

## ANNEX

AMENDMENTS TO THE INTERNATIONAL MANAGEMENT CODE FOR THE  
SAFE OPERATION OF SHIPS AND FOR POLLUTION PREVENTION  
(INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE)

## APPENDIX

## Forms of the Document of Compliance and the Safety Management Certificate

1 In the form of the Document of Compliance, the following new section is inserted between the section commencing with the words “This Document of Compliance is valid until” and the section commencing with the words “Issued at”:

“Completion date of the verification on which this certificate is based: .....”  
(dd/mm/yyyy)

2 In the form of the Safety Management Certificate, the following new section is inserted between the section commencing with the words “This Safety Management Certificate is valid until” and the section commencing with the words “Issued at”:

“Completion date of the verification on which this certificate is based: .....”  
(dd/mm/yyyy)

## 第 103/2014 號行政長官公告

中華人民共和國於一九九九年十二月十三日以照會通知聯合國秘書長，經修訂的《1974年國際海上人命安全公約》自一九九九年十二月二十日起適用於澳門特別行政區；

國際海事組織海上安全委員會於二零零零年十二月五日透過第MSC.104(73)號決議通過了《國際船舶安全操作和防止污染管理規則》（《ISM規則》）的修正案，該修正案自二零零二年七月一日起適用於澳門特別行政區；

基於此，行政長官根據澳門特別行政區第3/1999號法律第六條第一款的規定，命令公佈包含上指修正案的MSC.104(73)號決議的中文及英文文本。

二零一四年十一月二十一日發佈。

行政長官 崔世安

## Aviso do Chefe do Executivo n.º 103/2014

Considerando que a República Popular da China, por nota datada de 13 de Dezembro de 1999, notificou o Secretário-Geral das Nações Unidas sobre a aplicação da Convenção Internacional para a Salvaguarda da Vida Humana no Mar de 1974, tal como emendada, na Região Administrativa Especial de Macau a partir de 20 de Dezembro de 1999;

Considerando igualmente que, em 5 de Dezembro de 2000, o Comité de Segurança Marítima da Organização Marítima Internacional, através da resolução MSC.104(73), adoptou emendas ao Código Internacional de Gestão para a Segurança da Exploração dos Navios e para a Prevenção da Poluição (Código ISM), e que tais emendas são aplicáveis na Região Administrativa Especial de Macau, a partir de 1 de Julho de 2002;

O Chefe do Executivo manda publicar, nos termos do n.º 1 do artigo 6.º da Lei n.º 3/1999 da Região Administrativa Especial de Macau, a resolução MSC.104(73), que contém as referidas emendas, nos seus textos em línguas chinesa e inglesa.

Promulgado em 21 de Novembro de 2014.

O Chefe do Executivo, *Chui Sai On*.

## 第 MSC.104 (73) 號決議

(2000 年 12 月 5 日通過)

### 通過《國際安全管理規則》(《ISM 規則》)的修正案

海上安全委員會，

憶及《國際海事組織公約》關於本委員會職責的第 28 (b) 條，

又憶及第 18 次大會據以通過《國際船舶安全營運和防止污染管理規則》(《國際安全管理 (ISM) 規則》) 的第 A.741 (18) 號大會決議，

還憶及第 19 次大會據以通過“主管機關實施《國際安全管理 (ISM) 規則》指南”的第 A.788 (19) 號大會決議，

認識到有必要將指南中關於證書和臨時證書的有效期及證書格式的有關規定納入《ISM 規則》，

注意到《1974 年國際海上人命安全公約 (SOLAS)》(以下簡稱“公約”) 關於《ISM 規則》修正程序的第 VIII (b) 條和第 IX/1.1 條，

在其第 73 次會議上，審議了按公約第 VIII (b) (i) 條提議並散發的《ISM 規則》修正案，

1. 按公約第 VIII (b) (iv) 條通過《ISM 規則》修正案，其條文載於本決議附件中；

2. 按公約第 VIII (b) (vi) (2) (bb) 條決定：這些修正案應在於 2002 年 1 月 1 日視為已被接受，除非在此日期之前，有超過三分之一的公約締約政府或其合計商船隊總噸位不少於世界商船隊總噸位 50% 的締約政府通知反對這些修正案；

