectives to be achieved within the areas of safety and environmental management. These requirements address environmental concerns from the perspectives of both regulatory compliance and proactive continual improvement of the management system and environmental performance.

Requirements identified by an “En” are **energy** management requirements that **shall** be implemented in addition to the “s” requirements in order to properly manage both safety and energy management concerns. Energy management requirements in combination with a number of the safety management requirements address issues of concern embodied by ISO 50001:2011. Additionally, prescriptive requirements have been included that ABS considers can enhance the goals and objectives to be achieved within the areas of safety and energy management.

Companies may choose to implement the combination of requirements suitable to their Company's goals, objectives and concerns. ABS encourages all companies to consider implementation of the Guide's requirements in their entirety as a comprehensive approach to health, safety quality, environmental and energy management.

The scope of certification chosen for the Company office **should** be implemented across all vessels in the fleet (see section 1.2 below). At least one vessel of each type **should** be presented as a sample and **should** maintain certification to the same scope of certification as the Company's office.

As an aid to assisting clients with the implementation of a comprehensive approach, ABS has also produced the *ABS Guidance Notes for the Investigation of Marine Incidents*. While one goal of effective safety management is to reduce or eliminate incidents, accidents or near-misses, events may occur from time to time. Under such conditions, a Company is well served when it can learn from such events and use the lessons to minimize the potential for future losses. The *ABS Guidance Notes for the Investigation of Marine Incidents* outline how incidents can be investigated and their root causes determined. These Guidance Notes also provide forms and checklists for use during an investigation. These Guidance Notes can be downloaded from the ABS website at <http://www.eagle.org/rules/downloads.html>. Together with the Marine Health, Safety, Quality, Environmental and Energy Management Guide, the *ABS Guidance Notes for the Investigation of Marine Incidents* can be used to address a range of objectives of health, safety, quality, environmental and energy management programs.

In this document, requirements that appear in italics are taken directly from the cited standard.

The use of the word "should" is to be taken to mean the same as "shall" when it appears in the italicized text.

1.2 Certification

1.2.1 General

Companies may request certification to any of the optional notations ("Q", "E", "H" and/or "En"), or a combination thereof, provided compliance with "S" notation is also requested. The following combined notations are possible under this Guide.

1. The safety requirements *or* "S";
2. Safety and quality requirements *or* "SQ";
3. Safety and environmental requirements *or* "SE";
4. Safety and energy requirements *or* "SEn";
5. Safety and health requirements *or* "HS";
6. Safety, quality and environmental requirements *or* "SQE";
7. Safety, quality and energy requirements *or* "SQEn";
8. Safety, environmental and energy requirements *or* "SEEn";
9. Safety, health, and quality requirements *or* "HSQ";
10. Safety, health, and environmental requirements *or* "HSE";
11. Safety, health and energy requirements *or* "HSEn";
12. Safety, quality, environmental and energy requirements *or* "SQEEn";
13. Safety, health, environmental and energy requirements *or* "HSEEn";
14. Safety, health, quality, and energy requirements *or* "HSQEn";
15. Safety, health, quality, and environmental requirements *or* "HSQE", and
16. Safety, health, quality, environmental and energy requirements *or* "HSQEEn"

Companies seeking certification to this Guide must, as a condition of certification, conform to the requirements of the ISM Code, ISO 9001:2015, ISO 14001:2015, ISO 50001:2011 and OHSAS 18001:2007, as relevant to the selected scope of their management system. Additionally, certification to the health, quality, environmental, and energy criteria requires a Stage I (adequacy to proceed) and Stage II (certification) audit.

Ships certified to the requirements of this Guide shall, as a prerequisite, be classed by ABS or another classification society holding an IACS QSCS certificate.

Certification to this Guide shall be administered in the same manner as ISM Code certification. Vessels shall normally be assessed in accordance with the usual audit frequency prescribed for ISM Code certification.

This Guide is subject to review and revision. Updates may include, among other things, additional requirements, or clarification of existing requirements. Companies certified to the requirements of this Guide shall be required to comply with the changes within **one year** after their publication.

A Company that is assessed by ABS and found to meet the requirements specified in this Guide may be issued a corresponding certificate. Vessels operating under the Company's management system that are assessed by ABS and found to meet the requirements specified in this Guide may be issued corresponding certificates, and where ABS classed, corresponding notations in the ABS *Record*. All certificates are subject to periodic and intermediate verifications conducted at each certified location. All certifications are non-transferable. Assessments are based upon a sampling process. The absence of recorded nonconformities does not mean that none exist. Nothing contained herein or in any certificate, notation, or report issued in connection with a certificate and/or notation is intended to relieve any designer, builder, owner, manufacturer, seller, supplier, repairer, operator, insurer, or other entity of any duty to inspect or any other duty or warranty, express or implied, nor to create any interest, right, claim, or benefit in any insurer or other third party.

1.2.2 Certification Process

Companies seeking certification to the requirements of this Guide shall fulfill the following responsibilities, some of which are more fully described in subsequent sections of the Guide:

- a. Document, implement, and maintain a marine management system in accordance with the pertinent requirements of this Guide.
- b. **Inform ABS in writing of major changes to management system elements** (e.g., managerial organizational structure, location, change in types of vessels operated, upgrade/downgrade of process capability, control, or flow) so that the changes may be evaluated by ABS and appropriate action taken.
- c. Provide ABS copies of pertinent management system documentation for review.
- d. Allow ABS access to all certified locations and vessels during normal working hours in order to assess the marine management system to determine continuing compliance with the pertinent requirements of this Guide.
- e. Maintain a record of all complaints received regarding the quality of services, occupational health and safety, environmental pollution, and the resolution thereof.
- f. Notify ABS of port state detentions of vessel(s) certified.
- g. Inform ABS in writing when a Document of Compliance (DOC), issued by a Flag Administration or a Recognized Organization (other than ABS), is withdrawn or invalidated by the issuing party affecting vessels certified to these requirements.

1.2.3 Representations

Certification is a representation by ABS that at the time of assessment the Company and vessels, as pertinent, had established and implemented a management system in accordance with the requirements in this Guide for the specified certificates and notations. Certification is not a representation that the Company always acts in compliance with the management system or that the management system addresses all contingencies. Management performance remains the responsibility of the Company.

1.2.4 Termination

The continuance of certification or any notation is conditional upon the Company's and vessels' continued compliance with the pertinent requirements of this Guide. ABS reserves the right to reconsider, withhold, suspend, or cancel the certification or notation for noncompliance with the requirements, refusing access for an assessment or verification, or nonpayment of fees which are due on account of certification and other services.

1.2.5 Audit Guidelines

For assessments involving "q", "e", "En" or "h" certification, pre-assessments (stage I audits) are mandatory and the range and scope of the pre-assessment is determined by the designated Standard which requires that a minimum pre-assessment of the client's office. Pre-assessments are optional for "s" only assessments. The range and scope of optional pre-assessment is determined by the client.

1.3 Definitions

The definitions listed below are taken, or adapted from the ISM Code, ISO 9001:2015, ISO 14001:2015, ISO 50001:2011, and OHSAS 18001:2007.

Acceptable risk – risk that has been reduced to a level that can be tolerated by the Company having regard to its legal obligations and its own OH&S policy. (OHSAS18001:2007)

Administration – the Government of the State whose flag the ship is entitled to fly.

Anniversary Date – the day and month of each year that corresponds to the date of expiry of the relevant document or certificate.

Audit – systematic, independent, and documented process for obtaining "audit evidence" and evaluating it objectively to determine the extent to which "audit criteria" are fulfilled. (ISO14001:2015)

Auditor – person with the competence to conduct an audit.

Boundaries – physical or site limits and/or organizational limits defined by the organization.

Example: A process; a group of processes; a site; an entire organization; multiple sites under the control of an organization. (ISO50001:2011)

Certification – the decision by ABS that the Company's management system meets the applicable requirements of the ABS Guide.

Company – the Owner of the ship or any other organization or person such as the manager, or the bareboat charterer, who has assumed the responsibility for operation of the ship from the *owner of the ship* and who on assuming such responsibility has agreed to take over all *the duties and responsibilities imposed by the ISM Code. (ISM Code)*

Company = Organization [ISO 9001:2015, ISO 14001:2015, ISO 50001:2011, and OHSAS 18001:2007]

Compliance obligations – *Legal requirements that a Company has to comply with, and other requirements that a Company has to or chooses to comply with. Compliance obligations can arise from mandatory requirements, such as applicable laws and regulations, or voluntary commitments, such as organizational and industry standards, contractual relationships, code of practice and agreements with community groups or non-governmental organizations. (ISO14001:2015)*

Continual improvement – recurring *activity* of enhancing the management system in order to achieve improvements in overall performance consistent with the Company's stated policies for health, safety, quality, environment, pollution prevention, and energy, as applicable.

Convention – means the International Convention for Safety of Life at Sea, 1974, as amended.

Correction – action to eliminate a detected non-conformity.

Corrective Action – action to eliminate the cause of a detected nonconformity or other undesirable situation.

Customer – Company or person that receives a product or service. A charterer is considered a Customer.

Customer satisfaction – perception of the degree to which the Customer's *needs and expectations* have been fulfilled.

DOC – Document of Compliance certificate

Document – information and its supporting medium.

Energy – *electricity, fuels, steam, heat, compressed air, and other like media. (ISO50001:2011)*

Energy baseline – *quantitative reference(s) providing a basis for comparison of energy performance. (ISO50001:2011)*

Energy consumption – *quantity of energy applied. (ISO50001:2011)*

Energy efficiency – *ratio or other quantitative relationship between an output of performance, service, goods or energy, and an input of energy. (ISO50001:2011)*

Energy management system (EnMS) – *set of interrelated or interacting elements to establish an energy policy and energy objectives, processes and procedures to achieve those objectives. (ISO50001:2011)*

Energy management team – *person(s) responsible for effective implementation of the energy management system activities and for delivering energy performance improvements. (ISO50001:2011)*

Energy Services – activities and their results related to the provision and/or use of energy. (ISO50001:2011)

Energy Target – detailed and quantitative energy performance requirement, applicable to the organization or parts thereof, that arises from the energy objective and that needs to be set and met in order to achieve this objective. (ISO50001:2011)

Energy Use – manner or kind of application of energy. (ISO50001:2011)

Environment – surroundings in which a Company and its ships operate, including air, water, land, natural resources, flora, fauna, humans, and their interrelation. (ISO14001:2015)

Environmental aspect – element of a Company’s activities or products or services that *interacts or can interact* with the environment.

Note- An organization determines its environmental aspects and associated environmental impacts, and determines those that are significant. A significant environmental aspect is one that has or can have one or more significant environmental impact (s). (ISO14001:2015)

Environmental impact – any change to the environment, whether adverse or beneficial, wholly or partially resulting from a Company’s environmental aspects. (ISO14001:2015)

Environmental objective – objective set by the Company consistent with its environmental policy. (ISO14001:2015)

Environmental management system – part of a Company’s management system used to manage environmental aspects, fulfill compliance obligations, and address risks and opportunities. (ISO9001:2015)

Environmental performance – measurable results of a Company’s management of its environmental aspects.

External provider – means an external supplier to the Company (including a contractor) that provides a product or a service or performs delegated function(s).

Hazard – source, situation or act with a potential for harm, in terms of human injury or ill health, damage to property, damage to workplace environment or a combination of these. (OHSAS18001:2007)

Hazard identification – process of recognizing that a hazard exists and defining its characteristics. (OHSAS18001:2007)

Ill health – identifiable adverse physical or mental condition arising from and/or made worse by a work activity and/or work-related situation. (OHSAS18001:2007)

Infrastructure – system of facilities, equipment, and services needed for the operation of the Company.

