

# ISM CODE AUDIT REPORT (COMPANY)

LDR0/2013/S0425



## ISM Periodical Audit

PART 1 : SUMMARY  
PART 2 : REPORT  
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<b>COMPANY NAME :</b> HUMBER WORK BOATS LIMITED Company BV Code : 27965 Company Address Audit Unit : BV LONDON		Marine Center : LDR0
<b>DATES OF AUDIT</b> Start date : 09/08/2013 End date : 09/08/2013		<b>Place of Audit :</b> Killingholme
<b>Lead MMSA :</b> Darren Roberts		<b>CSOM :</b> Philip Robson
<b>Other MMSA(s) :</b>		<b>Observer(s) :</b>
<b>Report Validated</b> On : 12/08/2013 By : Philip Robson	<b>Stamp</b>	

**PART 1 : SUMMARY****COMPANY CERTIFICATES**

Certificate	Certificate Type	Expiry Date	Flag	Ship Type	Certificate Issued or Extended	New Expiry Date
DOC	Definitive	30/05/2016	BAHAMAS	Other cargo ship		

**AUDIT(S) PERFORMED**

Code	Audit Name - Audit Reason
DOCP	ISM Periodical Audit

Note : The scope of the Initial & Renewal Audits includes each element of the ISM Code.  
The scope of the Audit is to ensure that Auditor sampling basis covers each section of the ISM Code.

**Lead Auditor Summary**

Number of MNCs raised : 0  
Number of MNCs downgraded : 0  
Number of NCs raised : 0  
Number of NCs upgraded :

**Lead Auditor Recommendation(s)**

DOCs have been endorsed for periodical audit on 09/08/2013

**Company Information**

Company name : HUMBER WORK BOATS LIMITED  
Company Head Office Address :  
NORTH KILLINGHOLM HAVEN  
NORTH EAST LINCOLNSHIRE DN40 3LX

**PART 2 : REPORT**

<b>BUREAU VERITAS</b> <b>Marine Division</b>	<b>SHIPS IN SERVICE AUDIT REPORT</b> The latest published Rules of Bureau Veritas Marine Division and the General Conditions therein are applicable
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ERROR Company Name : HUMBER WORK BOATS LIMITED  
Company Country : UNITED KINGDOM  
Company Code : 27965

Reference : LDR0/2013/S0425  
Audit Date :

**Audits**

<b>Code</b>	<b>Name</b>
DOCP	ISM Periodical Audit

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## 1. Document Review

ISM001 DOCP

SMM (Safety Management Manual) last revision checked.

Last Revision	Version 4.0
Date	May 2013

## 2. Audit Plan

ISM063 DOCP

Date on which the ISM code audit plan was communicated to the Client and those involved in the audit :  
**5th August 2013**

## 3. Implementation

### General / Objectives

ISM002B DOCP

See remark

Objectives of the Company : Assess all identified risks to its ships, personnel and the environment.

#### **Remark made by the auditor**

The Company have a formal risk assessment system in place which covers both ships staff and subcontracted personnel.

ISM003 DOCP

See remark

Company objectives also establish safeguards against all identified risks.

#### **Remark made by the auditor**

The Company have generic risk assessments which are further supplemented by task specific risk assessments, these are reviewed for continuing suitability on an annual basis. The risk assessment clearly show the initial risk and the residual risk following implementation of control measures.

This risk assessment system is further supplemented by a permit to work system and task specific method statements. This high level of attention to high risk activities is to be commended.

ISM004 DOCP

Company objectives continuously improve safety management skills of personnel ashore and aboard ships.

ISM005 DOCP

SMS (Safety Management System) complies with mandatory rules & regulations.

ISM006 DOCP

See remark

SMS ensures that recommended applicable codes, guidelines and standards are taken into account.

#### **Remark made by the auditor**

The Company hold certification for ISO 9001 and OHSAS 18001 and are currently working towards ISO 14001 compliance, the SMS also incorporates the requirements of these standards.