3. 請各締約政府注意，按公約第 VIII (b) (vii) (2) 條，這些修正案在按上文第 2 段被接受後，應於 2002 年 7 月 1 日生效；

4. 要求秘書長按照公約第 VIII (b) (v) 條，將本決議和附件中所載的修正案條文的核證副本發給本公約所有締約政府；

5. 還要求秘書長將本決議及其附件的副本發給非本公約締約政府的本組織會員。

## 附件

### 《國際安全管理（ISM）規則》修正案

- 1 在標題“1 總則”之前增加新的標題“第 A 部分 - 實施”。

#### 1 總則

##### 1.1 定義

- 2 在“1.1 定義”和第 1.1.1 款之間插入：

“以下定義適用於本規則第 A 和 B 部分。”

- 3 在第 1.1.3 款後增加以下新定義：

“1.1.4 **安全管理制度**係指能使用公司人員有效實施公司安全與環境保護方針的有結構和有證書的制度。

1.1.5 **《合格證》**係指發給符合本規則要求的公司的文件。

1.1.6 **《安全管理證書》**係指發給船舶的、證明其公司和船上管理係按經認可的安全管理制度運作的證書。

1.1.7 **客觀證據**係指以評述、測量或測試為基礎並能被核證的關於安全或關於安全管理制度要素的存在和實施的數量的或質量信息、記錄或事實陳述。

1.1.8 **評述**係指在安全管理檢查期間作出的並由客觀證據證實的事實陳述。

1.1.9 **不符**係指所觀察到的由客觀證據證明不符合某一具體要求的情況。

1.1.10 **重大不符**係指對人員或船舶安全構成嚴重威脅或對環境構成嚴重危險、需要立即採取糾正措施的可識別的不符，此外，還包括未能有效和系統地實施本規則的要求。

1.1.11 **周年日期**係指相應於有關文件或證書的失效日期的每年的月份和日期。

1.1.12 **公約**係指經修正的《1974 年國際海上人命安全公約》。”

## 7 船上操作計劃的制訂

4 原第 7 章的條文由下文取代：

“對涉及船舶安全和防止污染的關鍵性的船上操作，公司應建立制訂有關計劃和須知的程序，適當時包括核查清單。對所涉及的各项任務應作出明確規定並分配給合格的人員。”

## 13 發證、審核和監督

5 原第 13 章的標題和條文由下文取代：

### “第 B 部分 – 發證與審核

## 13 發證和定期審核

13.1 船舶應由持有與該船相關的《合格證》或第 14.1 款規定的《臨時合格證》的公司經營。

13.2 《合格證》應由主管機關、主管機關認可的機構或應由公約另一締約政府應主管機關的要求頒發給符合本規則要求的任何公司。其有效期由主管機關規定，但不應超過五年。該證書應被視為該公司能否符合本規則有關要求的證據。

13.3 《合格證》僅對證件中指明的船型有效。此種指明應以作為初始審核基礎的船型為依據。其他船型只有在證實公司有能遵守本規則適用於其他船型的要求後才可列入。在此，船型係指公約第 IX/1 條中提及者。

13.4 《合格證》的有效性應以主管機關、主管機關認可的機構或另一締約政府應主管機關的要求在周年日期的前後三個月內進行的年度審核為條件。

13.5 如果沒有申請第 13.4 段要求的年度審核，或如果有與本規則有重大不符的證據，則《合格證》應由主管機關或由簽發證書的締約政府應其要求予以撤銷。

13.5.1 如果《合格證》被撤銷，則所有相關的《安全管理證書》和/或《臨時安全管理證書》也應被撤銷。

13.6 《合格證》的一份副本應保存在船上，以便在有此要求時船長將其出示，供主管機關或由其認可的機構查驗，或供公約第 IX/6.2 條的控制目的使用。對證書的副本不需要認證或核證。

13.7 《安全管理證書》應由主管機關、主管機關認可的機構或應由另一締約國政府應主管機關的要求向船舶頒發，有效期不超過五年。主管機關應在證實該公司及其船舶係按照經批准的

安全管理制度進行營運後頒發安全管理證書。此種證書應視為船舶符合本規則要求的證據。

13.8 《安全管理證書》的有效性應以由主管機關、主管機關認可的機構或由另一締約政府應主管機關的要求作出至少一次中期審核為條件。如果只進行一次中期審核，且《安全管理證書》的有效期為五年，則中期審核應在《安全管理證書》的第二個和第三個周年日期之間進行。