Incident – work-related event(s) in which an injury or ill health (regardless of severity) or fatality occurred or could have occurred. (OHSAS18001:2007)

Internal audit – systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the management system audit criteria set by the Company are fulfilled.

Interested Parties – person or company that can affect, be affected by or perceive itself to be affected by a decision or activity. Example – Customers, communities, suppliers, regulators, non-governmental organizations, investors and employees.

International Safety Management (ISM) Code – means the International Management Code for the Safe Operation of Ships and for Pollution Prevention as adopted by the Assembly, as may be amended by the Organization.

Major non-conformity – means the identifiable deviation that poses a serious threat to the safety of personnel or the ship or a serious risk to the environment that requires immediate corrective action or the lack of effective and systematic implementation of the requirement of the Code. (ISM Code)

Non-conformity – means an observed situation where objective evidence indicates the non-fulfillment of a specified requirement. (ISM Code)

Notation – notation in the ABS Record upon certification to recognize that the ABS classed vessel meets the applicable requirements of this Guide for:

- Safety certification or “S”;
- Safety and Quality certification or “SQ”;
- Safety and Environmental certification or “SE”;
- Safety and Energy certification or “SEn”;
- Safety and Health certification or “HS”;
- Safety, Quality and Environmental certification or “SQE”;
- Safety, Quality and Energy certification or “SQEn”;
- Safety, Environmental and Energy certification or “SEEn”;
- Safety, Health, and Quality certification or “HSQ”;
- Safety, Health, and Environmental certification or “HSE”;
- Safety, Health and Energy certification or “HSEn”;
- Safety, Quality, Environmental and Energy certification or “SQEEn”;
- Safety, Quality, Health and Energy certification or “HSQEn”;
- Safety, Health, Environmental and Energy certification or “HSEEn”;
- Safety, Health, Quality, and Environmental certification or “HSQE”, and
- Safety, Health, Quality, Environmental and Energy certification or “HSQEEn”

Objective – a result to be achieved set by the Company. Objective can be strategic, tactical or operational.

Objective (energy) – specified outcome or achievement set to meet the organization’s energy policy related to improved energy performance. (ISO50001:2011)

Objective evidence – means quantitative or qualitative information, records, or statements of fact pertaining to safety or to the existence and implementation of a management system element, which is based on observation, measurement, or testing that can be verified.

Observation – means a statement of fact made during a management audit and substantiated by objective evidence. (ISM Code)

Occupational health and safety (OH&S) – conditions and factors that affect, or could affect, the health and safety of employees, temporary workers, contractor personnel, visitors, and any other person in the workplace. (OHSAS18001:2007)

OH&S management system – part of the Company’s management system used to develop and implement its OH&S policy and manage its OH&S risks. (OHSAS18001:2007)

Performance – measurable results of the Company’s management of its impacts and/or risks and achievement of its objectives.

Performance (energy) – measurable results related to energy efficiency, energy use and energy consumption. (ISO 50001:2011)

Performance indicator (energy) EnPI – quantitative value or measure of energy performance, as defined by the organization. (ISO 50001:2011)

Policy – overall intentions and direction of a Company related to its performance as formally expressed by the top management.

Preventive action – action to eliminate the cause of a potential non-conformity or other undesirable potential situation.

Prevention of pollution – use of processes, practices, techniques, materials, products, services, or energy to avoid, reduce, or control (separately or in combination) the creation, emission, or discharge of any type of pollutant or waste in order to reduce adverse environmental impacts.

Procedure – specified way to carry out an activity or a process.

Record – document stating results achieved or providing evidence of activities performed. (OHSAS:18001:2007)

Requirement – a need or expectation generally stated, generally implied or obligatory

Risk – is the effect of uncertainty, and any such uncertainty can have positive or negative effects. A positive deviation arising from a risk can provide an opportunity, but not all positive effects of risk result in opportunities. Risk is often expressed in terms of a combination of the likelihood of an occurrence of a hazardous event or exposure(s) and the severity of injury or ill health that can be caused by the event or exposure(s).

Risk assessment – overall process of evaluating the risk(s) arising from a hazard(s), taking into account the adequacy of any existing controls, and deciding whether or not the risk(s) is acceptable. (OHSAS18001:2007)

Safety aspect – element of a Company’s activities or services that represents an actual or potential risk to safety or personnel, or the ship.

Significant energy use – energy use accounting for substantial energy consumption and/or offering considerable potential for energy performance improvement. (ISO50001:2011)

SMC – Safety Management Certificate.

Supplier – Company or person that supplies a product or service.

System – set of interrelated or interacting elements required to direct and control a Company.

Top management – person(s) or group of people who directs or controls a Company at the highest level. (ISO50001:2011)

Work environment – set of conditions or physical location, under control of the Company, in which the work and related activities are performed.



GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

2 POLICY

2.1 General Requirements

s 2.1.1 The Company to be certified shall establish, document, implement, maintain, and continually improve a management system to the relevant requirements of this Guide and fulfill these requirements as specified therein. The Company shall define and document the scope and boundaries of certification of its management system.

2.1.2 *When determining this scope, the Company shall consider:
(ISO9001:2015 4.3 & ISO14001:2015 4.3)*

qe a. *the external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended outcomes of its management system*

q b. *the requirements of relevant interested parties*

q c. *the product and services of the Company*

e d. *compliance obligations required by the needs and expectations of interested parties*

e e. *the Company's units, functions and physical boundaries*

e f. *its activities, products and services*

e g. *its authority and ability to exercise control and influence*

s 2.1.3 The Company's top management shall establish, implement, document and maintain pertinent policy(ies) for Occupational Health, Safety, Quality, Energy and Environmental Protection in accordance with and appropriate to the management system.

s 2.1.4 The Company's top management shall require that the policy is communicated, implemented, understood, and maintained at all levels of the organization, both ship-based and shore-based.

2.2 Occupational Health, Safety, Environmental and Energy Policy

s 2.2.1 The policy shall state the Company's commitment to achieving health, safety, environmental and energy performance improvement and shall describe how the objectives of the management system will be achieved. These objectives, as a minimum, shall be to promote safety at sea, prevention of human injury or loss of life, improved energy performance and avoidance of damage to the environment, in particular to the marine environment and to property.

	2.2.2	Top management shall define and authorize the Company's policy(ies) and require that, within the defined scope of its management system, it:
s	a.	<i>should provide for safe practices in ship operation and a safe working environment; (ISM 1.2.2.1)</i>
eh En	b.	<i>includes a commitment to the protection of the environment, including - prevention of pollution and other specific commitments(s) relevant to the Company and improvement in energy performance; (ISO 14001:2015 5.2.c, ISO 50001:2011 4.3.b)</i>
s	c.	<i>should assess all identified risks to its ships, personnel and the environment and establish appropriate safeguards; (ISM 1.2.2.2)</i>
s	d.	<i>should continuously improve safety management skills of personnel ashore and aboard ships, including preparing for emergencies related both to safety and environmental protection.; (ISM 1.2.2.3)</i>
eh En	e.	<i>includes a commitment to at least comply with applicable legal requirements, and with other requirements to which the organization subscribes that relate to its OH&S hazards, to fulfill its compliance obligations and energy use, consumption and efficiency (OHSAS 18001:2007 4.2c, ISO 14001:2015 5.2d, ISO 50001:2011 / 4.3.d)</i>
h	f.	<i>includes a commitment to prevention of injury and ill health and continual improvement in OH&S management and OH&S performance; (OHSAS 18001:2007 4.2.b)</i>
En	g.	<i>includes a commitment to ensure the availability of information and of necessary resources to achieve objectives and targets. (ISO 50001:2011 4.3.c)</i>
eh En	h.	<i>is communicated to all persons working for and on behalf and under the control of the organization with the intent that they are made aware of their individual health and safety, environmental, Energy obligations as appropriate. (OHSAS 18001:2007 4.2.f, ISO 14001:2015 5.2, ISO 50001:2011 4.3.g)</i>
En	i.	<i>supports the purchase of energy-efficient products and services, and design for energy performance and improvement. (ISO 50001:2011 4.3.f)</i>
En	j.	<i>states the Company's commitment to achieving energy performance improvement (ISO50001:2011 4.3)</i>
e	k.	<i>includes a commitment to continual improvement of the environmental management system to enhance environmental performance. (ISO 14001:2015 5.2 (e))</i>
eh En	2.2.3	The Company's policy shall be appropriate to the nature, scale, environmental impacts, its occupational health and safety risks, energy use and consumption of the Company's shore-based and shipboard risks, activities, and services. Top management shall confirm that policies are reviewed periodically so that they remain relevant and appropriate to the Company.
eh En	2.2.4	The HSEEn policy, as appropriate shall provide a framework for setting and reviewing environmental, energy and occupational health and safety objectives and targets and shall be made available to interested parties.

q

2.3 Quality Policy

2.3.1 *Top management shall establish, implement and maintain a quality policy that: (ISO 9001:2015 5.2.1)*

- a. is appropriate to the purpose and context of the Company and supports its strategic direction;*
- b. provides a framework for setting quality objectives;*
- c. includes a commitment to satisfy applicable requirements;*
- d. includes a commitment to continual improvement of the quality management system.*

2.3.2 *The quality Policy shall (ISO 9001:2015-5.2. 2);*

- a. be available and documented;*
- b. be communicated, understood and applied within the Company;*
- c. be available to relevant interested parties, as appropriate.*



GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

	3	PLANNING
e	3.1	Environmental Aspects
	3.1.1	The Company shall establish, implement, and maintain procedure(s) to identify the environmental aspects of its shipboard and shore-based operations within the scope of the environmental management system that it can control and those it can influence, and their associated environmental aspects considering a lifecycle perspective.
	3.1.2	<i>When determining environmental aspects, the Company shall take into account: (ISO14001:2015 6.1.2)</i> <ul style="list-style-type: none">a. <i>change, including planned or new development, and new or modified activities, product and services;</i>b. <i>abnormal conditions and reasonably foreseeable emergency situations.</i>
	3.1.3	The Company shall determine which environmental aspects have or can have a significant environmental impact, by using established criteria, and communicate its significant environmental aspects among the various levels and functions of the organization as appropriate. The Company shall maintain records of its; (ISO14001:2015 6.1.2) <ul style="list-style-type: none">a. <i>environmental aspects and associated environmental impacts;</i>b. <i>criteria used to determine its significant environmental aspects;</i>c. <i>significant environmental aspects;</i>
	3.2	Energy Planning (ISO 50001:2011 4.4.1)
En	3.2.1	<i>The organization shall conduct and document an energy planning process. Energy planning shall be consistent with the energy policy and shall lead to activities that continually improve performance.</i> <i>Energy planning shall involve a review of the organization's activities that can affect energy performance.</i>
	3.3	Hazard Identification, Risk Assessment, Actions to address Risk and Opportunities
qe	3.3.1	The Company shall establish, implement and maintain documented procedure (s) to address risks and opportunities within the scope of its managements system.