ISM106 DOCP

See remark

An updated list of the ships managed by the Company was used for the sampling of the ships

#### **Remark made by the auditor**

The Company operate a single ISM certified vessel, details of the vessel as follows:

Name: Pat M

Flag: Bahamas

POR: Nassau

IMO: 9253598

Built: 2001

Class: Bureau Veritas

ISM RO: Bureau Veritas

GT: 606

LOA: 14m

### ***Safety and Environmental Protection Policy***

ISM007 DOCP See remark

Company had established a safety and environmental-protection policy, which describes how the objectives described in paragraph 1.2 of ISM Code will be achieved.

**Remark made by the auditor**

The Company have a Health and Safety Policy and an Environmental Policy, these policies have been approved and signed by the Managing Director on 30th March 2013.

ISM008 DOCP

Company ensures that the policy is implemented and maintained at all levels of the organisation, both ship-based and shore-based.

### ***Company Responsibility and Authority***

ISM009 DOCP See remark

Identification of responsible operator, if not the owner, reported to the Administration.

**Remark made by the auditor**

Humber Work Boats are the Owner and Operator of the vessel.

ISM010 DOCP

See remark

Definition of responsibilities, authorities and interrelations of responsible personnel.

**Remark made by the auditor**

There is a clearly defined organogram for the Company indicating lines of communication and interrelations for both shore-based and vessel-based personnel. All functions have a clear job description in the SMS.

ISM011 DOCP

Resources and shore-based support are provided for the Designated Person(s) to carry out their functions.

### ***Designated Person(s)***

ISM012 DOCP See remark

Responsibilities and Authorities include monitoring the safety and pollution-prevention aspects of the operation of the ship and ensuring that adequate resources and shore-based support are applied.

DPA (Designated Person Ashored) Name(s) **Jon Steed**

**Remark made by the auditor**

In addition to the day-to-day monitoring of the vessel, the DPA conducts an annual review of the Company and vessel operations and reports this as an input into the Management Review.

### ***Master s Responsibility and Authority***

ISM013 DOCP

Implementation of the safety and environmental-protection policy of the Company.

ISM014 DOCP

Motivation of crew in the observation of that policy.

ISM015 DOCP

Issuance of appropriate orders and instructions in a clear and simple manner.

ISM016 DOCP

Verification that specific requirements are observed.

ISM017B DOCP

See remark

Periodically review of the SMS and reporting of its deficiencies to the shore-based management.

**Remark made by the auditor**

The Masters review the SMS on an annual basis, these were found to be relevant and contained a number of pertinent points and recommendations for improvement including proposals for a more user friendly SMS.

ISM018 DOCP

See remark

SMS contains a clear statement emphasising the master's authority.

**Remark made by the auditor**

The Masters job description in Section 5 of the SMS contains a clear and highlighted statement regarding the Masters overriding responsibility and authority in relation to safety and pollution prevention.

## Resources and Personnel

ISM019 DOCP See remark

Verify the Master's qualification.

**Remark made by the auditor**

The Masters were found to be in possession of the relevant and valid CoC's, CeC's, STCW trainings and medical certification.

ISM020 DOCP

Verify that the Master is fully conversant with the SMS.

ISM021 DOCP

See remark

Verify that it is given the necessary support to the Master to perform his duties safely.

**Remark made by the auditor**

The Master has 24 hour access to the DPA, the Masters job description in Section 5 of the SMS also contains a clear statement regarding support and assistance being provided to the Masters.

ISM022B DOCP

See remark

Verify the ship is manned with qualified, certified and medically fit seafarers.

**Remark made by the auditor**

The crew were found to be in possession of the relevant and valid CoC's, CeC's, STCW trainings and medical certification.

ISM023 DOCP

See remark

New / transferred personnel to new assignments, related to safety and protection of the environment are being familiarised with their duties.

**Remark made by the auditor**

All personnel complete on-board safety and SMS familiarisation on joining the vessel.

ISM024 DOCP

All personnel involved in the SMS have an adequate understanding of relevant rules, regulations, codes and guidelines.

ISM025 DOCP

See remark

Identification of training needs and confirmation that such training is provided.

**Remark made by the auditor**

The Company conduct Personal Development Reviews on an annual basis, this is used to identify any training needs for the personnel.

ISM026 DOCP

See remark

Personnel receive relevant information on the SMS in (a) working language(s) understood by them.

**Remark made by the auditor**

The working language of Humber Work Boats is English, the SMS and all associated documentation is written in the working language.

ISM027 DOCP

Personnel are able to communicate effectively in the execution of their duties related to the SMS.