13.9 除 13.5.1 款的要求外，在未要求進行 13.8 款規定的中期審核時或如果有與本規則嚴重不符的證據時，《合格證》應由主管機關或由簽發證書的締約國政府應其要求予以撤銷。

13.10 儘管有第 13.2 和 13.7 款的要求，如果在現有《合格證》或《安全管理證書》到期之前三個月內完成換證審核，則新《合格證》或新《安全管理證書》應自換證審核完成之日起有效，有效期從現有《合格證》或《安全管理證書》到期之日起算不應超過五年。

13.11 如果在現有《合格證》或現有《安全管理證書》到期之日的三個月以前完成換證審核，則新《合格證》或新《安全管理證書》應自換證審核完成之日起有效，有效期從換新審核完成之日起算不應超過五年。”

6 在第 13 章後新增第 14 章如下：

#### **“14 臨時證書**

14.1 為便於本規則的最初實施，在證明公司的安全制度符合本規則第 1.2.3 款的目標後，在下列情況下可頒發《臨時合格證》：

- .1 該公司是新成立的；或
- .2 在現有《合格證》中增加新船型，

但該公司應出示在《臨時合格證》的有效期間內實施滿足本規則全部要求的安全管理制度的計劃。此類《臨時合格證》應由主管機關、主管機關認可的機構或由另一締約政府應主管機關的請求頒發；其有效期不應超過 12 個月。《臨時合格證》的一份副本應保存在船上，以便船長在有此要求時將其出示供主管機關或由其認可的機構查驗，或供公約第 IX/6.2 條的監督目的使用。此證明的副本不需要認證或核證。

14.2 在下列情況下可以頒發《臨時安全管理證書》：

1. 對新交付的新船舶；或
2. 在公司承擔其不熟習的船舶的營運責任言屬於新船時；或
3. 當船舶改掛船旗時。

此類《臨時安全管理證書》應由主管機關、主管機關認可的機構或由另一締約政府應主管機關的請求頒發，有效期不應超過 6 個月。

14.3 在特殊情況下，主管機關或，應主管機關請求，另一締約國可將該《臨時安全管理證書》的有效期從其到期之日起再延長不超過 6 個月的時間。

14.4 在證實下列者後，可頒發《臨時安全管理證書》：

- .1 《合格證》或《臨時合格證》與有關船相關；



- .2 公司為有關船舶確立的安全管理制度包括了本規則的關鍵要素，並在頒發《合格證》的檢查中被評估過，或為頒發《臨時合格證》而驗證過；
- .3 公司已計劃在三個月內對船舶進行檢查；
- .4 船長和高級船員熟悉安全管理制度和為其實施所計劃的安排；
- .5 被確認為必要的須知在開航前已經配備；和
- .6 安全管理制度的相關信息已用工作語文或船上人員都能理解的語文提供。”

7 在新第 14 章後增加新第 15 章如下：

#### **“15 審核**

本規則的規定所要求的所有審核應按照主管機關可接受的程序並考慮到本組織制訂的指南來進行。”

8 在新第 15 章後增加新第 16 章如下：

#### **“16 證書格式**

16.1 《合格證》、《安全管理證書》、《臨時合格證》和《臨時安全管理證書》應按本規則附錄中的範本的相應格式製成。如果所用的語文不是英文或法文，則條文應包括其中一種語文的譯文。

16.2 除第 13.3 款的要求外，可對《合格證》和《臨時合格證》上指明的船型予以簽註，以反映安全管理制度中所述的任何船舶操作限制。”

9 增加以下附錄：

“附錄

《合格證》、《安全管理證書》、《臨時合格證》

和《臨時安全管理證書》的格式

合格證

( 公 章 )

( 國 名 )

證書號：

本證書係根據經修正的《1974 年國際海上人命安全公約》的規定，  
經\_\_\_\_\_政府授權，

( 國 名 )

由\_\_\_\_\_頒發。

( 經 授 權 的 機 構 或 個 人 )

公司名稱和地址.....

.....