3.3.2 When planning for the management system, the Company shall consider internal & external issues that are relevant to its purpose and its strategic direction, that affect its ability to achieve the intended result(s), and identify relevant interested parties and their needs & expectations its compliance obligations, as appropriate, and determine risks and opportunities that need to be addressed to:
(ISO9001:2015, 6.1.1, ISO14001:2015, 6.1.1)

- qe a. give assurance that the management system can achieve its intended result (s) ;
- q b. enhance desirable effects
- qe c. prevent, or reduce, undesired effects including the potential for external environmental conditions to affect the Company as appropriate
- qe d. achieve continual improvement

q 3.3.3 The Company shall plan (ISO9001:2015, 6.1.2)

- a. actions to be address these risks and opportunities
- b. how to integrate and implement the actions into the quality management system processes and evaluate the effectiveness of these actions

Actions taken to address risks and opportunities are to be proportionate to the potential impact on the conformity of the services.

e 3.3.4 Within the scope of the environmental management system the Company shall determine potential emergency situations, including those can have an environmental impact.
(ISO14001:2015 6.1.1)

h 3.3.5 The Company shall establish implement and maintain procedures for the ongoing hazard identification, risk assessment, and determination of necessary controls. The procedure(s) for hazard identification and risk assessment shall take into account:
(OHSAS 18001:2007 4.3.1)

- a. routine and non-routine activities;
- b. activities of all personnel having access to the workplace (including subcontractors and visitors);
- c. human behavior, capabilities, and other human factors;
- d. identified hazards originating outside the workplace capable of adversely affecting the health and safety of persons under the control of the Company within the workplace;
- e. hazards created in the vicinity of the workplace by work-related activities under the control of the Company;
- f. infrastructure, equipment, and materials at the workplace, whether provided by the Company or others;
- g. changes or proposed changes in the Company, its activities, or materials;
- h. modifications to the OH&S management system, including temporary changes, and their impacts on operations, processes, and activities;

- i. any applicable legal obligations relating to risk assessment and implementation of necessary controls; and*
- j. the design of work areas, processes, installations, machinery/equipment, operating procedures, and work organization, including their adaptation to human capabilities.*
- h** 3.3.6 The Company’s methodology for hazard identification and risk assessment shall: *(OHSAS 18001:2007 4.3.1)*
- a. be defined with respect to its scope, nature, and timing to ensure it is proactive rather than reactive; and*
- b. provide for the identification, prioritization, and documentation of risks and the application of controls, as appropriate.*
- h** 3.3.7 For the management of change, the Company shall identify the OH&S hazards and OH&S risks associated with changes in the Company, the OH&S management system, or its activities, prior to the introduction of such changes. *(OHSAS 18001:2007 4.3.1)*
- h** 3.3.8 The Company shall ensure that the results of these assessments are considered when determining controls. *(OHSAS 18001:2007 4.3.1)*
- h** 3.3.9 When determining controls, or considering changes to existing controls, consideration shall be given to reducing the risks according to the following hierarchy: *(OHSAS 18001:2007 4.3.1)*
- a. elimination.*
- b. substitution.*
- c. engineering controls.*
- d. signage/warnings and/or administrative controls.*
- e. personal protective equipment.*
- h** 3.3.10 The Company shall document and keep the results of identification of hazards, risk assessments and determined controls up-to-date. *(OHSAS 18001:2007 4.3.1)*
- h** 3.3.11 The Company shall ensure that the OH&S risks and determined controls are taken into account when establishing, implementing, and maintaining its management system. *(OHSAS 18001:2007 4.3.1)*
- 3.4 Compliance Obligations**
- 3.4.1** The Company should establish, implement, and maintain a documented procedure:
- s** *a. to identify mandatory rules and regulations applicable to both ship and shore-based operations;*
- s** *b. to identify applicable codes, guidelines, and standards recommended by the IMO, Administrations, classification societies, and maritime industry organizations;*
- eh**
En *c. for determining and accessing the legal and other requirements that are applicable to its OH&S requirements, Environmental aspects, and energy use, consumption and efficiency;*

- s d. for periodically evaluating compliance at least once every 12 months with **its compliance obligations**.
- e e. to determine how these **compliance obligations apply to the Company and take them into account when continually improving environmental management system**.
- e f. **to maintain adequate knowledge and understanding how the codes, rules and guidelines, standards recommended by the IMO, Administration, Classification societies, Maritime industry etc. are applicable to the ship management Company and to the ships.**
- h 3.4.2 *The Company shall communicate relevant information on **its compliance obligations** to persons working under control of the Company, and other relevant interested parties. (OHSAS 18001:2007 4.3.2)*
- En **3.5 Energy Review (ISO 50001:2011 4.4.3)**
 - 3.5.1 *The organization shall develop, record, and maintain an energy review. The methodology and criteria used to develop the energy review shall be documented. To develop the energy review the organization shall:*
 - a. *identify current energy sources;*
 - b. *evaluate past and present energy use and consumption*
 - 3.5.2 *Based on the analysis of energy use and consumption, identify the areas of significant energy use:*
 - a. *identify the facilities, equipment, systems, processes and personnel working for, or on behalf of, the organization that significantly affect energy use and consumption;*
 - b. *identify other relevant variables affecting significant energy uses;*
 - c. *determine the current energy performance of facilities, equipment, systems and processes related to identified significant energy uses;*
 - d. *estimate future energy use and consumption*
 - 3.5.3 *Identify, prioritize and record opportunities for improving energy performance. The energy review shall be updated at intervals not exceeding 12 months as well as in response to major changes in facilities, equipment, systems, or processes.*
- En **3.6 Energy Baseline (ISO 50001:2011 4.4.4)**

The organization shall establish an energy baseline(s) using the information in the initial energy review, considering a data period suitable to the organization's energy use and consumption. Changes in energy performance shall be measured against the energy baseline(s).

Adjustments to the baseline(s) shall be made in the case of one or more of the following:

 - a. *EnPIs no longer reflect organizational energy use and consumption, or*
 - b. *There have been major changes to the process, operational patterns, or energy systems, or*
 - c. *According to a predetermined method.*

The energy baseline(s) shall be maintained and recorded.

En	<p>3.7 Energy Performance Indicators</p> <p><i>The organization shall identify EnPIs appropriate for monitoring and measuring its energy performance. The methodology for determining and updating the EnPIs shall be recorded and regularly reviewed. (ISO 50001:2011 4.4.5)</i></p> <p><i>EnPIs shall be reviewed and compared to the energy baseline as appropriate.</i></p>
s	<p>3.8 Health, Safety and Energy Objectives and Targets</p> <p>3.8.1 The Company shall establish, implement, and maintain documented objectives and targets at each relevant function and level within the shore-based and shipboard organization. (See 5.3) Responsibility and time frame for achieving these objectives and targets shall also be identified and documented.</p>
s	<p>3.8.2 The objectives and targets shall be consistent with the HSQEEEn policy, as appropriate. Targets shall be consistent with the objectives.</p>
s	<p>3.8.3 When establishing and reviewing its management system objectives and targets, the Company shall :</p>
s	<p>a. comply with mandatory rules and regulations;</p>
s	<p>b. take into account applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and maritime industry organizations.</p>
h	<p>c. consider the views of those both inside and outside the workplace, who are affected by the performance of the Company;</p>
h	<p>d. consider technological options that are available;</p>
h	<p>e. consider its financial, operational and business requirements; and</p>
h	<p>f. take into account its legal and other requirements, its OH&S hazards and risks, significant energy uses and opportunities to improve OHSAS and energy performance as identified in the relevant review.</p>
En	<p>3.8.4 The objectives shall be measurable, where practicable, and consistent with the health and safety policy, including the Company's commitment to promote safe operation, and prevention of injury and ill health, to compliance with applicable legal requirements and with other requirements to which the Company subscribes, and to continual improvement.</p>
e	<p>3.9 Quality and Environmental Objectives and Planning</p> <p>3.9.1 When developing environmental objectives, the Company shall take into account significant environmental aspects and associated compliance obligations, and consider its risks and opportunities.</p>
qe	<p>3.9.2 Quality and Environmental objectives shall: <i>(ISO 9001:2015 6.2.1 & ISO14001:2015 6.2.1)</i></p>
qe	<p>a. <i>be consistent with the Company's policies</i></p>
qe	<p>b. <i>be measurable</i></p>
qe	<p>c. <i>take into account applicable requirements</i></p>

- q** *d. be relevant to conformity of products and services, and to enhancement of customer satisfaction*
- qe** *e. be monitored*
- qe** *f. be communicated*
- qe** *g. be updated as appropriate*
- qe** 3.9.3 *When planning how to achieve its quality and/or environmental objectives, the Company shall determine: (ISO9001:2015 6.2.2 & ISO14001:2015 6.2.2)*

 - a. what will be done*
 - b. what resources will be require*
 - c. who will be responsible*
 - d. when it will be completed*
 - e. how the results will be evaluated including indicators for monitoring progress toward achievement of its objectives*
- q** 3.9.4 *When the Company determines the need for changes to the quality management system, the changes shall be carried out in a planned manner. The Company shall consider (ISO 9001:2015 6.3):*

 - a. the purpose of changes and their potential consequences*
 - b. the integrity of the quality management system*
 - c. the availability of the resources;*
 - d. the allocation and reallocation of responsibilities and authorities.*
- q** **3.10 Customer Requirements**

 - 3.10.1 Customer Communication**

The Company shall determine and implement effective arrangements for communicating with customers. *Communication with customers shall include (ISO9001:2015 : 8.2.1):*

 - a. providing information relating to products and services;*
 - b. handling enquiries, contracts or orders , including changes;*
 - c. obtain customer feedback relating to products and services, including customer complaints;*
 - d. handling or controlling customer property;*
 - e. establishing specific requirements for contingency actions, when relevant.*
 - 3.10.2 Determining the Requirements Related to Management of Ships (other Services)**

The Company shall confirm that requirements for services are determined and met with the aim of enhancing customer satisfaction. When determining these requirements, the Company shall confirm that;

- a. the requirements for the services are defined including any statutory and regulatory requirements, and those considered necessary by the Company,
- b. the Company can meet the claims for the services it offers,
- c. breakdowns, accidents, delays, and port state interventions/ detentions are tracked,
- d. performance of external providers is taken into account,

3.10.3 **Review** of the Requirements Related to **Ship Management Services** (other services)

3.10.3.1 The Company shall confirm that it has the ability to meet the requirements for services to be offered to customers. Prior to committing to provide services to the client, the Company shall review the requirements related to the services to be delivered to confirm that;

- a. the requirements specified by the customer, including delivery and post-delivery of its services, are adequately defined and documented;
- b. requirements not stated by the customer but considered necessary for delivery of services are addressed;
- c. contract or order requirements differing from those previously expressed are resolved;
- d. requirements specified by the Company are addressed and;
- e. statutory and regulatory requirements applicable to the services are identified.

The Company shall ensure that contract or order requirements differing from those previously defined are resolved. The customer's requirement shall be confirmed by the Company before acceptance, when the customer does not provide a documented statement of their requirements. (ISO 9001:2015 8.2.3.1)

3.10.3.2 The Company shall document the results of the review and any new requirements applicable to the services it offers. (See 5.3)

3.10.4 **Changes to the Service Requirements**

Where requirements for services are changed, the Company shall verify that relevant documents are amended and that personnel involved are made aware of the changed requirements.

3.11 Management Programs

3.11.1 General

s 3.11.1.1 The Company shall establish, implement, maintain and continually improve programs for achieving its objectives and targets taking into account the unique design characteristics and operating performance requirements of each ship type.

