# Verification Data

Vessel’s Name Unique identifier

|  |  |  |
| --- | --- | --- |
|       |  |       |

Owner’s name Verifier’s name

|  |  |  |
| --- | --- | --- |
|       |  |       |

Date Location

|  |  |  |
| --- | --- | --- |
|       |  |       |

# Purpose of the tool

The objective of the verification tool is to promote continuous improvement of domestic commercial vessel (DCV) Safety Management Systems (SMSs) to align them with requirements of the National Law and support safe working practices.

# Who can use the tool

The tool may be used by vessel owners, operators, masters and liaison officers to review a vessel’s SMS and to assist with ongoing safety improvements.

# Application of the tool

The tool provides for the review of SMSs in the following three areas:

* SMS document review;
* SMS process validation; and
* SMS review and evaluation.

# Effectiveness of the SMS verification tool

The integrity of the observations made by users when applying this tool will be influenced by:

* the user’s knowledge of SMSs;
* the extent of the user’s prior exposure to, and practical experience with, SMSs; and
* the user’s knowledge of relevant requirements of the National Law.

All three steps must be completed in order to verify a SMS satisfies the requirements of the National Law.

# Assessing the outcomes of the SMS verification process

The method for scoring observations is as follows:

* Yes – the answer to the question demonstrates full compliance.
* Partial – the answer to the question demonstrates partial compliance.
* No – the answer to the question demonstrates non-compliance.

**STEP 1 – SMS DOCUMENTATION REVIEW**

|  |  |  |  |
| --- | --- | --- | --- |
| **Vessel and operating considerations** | Yes | Partial | No |
| Is there a safety management system that meets the requirements of the Marine Orders MO504? | [ ]  | [ ]  | [ ]  |
| Is there a documented and maintained risk assessment for the vessel operations? | [ ]  | [ ]  | [ ]  |
| Does the risk assessment identify risks associated with the key daily tasks performed by the Master and crew? | [ ]  | [ ]  | [ ]  |
| Does the risk assessment identify any potential risks associated with tasks to the vessel or persons on or near the vessel? | [ ]  | [ ]  | [ ]  |
| Does the risk assessment identify any potential risks associated with tasks in the operational environment of the vessel? | [ ]  | [ ]  | [ ]  |
| Does the risk assessment identify any potential risks associated with the appropriate crewing? | [ ]  | [ ]  | [ ]  |
| Is there written procedures for key onboard operations, including pre-operating checks, passenger inductions and radio watches, as applicable? | [ ]  | [ ]  | [ ]  |
| Are key procedures assigned to appropriately skilled and knowledgeable crew? | [ ]  | [ ]  | [ ]  |
| Is an appropriate logbook used, maintained and have the required entries recorded? | [ ]  | [ ]  | [ ]  |
| Is a passenger manifest maintained, as required? | [ ]  | [ ]  | [ ]  |
| Is a crew list available, as required? | [ ]  | [ ]  | [ ]  |
| **Training and development** |
| Is initial familiarization training for crew conducted in relation to duties, key operations and emergency procedures? | [ ]  | [ ]  | [ ]  |
| Is the training recorded and signed by each crew member? | [ ]  | [ ]  | [ ]  |
| **Emergency preparedness and response** |
| Are emergency plans developed and documented? | [ ]  | [ ]  | [ ]  |
| Are there emergency plans for fire, person overboard, personal injury, master incapacitated, loss of steering, collision, grounding, flood, adverse weather, or any other event identified in the risk assessment? | [ ]  | [ ]  | [ ]  |
| Are assembly stations known? | [ ]  | [ ]  | [ ]  |
| Are passengers provided with emergency information? | [ ]  | [ ]  | [ ]  |
| **Incident reporting** |
| Are there written records of any identified hazardous occurrence or non-conformance? | [ ]  | [ ]  | [ ]  |
| Does the written records include the investigations and any corrective action to prevent the re-occurrence? | [ ]  | [ ]  | [ ]  |
| **Statements of authority** |
| Is there a statement clarifying the responsibilities of the owner’s or person with the assigned authority? | [ ]  | [ ]  | [ ]  |
| Is there a statement clarifying the master’s responsibilities? | [ ]  | [ ]  | [ ]  |
| Is a designated person nominated with the appropriate resources and shore support? | [ ]  | [ ]  | [ ]  |
| **Totals (total number of yes answers, partial answers and no answers)** |      |      |      |