( 見 《 ISM 規 則 》 第 1.1.2 款 )

茲證明該公司的安全管理制度經審核符合《國際船舶安全營運和防止  
污染管理規則》(《ISM 規則》)對下列船型的要求(視情刪去)：

- 客船
- 高速客船
- 高速貨船
- 散貨船
- 油船
- 化學品船

氣體運輸船

移動式近海鑽井裝置

其他貨船

本《合格證》有效期至.....，但以定期審核為前提。

頒發於.....

(發證地點)

頒發日期.....

.....

(經正式授權的頒證官員的簽字)

(發證機關章印或鋼印)

證書號：

### 年度審核簽註

茲證明，在公約第 IX/6.1 條和《ISM 規則》第 13.4 條規定的定期審核中查明該安全管理制度符合《ISM 規則》的要求。

第一次年度審核

簽字：.....

(被授權官員的簽字)

地點：.....

日期：.....

第二次年度審核

簽字：.....

(被授權官員的簽字)

地點：.....

日期：.....

第三次年度審核

簽字：.....

(被授權官員的簽字)

地點：.....

日期：.....

第四次年度審核

簽字：.....

(被授權官員的簽字)

地點：.....

日期：.....

### 安全管理證書

( 公 章 )

( 國 名 )

證書號：

本證書係根據經修正的《1974年國際海上人命安全公約》的規定，  
經\_\_\_\_\_政府授權，

( 國 名 )

由\_\_\_\_\_頒發。

( 經 授 權 的 機 構 或 個 人 )

船名： .....

認別編號或字符： .....

登記港： .....

船型\*： .....

總噸位： .....

國際海事組織編號： .....

公司名稱和地址： .....

.....

( 見 《 ISM 規 則 》 第 1.1.2 款 )

茲證明該船的安全管理制度經審核符合《國際船舶安全營運和防止污染管理規則》(《ISM規則》)的要求，且經審核該公司的《合格證》適用於此類船舶。

本《安全管理證書》有效期至.....，但以定期審核並且《合格證》仍然有效為前提。

\* 填入以下船型：客船；高速客船；高速貨船；散貨船；油船；化學品船；氣體運輸船；移動式近海鑽井裝置；其他貨船。

頒發地點.....

(發證地點)

頒發日期.....

.....  
(經正式授權簽的發證官員的簽字)

(發證機關章印或鋼印)

證書號：

中期審核和附加審核（如需要）簽註

茲證明，在公約第 IX/6.1 條和《ISM 規則》第 13.8 條規定的定期審核時查明該安全管理制度符合《ISM 規則》的要求。

中期審核  
（在發證的第二和第三個周年之日完成）

簽字：.....

（被授權官員的簽字）

地點：.....

日期：.....

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附加審核\*

簽字：.....

（被授權官員的簽字）

地點：.....

日期：.....

附加審核\*

簽字：.....

（被授權官員的簽字）

地點：.....

日期：.....

附加審核\*

簽字：.....

（被授權官員的簽字）

地點：.....

日期：.....

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\* 如適用。參照“主管機關實施《國際安全管理（ISM）規則》指南”第 3.2.3 款（大會第 A.788（19）號決議）。

### 臨時合格證

( 公 章 )

( 國 名 )

證書號：

本證書係根據經修正的《1974 年國際海上人命安全公約》的規定，  
經\_\_\_\_\_政府授權，

( 國 名 )

由\_\_\_\_\_頒發。

( 經 授 權 的 機 構 或 個 人 )

公司名稱和地址.....  
.....

( 見 《 ISM 規 則 》 第 1.1.2 款 )

茲證明該公司的安全管理制度經認定達到《國際船舶安全營運和防止  
污染管理規則》(《ISM 規則》) 第 1.2.3 款對下列船型 ( 酌情刪去不適  
船型 ) 的目標：

- 客船
- 高速客船
- 高速貨船
- 散貨船
- 油船
- 化學品船
- 氣體運輸船
- 移動式近海鑽井裝置
- 其他貨船

本《臨時合格證》有效期至.....



頒發地點.....

(發證地點)

頒發日期.....

.....

(經正式授權的發證官員的簽字)

(發證機關章印或鋼印)

### 臨時安全管理證書

( 公 章 )

( 國 名 )

證書號：

本證書係根據經修正的《1974 年國際海上人命安全公約》的規定，  
經\_\_\_\_\_政府授權，

( 國 名 )

由\_\_\_\_\_頒發。

( 經 授 權 的 機 構 或 個 人 )

船名： .....