3.11.1.2 The Company shall determine the process(es) needed for the management system and their application throughout the Company. Programs shall:

- s a. identify criteria, methods, resources, and information required to effectively monitor, measure where applicable, analyze, control, and implement the identified processes;
- s b. include defined levels of responsibility and authority and lines of communication between, and amongst, shore and shipboard personnel;

Section 3 Planning

- s c. include the means and time frame by which the objectives and targets are to be achieved;
- s d. designate responsibility for achieving objectives and targets at relevant functions and levels of the Company;
- s e. implement actions necessary to achieve planned results and continual improvement of these processes;
- En f. include a statement of the method by which improvement in energy performance will be verified and the method by which results will be verified;
- s g. be reviewed at regular and planned intervals and updated as necessary, so that objectives are achieved;
- s h. *address the risks and opportunities as determined during planning.*
ISO 9001:2015 4.4.1 (f)
- s 3.11.1.3 These processes **shall** be managed by the Company in accordance with the requirements of this Guide.
- 3.11.2 **Leadership and Commitment** (ISO 9001:2015 5.1.1) (ISO14001:2015 5.1) (ISO50001:2011 4.2.1)
- 3.11.2.1 *Top management shall demonstrate leadership and commitment to the development and implementation of the management system and continually improving its effectiveness by:*
 - s a. *ensuring policy and objectives are established and compatible with strategic direction and context of the Company,*
 - s b. *communicating the importance of effective management system and of conforming to the management system requirements ,*
 - s c. *ensuring the integration of the management system requirements into the Company's business process,*
 - s d. *promoting the use of process approach and risk based thinking,*
 - s e. *engaging, directing and supporting persons to contribute to the effectiveness of the management system,*
 - s f. *promoting continual improvement,*
 - s g. *supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility,*
 - En h. *communicating the importance of energy management to those in the organization,*
 - qe i. *take accountability for the effectiveness of the management system,*
 - qe j. *ensuring that the management system achieves its intended outcomes,*
 - s k. *conducting management reviews,*
 - s l. *providing the resources to establish, implement, maintain and improve the management system,*
 - En m. *ensuring that EnPis are appropriate for the organization,*

- En n. considering energy performance in the long term planning,
- En o. ensuring that results are measured and reported at predetermined intervals,
- h p. ensuring the availability of the resources essential to establish, implement, maintain, and improve the OH&S management system, (OHSAS 18001:2007 4.4.1 (a),
- h q. defining roles, allocating responsibilities and accountabilities, and delegating authorities, to facilitate effective OH&S management; roles, responsibilities, accountabilities, and authorities shall be documented and communicated. [OHSAS 18001:2007 4.4.1 (b)]
- q 3.11.2.2 Top management shall demonstrate leadership and commitment with respect to customer focus by ensuring that: (ISO 9001:2015 5.1.2)
- a. customer and applicable statutory and regulatory requirements are determined, understood and consistently met;
- b. the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed;
- c. the focus of enhancing customer satisfaction is maintained.
- 3.12 Management System Documentation**
- s 3.12.1 The Company shall describe the pertinent health, safety, environmental protection, energy and quality programs, within the management system documentation, as applicable.
- 3.12.2 The management system documentation shall;
- s a. define and document the scope of the management system including details and justification for any exclusions;
- s b. include pertinent Company policies, objectives and targets;
- s c. define the responsibility, authority, and interrelation of the personnel who manage, perform, and verify work relating to and affecting safety operations, pollution prevention, energy, and quality, as appropriate;
- s d. describe the core elements and outline the structure of the Company's management system and interaction of its elements, and reference to related documents;
- qe e. include documented procedures established for the management system or provide appropriate references to management system documentation;
- Note: The extent of documentation for a management system can differ from one Company to another due to:*
- its size and type of activities, processes, products and services;
 - the need to demonstrate fulfilment of its compliance obligations as appropriate;
 - the complexity of processes and their interactions;
 - the competence of persons
- (ISO9001 20157.5.1 ISO 14001:2015 7.5.1)
- qe f. describe the interaction between the processes of the management system;
- s g. include the procedures and records required by this Guide to demonstrate conformity to requirements and the effective planning, operation, and control of the management system processes; (See 5.3)

Section 3 Planning

- he** | h. include documents, including records, determined by the Company to be necessary to demonstrate the effective planning, operation, and control of processes that relate to its significant environmental aspects and management of its OH&S risks; and
- s** | i. be kept in the form that the Company considers most effective.



GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

	4	IMPLEMENTATION AND OPERATION
	4.1	Resources, Roles, Responsibility, Accountability, and Authority
s	4.1.1	The Company's top management shall determine and provide the resources essential to establish, implement, maintain, and continually improve the management system. Resources include human resources and specialized skills, organizational infrastructure, technology, and financial resources. Resources also include personnel suitably trained to perform verification activities including internal management system audits.
	4.1.2	<i>Top management shall assign the responsibility and authority for (ISO9001:2015 5.3, ISO 14001:2015 5.3):</i>
qe		<i>a. ensuring that the management system conforms to the requirements of this Guide;</i>
q		<i>b. ensuring that the processes are delivering their intended outputs;</i>
qe		<i>c. reporting on the performance of the management system and on opportunities for improvement;</i>
q		<i>d. ensuring the promotion of customer focus throughout the Company;</i>
q		<i>e. ensuring that integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.</i>
h	4.1.3	<i>Top management shall take ultimate responsibility for OH&S and the OH&S management system. (OHSAS 18001:2007 4.4.1)</i>
En	4.1.4	<i>The organization shall use the action plans and other outputs resulting from the planning process for implementation and operation. (ISO 50001:2011 4.5.1)</i>
q	4.2	Infrastructure
		The Company shall determine, provide, and maintain the infrastructure needed to achieve the specified or implied requirements of the customer.
		<i>Infrastructure can include: (ISO 9001:2015 7.1.3)</i>
		<i>a. buildings and associated utilities;</i>
		<i>b. equipment, including hardware and software;</i>
		<i>c. transportation resources;</i>

d. Information and communication technology.

q 4.3 Environment for Operation of Shore Based and Shipboard Services

The Company shall determine and manage the work environment, both on board the ships and in the shore-based office needed to achieve conformity of service requirements. *A suitable environment can be a combination of human and physical factors, such as (ISO9001:2015 7.1.4):*

a. social (e.g. non-discriminatory, calm, non-confrontational);

b. psychological (e.g. stress-reducing, burnout prevention, emotionally protective);

c. physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise).

4.4 Designated Person(s)/Quality Management Representative/Environmental Management Representative(s)/Energy Management Representative(s)/OH&S Management Representative

4.4.1 The Company's top management shall appoint member(s) of management who, irrespective of other responsibilities, shall have defined roles, responsibilities, skills, competence and authority to:

s a. report directly to the top management on management system performance and provide a link between the Company and those aboard;

En b. *identify person(s), authorized by an appropriate level of management, to work with the management representative in support of energy management activities; (ISO 50001:2011 4.2.2.b)*

En c. *define and communicate responsibilities and authorities in order to facilitate effective energy management; (ISO 50001:2011 4.2.2.f)*

s d. liaise with external parties on matters concerning establishment, approval, and timely auditing of the management systems to comply with applicable code, standard, or industry guidelines, including requirements of this Guide;

s e. monitor the safety and pollution prevention aspects of the operation of each ship and provide adequate shore-based support as required;

En f. *determine criteria and methods needed to ensure that both the operation and control of the EnMS are effective; (ISO 50001:2011 4.2.2.g)*

En g. *ensure that the planning of energy management activities is designed to support the organization's energy policy; (ISO 50001:2011 4.2.2.e)*

s h. verify that the management system(s) are established, implemented, and maintained in accordance with the requirements of this Guide;

s i. conduct reviews and report to top management on the performance of the management system(s), including recommendations for improvement;

En j. *report to top management on energy performance; (ISO 50001:2011 4.2.2.c)*

En k. promote awareness of energy policy and objectives throughout the organization, as appropriate.

- s** 4.4.2 The designated person(s)/management representative **shall** have direct access to the highest level of management.
- s** 4.4.3 The Company **shall** provide adequate resources and shore-based support to enable the Management representative/designated person or persons to carry out their functions.
- h** 4.4.4 The identity of the Management Representative(s) **shall** be made available to all persons working under control of the Company.
- h** 4.4.5 The OH&S Management Representative shall be a member of top management.
- s** **4.5 Master's Responsibility and Authority**
- 4.5.1 *The Company should clearly define and document the Master's responsibility with regard to: (ISM 5.1)*
- a. *implementing the occupational health, safety, environmental-protection, and quality policy of the Company;*
 - b. *motivating the crew in the observation of that policy;*
 - c. *issuing appropriate orders and instructions in a clear and simple manner;*
 - d. *verifying that specified requirements are observed; and*
 - e. *periodically reviewing the management system and reporting its deficiencies to the shore-based management.*
- 4.5.2 *The Company should ensure that the safety management system operating on board the ship contains a clear statement emphasizing the master's authority. The Company should establish in the safety management system that the master has the overriding authority and the responsibility to make decisions with respect to safety and pollution prevention and to request the Company's assistance as may be necessary. (ISM 5.2)*
- 4.6 Personnel**
- s** 4.6.1 **Master's Qualification and Support (ISM 6.1)**
- The Company should ensure that the Master is:*
- a. *properly qualified for command;*
 - b. *fully conversant with Company's safety management system; and*
 - c. *given the necessary support so that the Master's duties can be safely performed.*
- 4.6.2 **Shipboard and Shore Personnel**
- s** 4.6.2.1 *The Company should ensure that each ship is manned with qualified, certificated, and medically fit seafarers in accordance with national and international requirements **and appropriately manned in order to encompass all aspects of maintaining safe operations on board.** (ISM 6.2)*
- s** 4.6.2.2 *The Company should establish procedures by which the ship's personnel receive relevant information on the safety management system in a working language or languages understood by them. (ISM 6.6)*

s 4.6.2.3 *The Company should ensure that the ship's personnel are able to communicate effectively in the execution of their duties related to the safety management system. (ISM 6.7)*

h 4.6.2.4 *The Company shall ensure that persons in the workplace take responsibility for aspects of OH&S over which they have control, including adherence to the Company's applicable OH&S requirements. (OHSAS 18001:2007 4.4.1)*

4.7 Competence, Training, and Awareness

4.7.1 General

s 4.7.1.1 The Company shall verify that any personnel performing tasks for it or on its behalf that have potential to impact safe operation, significant energy use, pollution prevention, environment, OH&S risks, and conformity of the service to requirements (as applicable) shall be competent on the basis of appropriate education, training (both externally and internally provided), skills and/or experience, and shall retain associated records.

4.7.1.2 The Company **shall**:

s a. determine the necessary competence for personnel performing work affecting safety, the environment, energy, or conformity to policies and service requirements;

s b. establish and maintain documented procedures for identifying any training which may be required in support of the management system and verify that such training is provided for all personnel concerned;

qeh c. evaluate the effectiveness of the training provided or other actions taken to achieve the necessary competence; and

qe d. make personnel aware of the relevance and importance of their activities and how they contribute to the achievement of the objectives

s 4.7.1.3 The Company **shall** verify that all personnel involved in the Company's management system have an adequate understanding of relevant rules, regulations, codes, and guidelines.