**STEP 2 - PROCESS VALIDATION**

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes | Partial | No |
| **Risk Control Measures** |  |
| Review a number of appropriate risk assessments, do they meet the Marine Orders MO504? | [ ]  | [ ]  | [ ]  |
| Are the results of the risk assessments implemented into the key operations? | [ ]  | [ ]  | [ ]  |
| **Crewing** |
| Are appropriate crewing for each kind of operation onboard? | [ ]  | [ ]  | [ ]  |
| Are minimum crewing numbers requirements being met? | [ ]  | [ ]  | [ ]  |
| Are minimum crewing qualifications and key operation assignment requirements being met? | [ ]  | [ ]  | [ ]  |
| **Emergency Preparedness and Response** |
|  Are the emergency plans onboard known and understood by the crew? | [ ]  | [ ]  | [ ]  |
| **Maintenance of the Vessel and Equipment** |
| Is the system for regular programmed inspections and maintenances implemented and up to date? | [ ]  | [ ]  | [ ]  |
| Is each inspection and the correction of any deficiency recorded? | [ ]  | [ ]  | [ ]  |
| Is each inspection conducted by the person who has overall general control and management of the vessel? | [ ]  | [ ]  | [ ]  |
| Are the manufacturer’s specifications and requirements taken into account at each service? | [ ]  | [ ]  | [ ]  |
| **Training Program**  |
|  Review an entry in the training record and question the trainer and the recipient of the training to confirm: |
| Has the training actually been provided? | [ ]  | [ ]  | [ ]  |
| Has the training been carried out in accordance with the SMS documented procedure? | [ ]  | [ ]  | [ ]  |
| **Totals (total number of yes answers, partial answers and no answers)** |      |      |      |

**STEP 3 - SMS REVIEW AND EVALUATION**

|  | Yes | Partial | No |
| --- | --- | --- | --- |
| **Incident reporting and management** |
| Is there documentary evidence that hazardous occurrences and non-conformances are being regularly reported, investigated and corrective action taken? | [ ]  | [ ]  | [ ]  |
| Is the risk assessment reviewed whenever a marine incident has occurred? | [ ]  | [ ]  | [ ]  |
| **Review and evaluation of SMS** |
| Are the revisions of any SMS document recorded? | [ ]  | [ ]  | [ ]  |
| Do the revisions include reference numbers, date of change, signature/initials of the person making the change and what has changed? | [ ]  | [ ]  | [ ]  |
| Does the review include changes to compliance? | [ ]  | [ ]  | [ ]  |
| Is the SMS reviewed every 12 months? | [ ]  | [ ]  | [ ]  |
| Is the SMS review and its outcome documented, with any changes recorded? | [ ]  | [ ]  | [ ]  |
| **Totals (total number of yes answers, partial answers and no answers)** |      |      |      |

# VERIFICATION SCORE SUMMARY

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Observation score** | **Significant work required to improve SMS** | **Further improvements would increase SMS effectiveness** | **Keep up the good work** |
| **STEP 1** |       | **0 to 7** | **8 to 14** | **15 to 22** |
| **STEP 2** |       | **0 to 4** | **5 to 8** | **9 to 13** |
| **STEP 3** |       | **0 to 2** | **3 to 4** | **5 to 7** |
| **Total** |       | **0 to 13****The SMS is most likely non – Compliant** | **14 to 26** **The SMS most likely satisfies the minimum requirements** | **27 to 42****The SMS appropriately considers and controls operational risk** |

**Note 1**: Observation score **= total number of “Yes” answers + total number of “Partial” answers**