認別編號或字符： .....

登記港： .....

船型\*： .....

總噸位： .....

國際海事組織編號： .....

公司名稱和地址： .....

.....

( 見 《 ISM 規 則 》 第 1.1.2 款 )

茲證明已符合《國際船舶安全營運和防止污染管理規則》(《ISM 規則》)第 14.4 款的要求，且該公司的《合格證》/《臨時合格證》\*\*與該船相關。

本《臨時安全管理證書》有效期至.....，但以《合格證》/《臨時合格證》\*\*仍然有效為前提。

頒發地點.....

( 發 證 地 點 )

頒發日期.....

.....

(經正式授權簽的發證官員的簽字)

(發證機關章印或鋼印)

證書號：

本《臨時安全管理證書》的有效期延至：.....

展期日期：.....

.....

(經正式授權的發證官員的簽字)

(發證機關的章印或鋼印)

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\* 填入以下船型：客船；高速客船；高速貨船；散貨船；油船；化學品船；氣體運輸船；  
移動式近海鑽井裝置；其他貨船。

\*\* 視情刪去。”

**RESOLUTION MSC.104(73)**  
**(adopted on 5 December 2000)**

**ADOPTION OF AMENDMENTS TO THE INTERNATIONAL  
SAFETY MANAGEMENT (ISM) CODE**

THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

RECALLING ALSO resolution A.741(18) by which the Assembly, at its eighteenth session, adopted the International Management Code for the Safe Operation of Ships and for Pollution Prevention (International Safety Management (ISM) Code),

RECALLING FURTHER resolution A.788(19) by which the Assembly, at its nineteenth session, adopted the Guidelines on implementation of the International Safety Management (ISM) Code by Administrations (the Guidelines),

RECOGNIZING the need to incorporate in the ISM Code relevant provisions of the Guidelines relating to periods of validity of certificates, interim certificates and forms of certificates,

NOTING article VIII(b) and regulation IX/1.1 of the International Convention for the Safety of Life at Sea (SOLAS), 1974 (hereinafter referred to as “the Convention”) concerning the procedure for amending the ISM Code,

HAVING CONSIDERED, at its seventy-third session, amendments to the ISM Code proposed and circulated in accordance with article VIII(b)(i) of the Convention,

1. ADOPTS, in accordance with article VIII(b)(iv) of the Convention, amendments to the ISM Code, the text of which is set out in the Annex to the present resolution;
2. DETERMINES, in accordance with article VIII(b)(vi)(2)(bb) of the Convention, that the amendments shall be deemed to have been accepted on 1 January 2002, unless, prior to that date, more than one third of the Contracting Governments to the Convention or Contracting Governments the combined merchant fleets of which constitute not less than 50% of the gross tonnage of the world’s merchant fleet, have notified their objections to the amendments;
3. INVITES Contracting Governments to note that, in accordance with article VIII(b)(vii)(2) of the Convention, the amendments shall enter into force on 1 July 2002 upon their acceptance in accordance with paragraph 2 above;
4. REQUESTS the Secretary-General, in conformity with article VIII(b)(v) of the Convention, to transmit certified copies of the present resolution and the text of the amendments contained in the Annex to all Contracting Governments to the Convention;
5. FURTHER REQUESTS the Secretary-General to transmit copies of this resolution and its Annex to Members of the Organization, which are not Contracting Governments to the Convention.

## ANNEX

**AMENDMENTS TO THE  
INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE**

1 A new heading "PART A - IMPLEMENTATION" is added before the heading "1 GENERAL".

**1 GENERAL****1.1 Definitions**

2 The following new sentence is inserted between "1.1 Definitions" and paragraph 1.1.1:

"The following definitions apply to parts A and B of this Code."

3 The following new definitions are added after paragraph 1.1.3:

"1.1.4 *Safety Management System* means a structured and documented system enabling Company personnel to implement effectively the Company safety and environmental protection policy.

1.1.5 *Document of Compliance* means a document issued to a Company which complies with the requirements of this Code.

1.1.6 *Safety Management Certificate* means a document issued to a ship which signifies that the Company and its shipboard management operate in accordance with the approved safety management system.