En 4.7.1.4 *The Company ensure that any person(s) working for or on its behalf are aware of:*

a. *the importance of conformity with the energy policy, procedures and the requirements of the EnMS;*

b. *their roles, responsibilities and authorities in achieving the requirements of the EnMS;*

c. *the benefits of improved energy performance;*

d. *the impact, actual or potential, with respect to energy use and consumption, of their activities and how their activities and behavior contribute to the achievement of energy objectives and targets, and the potential consequences of departure from specified procedures. (ISO50001:2011 4.5.2)*

s 4.7.1.5 Appropriate records of education, training, skills, and experience **shall** be maintained.

h 4.7.1.6 *Training procedures shall take into account differing levels of responsibility, ability, language skills, literacy and risk. (OHSAS 18001:2007 4.4.2)*

	4.7.2	Management System Awareness Training
		The Company shall establish, implement, and maintain procedures so that personnel working for it or on its behalf within the shore-based and shipboard organization are aware of:
sqe	a.	the importance of conformance with the management system policies and procedures and with requirements of the management system;
h		
e	b.	the significant environmental aspects and related actual or potential environmental impacts associated with their work;
qeh	c.	the benefits of improved personal performance, safe operation, and preservation of the environment;
eh	d.	their roles and responsibilities in achieving conformance with requirements of the management system policies, procedures and requirements;
eh	e.	their roles and responsibilities in regard to emergency preparedness and response requirements;
h	f.	the potential consequences of departure from specified operating procedures and requirements;
qe	g.	the implications of not conforming with the management system requirements, including not fulfilling the Company's compliance obligations as appropriate.
	4.7.3	Familiarization Training
s		<i>The Company should establish, implement and maintain procedures so that new personnel and personnel transferred to new assignments related to occupational health, safety, protection of the environment, and quality, as applicable, are given proper familiarization with their duties. Instructions which are essential to be provided prior to sailing should be identified, documented, and given. (ISM 6.3)</i>
	4.8	Communication, Participation, and Consultation
	4.8.1	<i>The Company shall establish, implement and maintain processes needed for internal and external communications relevant to management system, including: (ISO 9001:2015 7.4 and ISO 14001:2015 7.4.1)</i>
qe	a.	<i>on what it will communicate</i>
qe	b.	<i>when to communicate</i>
qe	c.	<i>with whom to communicate</i>
qe	d.	<i>how to communicate</i>
q	e.	<i>who communicates</i>
	4.8.2	Regarding its health and safety hazards, energy performance and the management system, the Company shall establish, implement, and maintain documented procedures for:
eh	a.	internal communication among the various levels and functions within the Company including any changes;
En		
h	b.	receiving, documenting, and responding to relevant communication from external interested parties;

- h** c. communication with contractors and other visitors to the workplace.
- En** 4.8.3 The Company shall decide whether to communicate externally about its energy policy, *EnMS and energy performance*, and shall document its decision. If the decision is to communicate externally, the organization shall establish and implement a method for this external communication. (ISO 50001:2011 4.5.3)
- h** 4.8.4 The Company shall establish, implement, and maintain procedure(s) so that pertinent OH&S information is communicated to and from employees and other interested parties. Employee participation and consultation arrangements shall be documented and interested parties informed. Employees shall be:

 - a. appropriately involved in the hazard identification, risk assessments, determination of controls, and development and review of OH&S policies and objectives;
 - b. appropriately involved in incident investigation;
 - c. consulted where there are any changes that affect workplace health and safety. This includes consultation with contractors where there are changes that affect their OH&S;
 - d. represented on health and safety matters; and
 - e. informed as to who is their employee OH&S representative and specified management appointee.
- s** 4.8.5 The Company shall establish and implement a process by which any person working for, or on behalf of the Company can make comments or suggest improvements to the management system(s).
- e** 4.8.6 *The Company shall externally communicate information relevant to the environmental management system, as established by its communication process(es) and as required by its compliance obligations (ISO14001:2015 7.4.3).*
- h** 4.8.7 The Company shall consult, when appropriate, with relevant external interested parties about pertinent OH&S issues.
- 4.9 Control of Documents**
- s** 4.9.1 Management System documentation shall consist of:

 - a. established, implemented, and documented procedures for:
 - 1. document and data control, including documents of external origin;
 - 2. internal audits;
 - 3. corrective and preventive action;
 - 4. non-conformances, hazardous occurrences and near misses;
 - 5. control of records; (See 5.3)
 - b. documented policy and objectives as appropriate;
 - c. a manual (this manual may be incorporated into an existing top tier manual);
 - d. documents required for effective planning, operation and control of its processes; and

- e. records required to demonstrate compliance with requirements and of effective operation of the management system. (See 5.3)
- En** 4.9.2 Energy Management System Documentation shall describe the core elements of the EnMS and their interaction and shall include:
- a. *the scope and boundaries of the EnMS;*
 - b. *the energy policy;*
 - c. *the energy objectives, targets, and action plans;*
 - d. *the documents, including records, required by this Guide;*
 - e. *other documents determined by the Company to be necessary (ISO 50001:2011 4.5.4.1).*
- s** 4.9.3 The Company shall establish, implement, and maintain documented procedures to control all documents and data relevant to the management system so that:
- a. documents can be located and are available at points of use with valid identification and description (e.g. title, date, author or reference number);
 - b. new and revised documents and data are reviewed and approved, or updated and re-approved for adequacy by authorized personnel prior to issue;
 - c. documents of external origin determined by the Company to be necessary for planning and operation of the management system are to be identified and controlled;
 - d. appropriate format (e.g. language, software version, graphic) and media (e.g. paper, electronic) are used;
 - e. invalid or obsolete documents are promptly removed prior distribution and use;
 - f. any invalid or obsolete documents retained for any purposes are suitably identified and prevented from unintended use;
 - g. periodically review and update documents for suitability and adequacy.
- s** 4.9.4 The Company shall verify that changes and current revision status of documents are identified.
- qe** 4.9.5 Documentation shall be adequately protected (e.g. from loss confidentiality, Improper use, or loss of integrity) (ISO9001:2015 7.5.3.1 ISO14001:2015 7.5.3).
- s** 4.9.6 Documentation shall remain legible and readily identifiable, maintained in an orderly manner and indicate the date of revision and retained for a period established by the Company.
- 4.10 Operational Control**
- s** 4.10.1 The Company shall establish procedures, plans and instructions, including checklists as appropriate, for key shore-based and shipboard operations and activities concerning health & safety of the personnel, safety of the ship, prevention of pollution, preservation of the environment, quality and energy performance as appropriate in support of the Company policy(s), objectives, targets and action plans. The various tasks shall be defined and assigned to qualified personnel.

Section 4 Implementation and Operation

- s** 4.10.2 The Company shall establish, implement, and maintain documented instructions and procedures to promote safe operation of ships and protection of the environment in compliance with relevant international and Flag State legislation.
- hEn** 4.10.3 The Company shall identify those operations and activities that are associated with identified hazards and significant energy uses as appropriate where control measures need to be applied to manage the risk(s). This shall include management of change.
- 4.10.4 The Company shall plan these operations and activities in order that they are carried out under specified conditions by means of the following.
- s** a. compliance with mandatory rules, regulations, and codes;
- s** b. established and maintained documented procedures/work instructions to control situations where their absence could lead to deviation from the policies, objectives, and targets;
- h** c. *controls related to purchased goods, equipment, and services;*
(OHSAS18001:2007 4.4.6 (b))
- h** d. *controls related to contractors and other visitors to the workplace;*
(OHSAS18001:2007 4.4.6 (c))
- hqe** e. *establishing operating criteria of the services and implementing control of the process(es);*
- En** f. *establishing and setting criteria for the effective operation and maintenance of significant energy uses, where their absence could lead to a significant deviation from effective energy performance (ISO50001:2011 4.5.5);*
- En** g. *operating and maintaining facilities, processes, systems and equipment, in accordance with operational criteria (ISO50001:2011 4.5.5);*
- En** h. *appropriate communication of the operational controls to personnel working for, or behalf of, the organization. (ISO50001:2011 4.5.5)*
- qe** 4.10.5 *The Company shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary. (ISO9001:2015 8.1, ISO14001:2015 8.1)*
- qe** 4.10.6 *The Company shall confirm that outsourced processes are controlled. The type and extent of control to be applied to process(es) is to be defined within the management system.*
- e** 4.10.7 *Consistent with a life cycle perspective, the Company shall (ISO14001:2015 8.1):*
- a. *establish controls, as appropriate, to ensure that its environmental requirement(s) is (are) addressed in the design and development process for the product or service, considering each life cycle stage;*
- b. *determine its environmental requirement(s) for the procurement of products and services, as appropriate;*
- c. *communicate its relevant environmental requirement(s) to external providers, including contractors;*

- d. consider the need to provide information about potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services.*
- s** 4.10.8 The Company shall maintain records to the extent necessary to demonstrate the conformity of the services to their requirements.
- q** 4.10.9 *The Company shall implement production and service provision under controlled conditions. Controlled conditions shall include, as applicable (ISO9001:2015 8.5.1):*

 - a. the availability of documented information that defines:*

 - 1. the characteristics of the products to be produced, the services to be provided, or the activities to be performed;*
 - 2. the results to be achieved;*
 - b. the availability and use of suitable monitoring and measuring resources;*
 - c. the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met;*
 - d. the use of suitable infrastructure and environment for the operation of processes;*
 - e. the appointment of competent persons, including any required qualification;*
 - f. the validation, and periodic revalidation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement;*
 - g. the implementation of actions to prevent human error;*
 - h. the implementation of release, delivery and post-delivery activities.*
- q** 4.10.10 The Company shall meet requirements for post-delivery activities associated with the products and services. In determining the extend of post-delivery activities that are required, the organization shall consider (ISO 9001:2015 8.5.5):

 - a. statutory and regulatory requirements;*
 - b. the potential undesired consequences associated with its products and services;*
 - c. the nature, use and intended lifetime of its products and services;*
 - d. customer requirements;*
 - e. customer feedback;*

Post-delivery activities can include actions under warranty provisions, contractual obligations such as maintenance services, and supplementary services such as recycling or final disposal.

4.11 Control of Externally provided Processes, Products and Services

q

4.11.1 General

The Company shall verify that externally provided processes, products or services conforms to specified requirements. The Company shall demonstrate adequate control to external providers processes and services when;

- a. services provided from external providers are intended for incorporation in Company's services;
- b. services provided directly to the customer(s) by external provider(s) on behalf of the Company;
- c. a service or part of the service is provided by an external provider as a result of Company's decision.

q

4.11.2 Evaluation of External Providers (e.g. suppliers, service providers)

The Company shall:

- a. establish criteria for selection, evaluation, monitoring of performance and re-evaluation of external provider(s);
- b. evaluate and select external providers on the basis of their ability to meet the Company's requirements;
- c. maintain records of the results of evaluations and actions arising thereof. (See 5.3)

q

4.11.3 Type and Extent of Control of Services Provided by External Providers

4.11.3.1 The Company shall define the type and extent of control to be exercised over suppliers and service providers. The Company shall confirm that externally provided services do not adversely affect its ability to consistently deliver conforming services to its customers.