## Shipboard Operations

ISM028B DOCP

See remark

Preparation of procedures, plans and instructions for key shipboard operations. The various tasks are defined and assigned to the qualified personnel.

**Remark made by the auditor**

The Company have identified these operations and have appropriate procedures in place.

## Emergency preparedness

ISM029B DOCP

See remark

Identification of potential emergency shipboard operations and response to these emergency operations.

**Remark made by the auditor**

The Company have identified these situations and have procedures in place to deal with these.

ISM030 DOCP

See remark

Programmes for emergency drills and exercises.

**Remark made by the auditor**

Vessel drills are conducted in accordance with statutory requirements and an annual exercise between the ship and shore is conducted. The most recent exercise was reviewed and it was noted that a number of

pertinent points and recommendations for improvement were raised which have been taken into consideration and are being addressed by the Company.

ISM031 DOCP

Company response measures at any time to hazards, accidents and emergency situations involving its ships.

### **Report and Analysis of Non-Conformities, Accidents and Hazardous Occurrences**

ISM032 DOCP

**See remark**

Reported to the Company, investigated & analysed with the objective of improving safety and pollution prevention, including near misses.

#### **Remark made by the auditor**

All accidents, incidents and near misses both ship and shore-based are reported and investigated and appropriate corrective action and root cause identification carried out.

ISM033 DOCP

Implementation of corrective action.

ISM104 DOCP

**See remark**

Verification of records of previous PSC Inspections which have raised PSC deficiencies in relation with the ISM Code (ship detained or not). Confirmation, through records or audits, that these deficiencies have been effectively corrected.

#### **Remark made by the auditor**

The records of the most recent PSC inspections were reviewed:

Alicante - 11/01/12 - 3 defects

Alicante - 07/02/11 - 9 defects

Review of records indicated that all defects were rectified within the timescale allocated by the attending PSC officer.

### **Maintenance of the Ships and Equipment**

ISM034 DOCP

Maintenance to be in conformity with relevant Rules & Regulations and with any additional requirements which may be established by the company (including classification and statutory records). Yes

ISM034B DOCP

Check the conformance with IACS UR E18: details of the scheduled and of the procedures related to batteries where fitted for essential and emergency services to be included in the SMS.

ISM035 DOCP

Verify that inspection are held at appropriate intervals.

ISM036 DOCP

**See remark**

Verify that any non-conformity is reported.

#### **Remark made by the auditor**

Defects are reported by the Chief Engineer in accordance with the documented procedure.

ISM037 DOCP

Verify appropriate Corrective Action is taken.

ISM038 DOCP

Verify that records of these activities are maintained.

ISM039 DOCP

**See remark**

Identification of equipment and technical systems the sudden operational failure of which may result in hazardous situation.

#### **Remark made by the auditor**

The Company have identified a list of "critical equipment" which is referenced in the SMS, these items are all incorporated into the vessels planned maintenance routine.

ISM040 DOCP

**See remark**

SMS provides measures to promote reliability, including regular testing of standby arrangements and equipment or technical system that are not in continuous use.

#### **Remark made by the auditor**

See report comment ISM 039.

ISM041 DOCP See remark  
Verify that § 10.2 & 10.3 are integrated into the ship's maintenance routine.

**Remark made by the auditor**

See report comment ISM 039.

**Documentation**

ISM042 DOCP See remark  
Procedure to control all documents and data which are relevant to the SMS (when a document review is required a copy of the SMS control page shall be attached).

**Remark made by the auditor**

The Company have a clearly defined document control procedure, all documents in the SMS are clearly identified inclusive of the revision status and date.

ISM043 DOCP  
Verify that valid documents are available at all relevant locations.

ISM044 DOCP  
Verify that changes of documents are reviewed and approved by authorised personnel.

ISM045 DOCP  
Verify that obsolete documents are promptly removed.

ISM046 DOCP  
The documents used to describe and implement the SMS may be referred to as the Safety Management Manual. Relevant documentation shall be kept on board the ship.

**Company Verification, Review and Evaluation**

ISM047B DOCP See remark  
Internal safety audits onboard and ashore performed to verify whether safety and pollution-prevention activities comply with the SMS in intervals not exceeding twelve months.  
Date

**Remark made by the auditor**

Internal audits in the office and on board the vessel are conducted in accordance with a schedule and in a timely manner within the 12 month window.