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

1.1.8 *Observation* means a statement of fact made during a safety management audit and substantiated by objective evidence.

1.1.9 *Non-conformity* means an observed situation where objective evidence indicates the non-fulfilment of a specified requirement.

1.1.10 *Major non-conformity* means an 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 and includes the lack of effective and systematic implementation of a requirement of this Code.

1.1.11 *Anniversary date* means the day and month of each year that corresponds to the date of expiry of the relevant document or certificate.

1.1.12 *Convention* means the International Convention for the Safety of Life at Sea, 1974, as amended.”

## **7 DEVELOPMENT OF PLANS FOR SHIPBOARD OPERATIONS**

- 4 The text of existing chapter 7 is replaced by the following:

“The Company should establish procedures for the preparation of plans and instructions, including checklists as appropriate, for key shipboard operations concerning the safety of the ship and the prevention of pollution. The various tasks involved should be defined and assigned to qualified personnel.”

## **13 CERTIFICATION, VERIFICATION AND CONTROL**

- 5 The title and text of existing chapter 13 is replaced by the following:

### **"PART B - CERTIFICATION AND VERIFICATION**

#### **13 CERTIFICATION AND PERIODICAL VERIFICATION**

**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 non-conformity 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 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.

**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 non-conformity 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.”

6 A new chapter 14 is added after chapter 13 as follows:

#### **“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; or
- .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 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.”

7 A new chapter 15 is added after new chapter 14 as follows:

#### **“15 VERIFICATION**

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.”

8 A new chapter 16 is added after new chapter 15 as follows:

#### **“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.”

9 The following appendix is added:

**"APPENDIX**

**Forms of the Document of Compliance, the Safety Management Certificate,  
the Interim Document of Compliance and the Interim Safety Management Certificate**

**DOCUMENT OF COMPLIANCE**

*(Official seal)*

*(State)*

Certificate No.

Issued under the provisions of the  
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974,  
as amended

Under the authority of the Government of \_\_\_\_\_  
(name of the State)

by \_\_\_\_\_  
(person or organization authorized)

Name and address of the Company .....  
.....  
(see paragraph 1.1.2 of the ISM Code)

THIS IS TO CERTIFY THAT the safety management system of the Company has been audited and that it complies with the requirements of the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code) for the types of ships listed below (delete as appropriate):

- Passenger ship
- Passenger high-speed craft
- Cargo high-speed craft
- Bulk carrier
- Oil tanker
- Chemical tanker
- Gas carrier
- Mobile offshore drilling unit
- Other cargo ship

This Document of Compliance is valid until ....., subject to periodical verification.

Issued at .....  
(place of issue of the document)

Date of issue .....

.....  
(Signature of the duly authorized official issuing the document)

(Seal or stamp of issuing authority, as appropriate)

Certificate No.

**ENDORSEMENT FOR ANNUAL VERIFICATION**

THIS IS TO CERTIFY THAT, at the periodical verification in accordance with regulation IX/6.1 of the Convention and paragraph 13.4 of the ISM Code, the safety management system was found to comply with the requirements of the ISM Code.

**1st ANNUAL VERIFICATION**

Signed:.....  
(Signature of authorized official)

Place:.....

Date:.....

**2nd ANNUAL VERIFICATION**

Signed:.....  
(Signature of authorized official)

Place:.....

Date:.....

**3rd ANNUAL VERIFICATION**

Signed:.....  
(Signature of authorized official)

Place:.....

Date:.....

**4th ANNUAL VERIFICATION**

Signed:.....  
(Signature of authorized official)

Place:.....

Date:.....

**SAFETY MANAGEMENT CERTIFICATE**

*(Official seal)*

*(State)*

Certificate No.

Issued under the provisions of the  
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974, as amended

Under the authority of the Government of \_\_\_\_\_  
(name of the State)

by \_\_\_\_\_  
(person or organization authorized)

Name of ship: .....  
Distinctive number or letters: .....  
Port of registry: .....  
Type of ship\* : .....  
Gross tonnage: .....  
IMO Number: .....  
Name and address of Company: .....

(see paragraph 1.1.2 of the ISM Code)

THIS IS TO CERTIFY THAT the safety management system of the ship has been audited and that it complies with the requirements of the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code), following verification that the Document of Compliance for the Company is applicable to this type of ship.