4.11.3.2 The Company shall (ISO 9001:2015 8.4.2):

- a. ensure that externally provided processes remain within the control of its quality management system;
- b. define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;
- c. take into consideration:
 - 1) the potential impact of the externally provided processes, products and services on the organization's ability to consistently meet customer and applicable statutory and regulatory requirements
 - 2) the effectiveness of the controls applied by the external provider
- d. determine the verification, or other activities, necessary to ensure that externally provided processes, products and services meet requirements.

q	<p>4.11.4 Information for External Providers</p> <p>The Company shall verify the adequacy of requirements prior to their communication to the external providers. Information shall clearly describe the requirements for materials or services to be provided. The Company shall communicate to external providers its requirement for:</p> <ul style="list-style-type: none">a. approval of services, processes and deliverables,b. the external providers' interactions with the Company,c. control and monitoring of the external provider's performance to be applied by the Company,d. competence, including any required qualifications and certifications of persons providing a service,e. conformance with applicable occupational health, safety, environmental, or quality management system requirements,f. verification or validation activities that the Company or its customer, intends to perform at the external providers' premises.
En	<p>4.11.5 Procurement of Energy Services, Products, Equipment and Energy (ISO 50001:2011 4.5.7)</p> <p>4.11.5.1 <i>When procuring energy services, products and equipment that have, or can have, an impact on significant energy use, the organization shall inform suppliers that procurement is partly evaluated on the basis of energy performance.</i></p> <p>4.11.5.2 <i>The organization shall establish and implement the criteria for assessing energy use, consumption and efficiency over the planned or expected operating lifetime when procuring energy using products, equipment and services which are expected to have a significant impact on the organization's energy performance.</i></p> <p>4.11.5.3 <i>The organization shall define and document energy purchasing specifications, as applicable, for effective energy use.</i></p>
	<p>4.12 Property Belonging to Customers or External Providers</p>
q	<p>4.12.1 The Company shall exercise care with property belonging to customers or external providers while it is under the Company's control or being used by it. The Company is responsible for identifying, verifying, protecting, and safeguarding customers' or external providers' property provided for use or incorporation into the products or services. If any such property is lost, damaged, or otherwise unsuitable for use, the Company shall report this to the customer or external provider and maintain records of these activities. (See 5.3)</p> <p><i>Note: A customer's or external provider's property can include materials, components, tools and equipment, premises, intellectual property and personal data. (ISO9001:2015 8.5.3)</i></p>
	<p>4.13 Preservation of Service</p>
q	<p>4.13.1 The Company shall preserve the outputs during the process of management and service delivery in order to maintain conformity to requirements.</p> <p><i>Note: Preservation can include identification, handling, contamination control, packaging, storage, transmission or transportation and protection. (ISO 9001:2015 8.5.4)</i></p>

4.14 Identification and Traceability

- q 4.14.1 The Company shall use suitable means to identify management system process outputs to confirm conformity of the services. The Company shall identify, record, and report the progress of the voyage and charter at key points from beginning through completion and through appropriate stages of monitoring and measurement requirements. (See 5.3) This shall include service status and traceability information such as ship's position, estimated time of arrival, and cargo load port, discharge port, and location and quantity of cargo aboard ship.

s **4.15 Maintenance of the Ship and Equipment**

4.15.1 General

The Company should establish procedures to ensure that the ship is maintained in conformity with the provisions of the relevant rules and regulations and with any additional requirements which may be established by the Company. (ISM 10.1)

4.15.2 Inspections

In meeting these requirements, the Company should ensure that: (ISM 10.2)

- a. *inspections are held at appropriate intervals;*
- b. *any non-conformity is reported, with its possible cause, if known;*
- c. *appropriate corrective action is taken; and*
- d. *records of these activities are maintained.*

4.15.3 Critical Equipment and Systems

4.15.3.1 *The Company should identify equipment and technical systems the sudden operational failure of which may result in hazardous situations. The safety management system should provide for specific measures aimed at promoting the reliability of such equipment or systems. These measures should include the regular testing of stand-by arrangements and equipment or technical systems that are not in continuous use. (ISM 10.3)*

4.15.3.2 *The inspections mentioned in 4.15.2 as well as the measures referred to in 4.15.3.1 should be integrated into the ship's operational maintenance routine. (ISM 10.4)*

4.15.3.3 Where inspection and test equipment is used to measure maintenance criteria, the equipment shall be controlled in accordance with 5.1.2 "Monitoring and Measuring Resources".

4.16 Emergency Preparedness and Response

s 4.16.1 General

The management system should provide for measures ensuring that the Company's shore-based and shipboard organization can respond at any time to hazards, accidents and emergency situations, especially those involving their ships.(ISM 8.3)

4.16.2 Emergency Plans

- s 4.16.2.1 The Company shall identify potential emergency situations and potential accidents that can have an impact on health, safety, quality, and environment and establish procedures how it will respond to them, in both shipboard and shore-based operations.

- s 4.16.2.2 The Company shall establish, implement, and maintain documented plans and procedures to respond to potential and actual emergency situations and accidents.

- h** 4.16.2.3 In planning its emergency response the Company **shall** take account of the needs of relevant interested parties, e.g., emergency services and port facilities.
- eh** 4.16.2.4 The Company **shall** respond to actual emergency situations and accidents; **to prevent or mitigate associated adverse OH&S consequences and/or environmental impacts from emergency situations. These actions shall be appropriate to the magnitude of the emergency and the potential environmental impact.**
- 4.16.3 Drills and Exercises
- s** 4.16.3.1 The Company **shall** establish a program of drills and exercises to prepare for emergency situations. The Company **shall** periodically test such procedures where practicable.
- s** 4.16.3.2 The Company **shall** periodically review and, where necessary, revise its emergency preparedness and response procedures, in particular, after the occurrence of emergency situations **or periodical test.**
- eh** 4.16.3.3 When conducting drills and exercises, the Company **shall provide relevant information and training related to emergency preparedness and response; and** involve relevant interested parties, **including persons working under its control as** appropriate.

En 4.17 Design

The organization shall consider energy performance improvement opportunities and operational control in the design of new, modified and renovated facilities, equipment, systems and processes that can have a significant impact on its energy performance.

The results of the energy performance evaluation shall be incorporated where appropriate into the specification, design and procurement activities of the relevant project(s).

The results of the design activity shall be recorded. (ISO 50001:2011 4.5.6).



GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

5 PERFORMANCE EVALUATION AND IMPROVEMENT

5.1 Monitoring, Measurement, Analysis and Evaluation

5.1.1 General

- En** 5.1.1.1 *An energy management plan, appropriate to the size and complexity of the organization and its monitoring and measuring equipment shall be defined and implemented. (ISO 50001:2011 4.6.1)*
- 5.1.1.2 The Company shall monitor, measure, analyze and evaluate its performance. The Company shall determine:
- qe** a. *what needs to be monitored and measured; [ISO 9001:2015 9.1.1 (a), ISO 14001:2015 9.1.1(a)]*
- qe** b. *the methods for monitoring, measurement, analysis, evaluation needed to ensure valid results; [ISO 9001:2015 9.1.1 (b), ISO 14001:2015 9.1.1(b)]*
- qe** c. *when the monitoring and measuring shall be performed; [ISO 9001:2015 9.1.1 (c), ISO 14001:2015 9.1.1(d)]*
- qe** d. *when the results from monitoring and measurement shall be analyzed and evaluated; [ISO 9001:2015 9.1.1 (d), ISO 14001:2015 9.1.1(e)]*
- e** e. *the criteria against which the Company will evaluate its environmental performance and appropriate indicators.[ISO 14001:2015 9.1.1(c)]*
- 5.1.1.3 The Company shall establish, implement, and maintain documented procedures for monitoring, measuring and analyzing, at planned intervals, the key characteristics of its operations and activities that can have a significant impact on occupational health, safety, quality, environment and energy performance as applicable. The procedure(s) shall include:
- h** a. *recording of data and results of monitoring and measurement to facilitate subsequent corrective and preventive action analysis. Corrections shall be applied as soon as deficiencies become apparent to maintain integrity of the service being delivered; (See 5.3)*
- h** b. *both qualitative and quantitative measures, appropriate to the needs of the Company; (OHSAS 18001:2007 4.5.1.a)*
- h** c. *monitoring of the extent to which the Company's OH&S objectives are met; (OHSAS 18001:2007 4.5.1.b)*

- h d. *monitoring the effectiveness of controls (for health as well as safety); (OHSAS 18001:2007 4.5.1.c)*
 - h e. *proactive measures of performance that monitor conformance with the OH&S program, controls and operational criteria and applicable legislation and regulatory requirements; (OHSAS 18001:2007 4.5.1.d)*
 - h f. *reactive measures of performance that monitor ill health, incidents (including accidents, near-misses, etc.) and other historical evidence of deficient OH&S performance; (OHSAS 18001:2007 4.5.1.e)*
 - En g. *significant energy uses and other outputs of the energy review; (ISO 50001:2011 4.6.1.a)*
 - En h. *the relevant variables related to significant energy uses; (ISO 50001:2011 4.6.1.b)*
 - En i. *EnPis; (ISO 50001:2011 4.6.1.c)*
 - En j. *the effectiveness of the action plans in achieving objectives and targets; (ISO 50001:2011 4.6.1.d)*
 - En k. *evaluation of actual versus expected energy consumption. (ISO 50001:2011 4.6.1.e)*
 - qe 5.1.1.4 *The Company shall evaluate its performance and the effectiveness of the management system. Records of evidence of monitoring, measurement, analysis, and evaluation results shall be maintained (See 5.3).*
 - e 5.1.1.5 *The Company shall communicate relevant environmental performance information both internally and externally, as identified in its communication process(es) and as required by its compliance obligations. (ISO 14001:2015, 9.1.1)*
 - 5.1.2 **Monitoring and Measuring Resources**
 - q 5.1.2.1 *The Company shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of services to requirements. (ISO 9001:2015 7.1.5.1)*
- The Company shall determine the knowledge and resources necessary for the operation of its processes and to achieve conformity of services. This knowledge shall be maintained and be available to the extent necessary.*
- When addressing changing needs and trends, the Company shall consider its current knowledge and determine how to acquire or access any necessary additional knowledge and required updates. The Company's knowledge can be based on (ISO9001:2015 7.1.6):*
- a. *internal sources (e.g. intellectual property; knowledge gained from experience; lessons learned from failures and successful projects; capturing and sharing undocumented knowledge and experience; the results of improvements in processes, products and services);*
 - b. *external sources (e.g. standards; academia; conferences; gathering knowledge from customers or external providers).*

- hqe En** 5.1.2.2 The Company shall establish and maintain procedure to verify that calibrated or verified monitoring and measurement equipment is used and maintained as appropriate, and shall retain associated records. (see 5.3) Monitoring and measuring equipment (MMEs) shall be used in a manner so that the measurement uncertainty is known and is consistent with the required monitoring and measurement requirements.
- s** 5.1.2.3 Where equipment or devices are used for verification and validation the Company shall:
- a. identify MMEs with a suitable indicator or identification record to show calibration status;
 - b. calibrate or verify (or both) MMEs at prescribed intervals, or prior to use, against certified equipment having a known relationship to an internationally or nationally recognized standard. Where no such standards exist, the basis used for calibration or verification shall be documented;
 - c. define the process for calibration of MMEs, including the equipment type, unique identification, frequency of checks, check method, acceptance criteria and the action to be taken when the results are unsatisfactory;
 - d. verify that the handling, maintenance, and storage of MMEs is to protect them from damage and deterioration;
 - e. verify that the environmental conditions are suitable for the calibration, inspections, measurements, and tests being carried out;
 - f. maintain records of the results of calibration and verification; (See 5.3)
 - g. safeguard MMEs from adjustments which would invalidate the calibration;
 - h. assess and record the validity of previous results when MMEs are found to be out of calibration and take appropriate action on the equipment and product or service affected;
 - i. identify the need for MMEs to be adjusted or re-adjusted as necessary prior to use.
- 5.1.3 Analysis and Evaluation of Compliance
- eh En** 5.1.3.1 The Company shall evaluate fulfillment of its compliance obligations with legal and other requirements to which it subscribes, and take actions if needed. The Company shall maintain knowledge and understanding of its compliance status. The Company shall keep records of the results of the periodic evaluations. (See 5.3)
- q** 5.1.3.2 The results of analysis shall be used to evaluate (ISO9001;2015 9.1.3):
- a. *conformity of services;*
 - b. *the degree of customer satisfaction;*
 - c. *the performance and effectiveness of the quality management system;*
 - d. *the need for improvements of the management system;*
 - e. *if planning has been implemented effectively;*
 - f. *the effectiveness of actions taken to address risk and opportunities;*
 - g. *the performance of external providers.*