ISM048B DOCP See remark  
Periodical evaluation of its effectiveness and, when needed, revision of the SMS.  
Date

**Remark made by the auditor**

The SMS is reviewed on an annual basis, the most recent review was conducted on 2nd July 2013.

ISM049 DOCP  
Audits and corrective actions, in accordance with documented procedures.

ISM050 DOCP  
Auditors shall be independent of the areas being audited (unless this is impracticable).

ISM051 DOCP  
Communication of audit results and reviews to all personnel having responsibility in the area involved.

ISM052 DOCP  
Management takes timely corrective action on deficiencies found.

## 4. Certification and Verification

**Certification and Periodical Verification**

ISM054 DOCP See remark  
All periodical audits performed accordingly (in the company and on board the ship(s) ).  
Date

**Remark made by the auditor**

All audits on board the vessel are conducted in a timely manner and within the window.



## 5. Specific Flag Requirements

ISM056 DOCP

A sample of specific Flag requirements complied with.

ISM101 DOCP

Specific requirements

ISM102 DOCP

Smoking Policy checked according with DMA Circ 05/2007

ISM103 DOCP

Flag pre-authorisation granted (if required by the Administration). No

**See remark**

### **Remark made by the auditor**

Flag pre-authorisation not required for this audit.

ISM105 DOCP

The regulation (Règlement du Grand-Ducal) dated 19/08/08 related to "Seamen's book", in particular item 8, was complied with.

ISM105B DOCP

The National requirements related to "Hours of Work" (circular letter CAM 05/2011 and Regulation dated 06/06/03) are complied with.

## OPENING/CLOSING MEETINGS REPORT

MEETING	DATE	PARTICIPANTS	OBs
OPENING	0930-0945	DPA	Introductions, scope of Audit, levels of NCR and implications, auditing is sampling process, confidentiality statement, any required changes to Audit Plan, safety and security of vessels paramount throughout inspection.
CLOSING	1415-1430	DPA	Thanks to personnel, findings and required actions, auditing is sampling process, confidentiality statement.

**PART 3 : SUMMARY of Non-Conformity & Form(s) K****ISM CODE Non-Conformity Summary (Form KS)**

Job No	LDR0/2013/S0425	Date	09/08/2013
Name of Company	HUMBER WORK BOATS LIMITED		
Country of Company	UNITED KINGDOM		

Audit Description			
Audit Type	ISM Periodical Audit	Audit Date	09/08/2013
MMSA	Darren Roberts	Audit Unit	BV LONDON

There are no Non-Conformities

**PART 4 : DOCUMENT REVIEW (Form A)**

**Not applicable**

**PART 5 : AUDIT PLAN (Form F)**

Job No	LDR0/2013/S0425	Date	05/08/2013
Name of Company	HUMBER WORK BOATS LIMITED		

Type of audit	ISM Periodical Audit
Location(s) of audit	Killingholme
Proposed date of audit	09/08/2013
Name of Lead Auditor	Darren Roberts
Name of Auditor(s), if any	
Name of Observer(s), if any	
Audit language	English

Date/Time	Department/Area to be audited	Interviews - Person(s) having direct responsibilities regarding the SMS
0900-0915	Opening Meeting	DP
0915-0945	Company organization (management review, changes, etc)	DP
0945-1015	Policies, Objectives	DP
1015-1130	SMS documentation, records	DP
1130-1230	Crewing familiarization, training and procedures	DP
1230-1300	Break	DP
1300-1400	Internal audits	DP
1400-1430	Emergency Preparedness / Drills	DP
1430-1500	Investigation / Analysis / CA of Accident / Incident / Near Miss / NCs	DP
1500-1600	Operational procedures (technical, fleet management)	DP
1600-1615	Closing Meeting	DP

Are there any major changes in the Company SMS which could imply in the revision of the Audit Plan below ?

☐ Yes ☒ No

**PART 6 : APPENDICES****LIST OF DOCUMENTS ATTACHED TO  
JOB NUMBER LDR0/2013/S0425**

Request for Audit and General Conditions  
SMS Revision Status  
Endorsed Certificate

End of List