This Safety Management Certificate is valid until ....., subject to periodical verification and the Document of Compliance remaining valid.

Issued at.....  
(place of issue of the document)

Date of issue .....

.....  
(Signature of the duly authorized official issuing the certificate)

(Seal or stamp of issuing authority, as appropriate)

\* Insert the type of ship from among the following: passenger ship; passenger high-speed craft; cargo high-speed craft; bulk carrier; oil tanker; chemical tanker; gas carrier; mobile offshore drilling unit; other cargo ship.

Certificate No.

**ENDORSEMENT FOR INTERMEDIATE VERIFICATION AND  
ADDITIONAL VERIFICATION (IF REQUIRED)**

THIS IS TO CERTIFY THAT, at the periodical verification in accordance with regulation IX/6.1 of the Convention and paragraph 13.8 of the ISM Code, the safety management system was found to comply with the requirements of the ISM Code.

**INTERMEDIATE VERIFICATION**  
(to be completed between the **second** and **third** anniversary date)

Signed:.....  
(Signature of authorized official)

Place:.....

Date:.....

**ADDITIONAL VERIFICATION\***

Signed:.....  
(Signature of authorized official)

Place:.....

Date:.....

**ADDITIONAL VERIFICATION\***

Signed:.....  
(Signature of authorized official)

Place:.....

Date:.....

**ADDITIONAL VERIFICATION\***

Signed:.....  
(Signature of authorized official)

Place:.....

Date:.....

\* If applicable. Reference is made to paragraph 3.2.3 of the Guidelines on Implementation of the International Safety Management (ISM) Code by Administrations (resolution A.788(19)).

**INTERIM DOCUMENT OF COMPLIANCE**

*(Official seal)*

*(State)*

Certificate No.

Issued under the provisions of the  
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974,  
as amended

Under the authority of the Government of \_\_\_\_\_  
(name of the State)

by \_\_\_\_\_  
(person or organization authorized)

Name and address of the Company .....  
.....  
(see paragraph 1.1.2 of the ISM Code)

THIS IS TO CERTIFY THAT the safety management system of the Company has been recognized as meeting the objectives of paragraph 1.2.3 of the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code), for the type(s) of ships listed below (delete as appropriate):

- Passenger ship
- Passenger high-speed craft
- Cargo high-speed craft
- Bulk carrier
- Oil tanker
- Chemical tanker
- Gas carrier
- Mobile offshore drilling unit
- Other cargo ship

This Interim Document of Compliance is valid until .....

Issued at .....  
(place of issue of the document)

Date of issue .....

.....  
(Signature of the duly authorized official issuing the document)

(Seal or stamp of issuing authority, as appropriate)

**INTERIM SAFETY MANAGEMENT CERTIFICATE**

(Official seal)

(State)

Certificate No.

Issued under the provisions of the  
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974,  
as amended

Under the authority of the Government of \_\_\_\_\_  
(name of the State)

by \_\_\_\_\_  
(person or organization authorized)

Name of ship: .....  
Distinctive number or letters: .....  
Port of registry: .....  
Type of ship\*: .....  
Gross tonnage: .....  
IMO Number: .....  
Name and address of Company: .....  
.....  
(see paragraph 1.1.2 of the ISM Code)

THIS IS TO CERTIFY THAT the requirements of paragraph 14.4 of the ISM Code have been met and that the Document of Compliance / Interim Document of Compliance\*\* of the Company is relevant to this ship.

This Interim Safety Management Certificate is valid until....., subject to the Document of Compliance / Interim Document of Compliance\*\* remaining valid.

Issued at .....  
(place of issue of the document)

Date of issue .....

.....  
(Signature of the duly authorized official issuing the certificate)

(Seal or stamp of issuing authority, as appropriate)

Certificate No.

The validity of this Interim Safety Management Certificate is extended to: .....

Date of extension: .....

.....  
(Signature of the duly authorized official extending the validity)

(Seal or stamp of issuing authority, as appropriate)

\_\_\_\_\_  
\* Insert the type of ship from among the following: passenger ship; passenger high-speed craft; cargo high-speed craft; bulk carrier; oil tanker; chemical tanker; gas carrier; mobile offshore drilling unit; other cargo ship.

\*\* Delete as appropriate.”