- q** 5.1.4 Customer Satisfaction
- The Company shall monitor customers' perceptions of the degree to which their needs and expectations have been fulfilled. The Company shall determine the methods for obtaining, monitoring and reviewing this information.*
- Note: Examples of monitoring customer perceptions can include customer surveys, customer feedback on delivered products and services, meetings with customers, market-share analysis, compliments, warranty claims and dealer reports.
(ISO9001: 2015 9.1.2)*
- 5.2 Improvement**
- 5.2.1 General**
- 5.2.1.1** The Company shall determine and select opportunities for improvement and implement necessary actions:
- q** a. to meet customer requirements and enhance customer satisfaction
- e** b. to achieve intended outcomes of its environmental management system
- q** **5.2.1.2** *These shall include (ISO9001:2015 10.1):*
- a. *improving products and services to meet requirements as well as to address future need and expectations;*
- b. *Correcting, preventing or reducing undesired effects;*
- c. *Improving the performance and effectiveness of the quality management system.*
- Note: Examples of improvement can include correction, corrective action, continual improvement, breakthrough change, innovation, re-organization*
- 5.2.2 Nonconformity, Corrective and Preventive Action**
- s** **5.2.2.1** The management system shall establish, implement and maintain documented procedures so that nonconformities, including accidents and hazardous situations, are reported to the Company, investigated, and analyzed with the objective of improving safety, pollution prevention, and continual improvement of the management system through the use of policies and objectives; audit results; analysis of data; corrective and preventive action; and management reviews.
- 5.2.2.2** The Company shall establish, implement, and maintain a procedure(s) for dealing with actual and potential nonconformity(ies) (including customers complaints) and for taking corrective action and preventive action. The procedure(s) shall define requirements, including responsibility and authority, for:
- s** a. identifying, reviewing and correcting nonconformity(ies) and taking necessary remedial action to mitigate impacts and deal with the consequences;

- s b. *evaluating the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by;*
 - 1. *reviewing and analyzing the nonconformity*
 - 2. *determining the cause of nonconformity*
 - 3. *determining if similar nonconformities exist, or could potentially occur,*

[ISO 9001:2015 10.2.1 (b) ISO 14001:2015 10.2 (b)]
- s c. *implementing any action needed;*

[ISO 9001:2015 10.2.1 (c) ISO 14001:2015 10.2 (c)]
- s d. recording the results of corrective action(s) and preventive action(s) taken;
- s e. reviewing the effectiveness of corrective action(s) and preventive action(s) taken;
- h f. communicating the results of corrective and preventive actions taken; and
- h g. reviewing proposed corrective and preventive actions through the risk assessment process prior to implementation where corrective and preventive action identifies a new or changed hazard or the need for new or changed controls.
- s 5.2.2.3 Any corrective or preventive action taken to eliminate the causes of actual and potential nonconformity(ies) shall be appropriate to the magnitude of problems and commensurate with the OH&S risk and environmental impacts encountered.
- q 5.2.2.4 *The Company shall update risks and opportunities determined during planning if necessary.*

[ISO9001:2015 10.2.1 (e)]
- s 5.2.2.5 The Company shall make necessary changes arising from corrective and preventive action to the management system documentation.
- q 5.2.3 **Control of Nonconforming Outputs**
 - 5.2.3.1 *The Company shall ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery. The Company shall take appropriate action based on the nature of the nonconformity and its effect on the conformity of products and services. This shall also apply to nonconforming products and services detected after delivery of products, during or after the provision of services.*

The Company shall deal with nonconforming outputs in one or more of the following ways (ISO 9001:2015 8.7):

 - a. *correction*
 - b. *segregation, containment, return or suspension of provision of products and services;*
 - c. *informing the customer*
 - d. *obtaining authorization for acceptance under concession*
 - 5.2.3.2 *Conformity to the requirements shall be verified when nonconforming outputs are corrected.*

- 5.2.3.3 *The Company shall retain documented information that*
- a. *describes the nonconformity*
 - b. *describes the actions taken*
 - c. *describes any concessions obtained*
 - d. *identifies the authority deciding the action in respect of the nonconformity*
- 5.2.4 Incident Investigation (OHSAS18001:2007: 4.5.3.1)
- s 5.2.4.1 The Company shall establish, implement, and maintain a procedure(s) to record, investigate and analyze incidents in order to:
- a. determine underlying deficiencies and other factors that may be causing or contributing to the occurrence of incidents;
 - b. identify the need for corrective action;
 - c. identify opportunities for preventive action and continual improvement;
 - d. communicate the results of such investigation
- h 5.2.4.2 *The investigations shall be performed in a timely manner. The results of the investigations are to be documented and maintained.*
- qe 5.2.5 Continual Improvement
- The Company shall continually improve the suitability, adequacy and effectiveness of the management system to enhance performance. (ISO 9001: 2015 10.3/ ISO 14001:2015 10.3)*
- s **5.3 Control of Records**
- 5.3.1 The Company shall establish, implement, and maintain procedures for the identification, storage, protection, retrieval, and disposal of management system records. These records shall include, but not be limited to, training records, records of internal and external audits, records of reviews, and any other pertinent records necessary to demonstrate conformity to the requirements of the management system and of this Guide and the results achieved.
- Note:* Record requirements in this Guide are identified with “(See 5.3)” notation within the applicable clause or section.
- 5.3.2 A copy of the Document of Compliance (DOC) should be placed onboard the vessel in order that the Master, if so asked, may produce it for verification by the Administration or organizations recognized by the Administration.
- 5.3.3 A copy of the Safety Management Certificate (SMC) issued to the vessel should be retained ashore.
- 5.3.4 *If the entity who is responsible for the operation of the ship is other than the owner, the owner must report the full name and details of such entity to the Administration. (ISM 3.1)*

5.3.5 Records shall be:

- a. legible, readily identifiable, and traceable to the pertinent process, activity, or service;
- b. stored and maintained in such a way that they remain legible, readily identifiable and retrievable, and protected against damage, deterioration, or loss; and
- c. tracked for control of change and retention times and documented.

5.4 Internal Audit

5.4.1 The Company shall conduct internal audits of the management system at planned intervals in order to determine and verify whether:

- s a. the management system conforms to the planned arrangements and the requirements of this Guide;
- s b. the management system is being properly implemented, maintained, and is effective in meeting the Company's policies and objectives;
- En c. *the management system is effective in improving energy performance and conforms to the energy objectives and targets established. (ISO 50001:2011 4.6.3)*

s 5.4.2 Internal audits should be scheduled to cover all pertinent areas of the management system ashore and onboard its vessels every 12 months or less.
In exceptional circumstances, this interval may be exceeded by not more than three months. (ISM 12.1)

The internal audit program should be planned, established, implemented, and maintained, taking into consideration importance of the processes concerned, changes affecting the Company, results of risk assessments of Company's activities, and the results of previous audits.

The Company should periodically verify whether all those undertaking delegated ISM-related tasks are acting in conformity with the Company's responsibilities under the Code. (ISM 12.2)

s 5.4.3 Documented internal audit procedures shall be established, implemented, and maintained that address:

- a. scheduling of internal audits;
- b. the determination of audit criteria, scope, frequency, method, and objectives;
- c. the recording and reporting of results of audits to management;
- d. implementation of corrective and preventive action;
- e. follow-up activities shall include the verification of the actions taken and the reporting of verification results;
- f. maintenance of records; (See 5.3)
- g. responsibilities, competencies, and requirements for planning and conducting audits, reporting results, and retaining associated records;

Section 5 Performance Evaluation and Improvement

- s | 5.4.4 The selection of auditors and conduct of audit shall provide objectivity and impartiality of the audit process.

Personnel carrying out audits should be independent of the areas being audited unless this is impracticable due to size and the nature of the Company. (ISM 12.5)
- s | 5.4.5 The results of the audits and reviews should be brought to the attention of all personnel having responsibility in the area involved, relevant management and /or top management. Records of the implementation of the audit program and audit results should be maintained.
- s | 5.4.6 The management personnel responsible for the area involved should take timely corrective action on deficiencies found and their causes.



GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

6 MANAGEMENT REVIEW

- s** **6.1** The Company shall develop, implement, and maintain procedures for management reviews.
- s** **6.2** The Company's top management shall at planned intervals, not to exceed one year, review the HSQEEEn policies and management system(s) in accordance with documented procedures. This in order to determine and evaluate its continuing suitability, adequacy, efficiency, effectiveness, assessing opportunities for improvement and the need for changes to the management system, including stated policies and objectives and targets.
- 6.3** Input to management review shall take into consideration :
- s** a. results of audits and evaluations of compliance with applicable legal requirements and with other requirements to which the Company subscribes;
- h** b. results of participation and consultation;
- eh** c. communication(s) from external interested parties, including customer feedback and complaints;
- d. review of the safety, quality, environmental, energy (including EnPIs) and/or OH&S performance *as applicable and effectiveness of the management system, including trends in (ISO 9001:2015 9.3.2 (c) and ISO 14001:2015 9.3 (d))*;
- q** *1. customer satisfaction and feedback from relevant interested parties;*
- q** *2. the extent to which quality objectives have been met;*
- q** *3. process performance and conformity of products and services;*
- qe** *4. non conformities and corrective actions;*
- qe** *5. monitoring and measurement results;*
- qe** *6. audit results;*
- q** *7. the performance of external providers;*
- e** *8. fulfillment of its compliance obligation;*
- s** e. the extent to which objectives and targets, **as appropriate**, have been met;

- s f. status of incident investigations, corrective and preventive actions;
- s g. **the status of** actions from previous management reviews;
- s h. changing circumstances in legal and other requirements related to its operations;
- s i. **opportunities** for **continual** improvement;
- s j. **the adequacy of resources**;
- En k. projected energy performance for the following period;
- q l. **effectiveness of actions taken to address risks, and opportunities**;
- qe m. **changes in external and internal issues that are relevant to management system**;
- e n. **changes in needs and expectation of interested parties, including compliance obligations**;
- e o. **change in its significant environmental aspects, risks and opportunities**;
- s **6.4** The output from management review **shall** include any decisions and actions related to possible changes to policy, objectives and targets, key performance indicators, resource **needs, opportunities for improvement**, other elements of the management system and consistent with the commitment to continual improvement.
- s **6.5** The results of the reviews **shall** be brought to the attention of all personnel having responsibility in the area involved.
- s **6.6** If corrective action is identified during the management review, the management personnel responsible for the area involved **shall** take timely corrective action on deficiencies found.
- s **6.7** Records of management review shall be maintained.



GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

APPENDIX 1 CORRESPONDENCE BETWEEN ISM CODE, ISO 9001:2015 & ISO 14001:2015, OHSAS 18001:2007, ISO 50001:2011 AND ABS GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

	ABS HSQEEEn Guide, 2016	ISM Code	ISO 9001: 2015	ISO 14001: 2015	OHSAS 18001: 2007	ISO 50001: 2011
1	General					
1.1	Scope and Application	1.3	1	1	1	1
1.2	Certification	13 14 15				
1.3	Definitions	1.1	3	3	3	3
2	Policy					
2.1	General Requirements	2.2	4.3	4.3	4.1	4.1
2.2	Occupational Health, Safety, Environmental and Energy Policy	1.2 1.4 2.1		5.2	4.2	4.3
2.3	Quality Policy		5.2			
3	Planning					
3.1	Environmental Aspects			6.1.2		
3.2	Energy Planning					4.4
3.3	Hazard Identification, Risk Assessment, Actions to address Risk and Opportunities		6.1	6.1	4.3.1	
3.4	Compliance Obligations	1.2.3	8.2.2 8.2.3	6.1.3 9.1.2	4.3.2 4.5.2	4.4.2 4.6.2
3.5	Energy Review					4.4.3
3.6	Energy Baseline					4.4.4
3.7	Energy Performance Indicators					4.4.5
3.8	Health, Safety and Energy Objectives and Targets	1.2.2 1.2.3			4.3.3	4.4.6
3.9	Quality and Environmental Objectives and Planning		6.2 6.3	6.2		
3.10	Customer Requirements		8.2			

Appendix 1 Correspondence Between ISM Code, ISO 9001:2015 & ISO 14001:2015, OHSAS 18001:2007, ISO 50001:2011 and the ABS HSQEEEn Guide

	ABS HSQEEEn Guide, 2016	ISM Code	ISO 9001: 2015	ISO 14001: 2015	OHSAS 18001: 2007	ISO 50001: 2011
3.11	Management Programs	1.4.3 3.2 11.3	4.4 5.1 5.3	4.4 5.1 5.3	4.3.3	4.2 4.4.6
3.12	Management System Documentation	1.4 3.2 11	7.5	7.5	4.4.4 4.4.5	4.5.4
4	Implementation and Operation					
4.1	Resources, Roles, Responsibility, Accountability, and Authority	3.3	5.3 7.1.1 7.1.2	5.3 7.1	4.4.1	4.2.1 4.5.1
4.2	Infrastructure		7.1.3			
4.3	Environment for Operation of Shore Based and Shipboard Services		7.1.4			
4.4	Designated Person(s)/ Quality Management Representative(s)/ Environmental Management Representative(s)/ Energy Management Representative(s)/ OH&S Management Representative	3.3 4			4.4.1	4.2.2
4.5	Master's Responsibility and Authority	5.1 5.2				
4.6	Personnel	6.1 6.2 6.3 6.6 6.7			4.4.1	
4.7	Competence, Training, and Awareness	6.3 6.4 6.5	7.2 7.3	7.2 7.3	4.4.2	4.5.2
4.8	Communication, Participation, and Consultation		7.4	7.4	4.4.3	4.5.3
4.9	Control of Documents	11	7.5.3	7.5.3	4.4.5	4.5.4
4.10	Operational Control	1.2.3 1.4.2 7	8.1 8.5.1 8.5.5	8.1	4.4.6	4.5.5
4.11	Control of Externally provided Processes, Products and Services		8.4			4.5.7
4.12	Property belonging to Customers or External Providers		8.5.3			
4.13	Preservation of Service		8.5.4			
4.14	Identification and Traceability		8.5.2			
4.15	Maintenance of the Ship and Equipment	10.1 10.2 10.3 10.4	7.1.5		4.4.6	
4.16	Emergency Preparedness and Response	1.4.5 8.1 8.2 8.3		8.2	4.4.7	
4.17	Design					4.5.6

Appendix 1 Correspondence Between ISM Code, ISO 9001:2015 & ISO 14001:2015, OHSAS 18001:2007, ISO 50001:2011 and the ABS HSQEEEn Guide

	ABS HSQEEEn Guide, 2016	ISM Code	ISO 9001: 2015	ISO 14001: 2015	OHSAS 18001: 2007	ISO 50001: 2011
5	Performance Evaluation, and Improvement					
5.1	Monitoring, Measurement, Analysis and Evaluation		7.1.5 7.1.6 9.1	9.1	4.5	4.6.1 4.6.2
5.2	Improvement		8.7 10	10	4.5.3.1	
5.3	Control of Records	3.1 10 13	7.5.3 8.5.6	7.5.3	4.5.4	4.6.5
5.4	Internal Audit	12.1 12.3 12.4 12.5 12.6	9.2	9.2	4.5.5	4.6.3
6	Management Review					
6.1	Development, Implementation and Procedures for Management Review		9.3	9.3	4.6	4.7
6.2	Review and Evaluation	12.2	9.3.1	9.3		4.7.1
6.3	Review Inputs		9.3.2	9.3	4.6	4.7.2
6.4	Review Outputs	12.6	9.3.3	9.3	4.6	4.7.3
6.5	Review Communication	12.6	9.3.3	9.3	4.6	
6.6	Corrective Actions Arising from Review	12.7	9.3.3	9.3		
6.7	Review Records		9.3	9.3	4.6	4.7.1



GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

APPENDIX 2 SUPPLEMENTAL REQUIREMENTS OF THE ISM CODE

These requirements (refer to Part B of the ISM code) are provided for guidance only.
Requirements of this section pertain to issuance of certificates and periodical verifications.

13 *CERTIFICATION AND PERIODICAL VERIFICATION (ISM Code Part B)*

- 13.1** *The ship should be operated by a Company which has been issued with a Document of Compliance or with an Interim Document of Compliance in accordance with paragraph 14.1, relevant to that ship.*
- 13.2** *The Document of Compliance should be issued 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. Such a document should be accepted as evidence that the Company is capable of complying with the requirements of this Code.*
- 13.3** *The Document of Compliance 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 this Code applicable to such ship types. In this context, ship types are those referred to in regulation IX/1 of the Convention.*
- 13.4** *The validity of a Document of Compliance should be subject to annual verification by the Administration or 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.*
- 13.5** *The Document of Compliance should be withdrawn by the Administration or, at its request, by the Contracting Government which issued the document, when the annual verification required in paragraph 13.4 is not requested or if there is evidence of major nonconformities with this Code.*
- 13.5.1** *All associated Safety Management Certificates and/or Interim Safety Management Certificates should also be withdrawn if the Document of Compliance is withdrawn.*
- 13.6** *A copy of the Document of Compliance should be placed onboard 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.*

- 13.7** *The Safety Management Certificate should be issued to a ship for a period which should not exceed five years by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government. The Safety Management Certificate should be issued after verifying that the Company and its shipboard management operate in accordance with the approved safety management system. Such a certificate should be accepted as evidence that the ship is complying with the requirements of this Code.*
- 13.8** *The validity of the Safety Management Certificate should be subject to at least one intermediate verification by the Administration or 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 Safety Management Certificate is five years, it should take place between the second and third anniversary date of the Safety Management Certificate.*
- 13.9** *In addition to the requirements of paragraph 13.5.1, the Safety Management Certificate should be withdrawn by the Administration or, at the request of the Administration, by the Contracting Government which has issued it when the intermediate verification required in paragraph 13.8 is not requested or if there is evidence of major nonconformity with this Code.*
- 13.10** *Notwithstanding the requirements of paragraphs 13.2 and 13.7, when the renewal verification is completed within three months before the expiry date of the existing Document of Compliance or Safety Management Certificate, the new Document of Compliance or the new Safety Management Certificate should be valid from the date of completion of the renewal verification for a period not exceeding five years from the date of expiry of the existing Document of Compliance or Safety Management Certificate.*
- 13.11** *When the renewal verification is completed more than three months before the expiry date of the existing Document of Compliance or Safety Management Certificate, the new Document of Compliance or the new Safety Management Certificate should be valid from the date of completion of the renewal verification for a period not exceeding five years from the date of completion of the renewal verification.*
- 13.12** *When the renewal verification is completed after the expiry date of the existing Safety Management Certificate, the new Safety Management Certificate should be valid from the date of completion of the renewal verification to a date not exceeding five years from the date of expiry of the existing Safety Management Certificate.*
- 13.13** *If a renewal verification has been completed and a new Safety Management Certificate 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.*
- 13.14** *If a ship at the time when a Safety Management Certificate 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 Safety Management Certificate 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 Safety Management Certificate 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.*

14 INTERIM CERTIFICATION

14.1 *An Interim Document of Compliance may be issued to facilitate initial implementation of this Code when:*

- .1 a Company is newly established; or*
- .2 new ship types are to be added to an existing Document of Compliance, 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 Interim Document of Compliance. Such an Interim Document of Compliance 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 Interim Document of Compliance 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.*

14.2 *An Interim Safety Management Certificate may be issued:*

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

*Such an Interim Safety Management Certificate **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.*

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

14.4 *An Interim Safety Management Certificate may be issued following verification that:*

- .1 the Document of Compliance, or the Interim Document of Compliance, is relevant to the ship concerned;*
- .2 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 Document of Compliance or demonstrated for issuance of the Interim Document of Compliance;*
- .3 the Company has planned the internal audit of the ship within three months;*
- .4 the master and officers are familiar with the safety management system and the planned arrangements for its implementation;*
- .5 instructions, which have been identified as being essential, are provided prior to sailing; and*
- .6 relevant information on the safety management system has been given in a working language or languages understood by the ship's personnel.*

15 *VERIFICATION*

- 15.1** *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.*

16 *FORMS OF CERTIFICATES*

- 16.1** *The Document of Compliance, the Safety Management Certificate, the Interim Document of Compliance and the Interim Safety Management Certificate 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.*

- 16.2** *In addition to the requirements of paragraph 13.3 the ship types indicated on the Document of Compliance and the Interim Document of Compliance may be endorsed to reflect any limitations in the operations of the ships described in the safety management system.*



GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

APPENDIX 3 TERMS AND CONDITIONS FOR THE USE OF "ABS SMS CERTIFIED" AND "ABS HSQEE_n CERTIFIED" LOGOS

- A3.1** When a Company is successful in obtaining (and maintaining) its ISM and/or HSQEE_n certification, the corresponding ABS HSQEE_n/SMS Certified Logo(s) may be used with the understanding that its use must be controlled as follows:
- A3.1.1 Any advertisement or other use of the logo is to be presented to the Director of ABS Management Systems Certification for review prior to use.
- A3.1.2 The logo may only be used on correspondence, advertising and promotional material but must not be used except in connection with those services described in the scope of the Certificate of Company Compliance (CCC).
- A3.1.3 The logo may be used only on those materials (i.e., internet site, letterhead, marketing literature, advertising, invoice stock forms, packaging, etc.) relating to the particular facility and vessel type included within the Certificate of Company Compliance.
- A3.1.4 The logo may not, under any circumstances, be used directly on or closely associated with any management system documentation (such as procedures, policies, plans, etc.) in such a way as to imply that the documents themselves are certified by ABS.
- A3.1.5 If used with other logos, ABS may ask that the Company discontinue any use of other logos that are unacceptable to ABS and any form of statement that, in the opinion of ABS, might be misleading.
- A3.1.6 When advertising the Company as ABS Approved, the Company name, if different from the parent Company is to be used in conjunction with the logo.
- A3.1.7 The logo may be scaled uniformly to any size necessary. The color of the logo shall be either black or blue. (reflex blue or PMS 294 blue)
- A3.1.8 Upon termination or invalidation of certification for whatever reason, the certified Company must undertake to immediately discontinue all use of the logo(s) and to destroy all stocks of material on which they appear.
- A3.1.9 Logos are available by email from msc-corp@eagle.org.