



| Subject Area no. 3 SMS governing documents | | | |
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| Principle: The company documents, maintains and follows policies, practices, and procedures for the safety of their employees and the safe, compliant and reliable operation of their ships. | | | |
| Level | Expectations | Targets | Suggested objective evidence |
| Basic | <p>Procedures and instructions are written in plain language and contain enough detail to ensure that tasks can be completed correctly and consistently.</p> <p>Procedures and instructions are easily accessible to personnel and available at appropriate locations.</p> <p>The company has a document control system which details how documents (including records) should be controlled.</p> | <p>Sufficient electronic or hard copies of procedures and instructions are easily accessible to all personnel, including subcontractors, at appropriate locations onboard and shore sites.</p> <p>There is a Document Management System in place which could cover but not limited to editing controls, version number, date, document ownership, history tracking, access to documents, distribution of documents, document register, document storage, document update, communications within the vessels, etc.</p> <p>Records are kept of the communications of changes to SMS.</p> | <p>Procedure for document control</p> <p>Document register</p> <p>Document hierarchy</p> <p>Examples of documents to verify document control in place and effective</p> |



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| Intermediate | <p>Periodic meetings that review or amend current procedures, or propose new ones, take place at defined intervals and are formally recorded.</p> <p>The company has processes for document control that assigns responsibilities for version control, document register, training on systems and auditing.</p> <p>Relevant reference documents are provided as a supplement to the SMS both onboard and ashore.</p> | <p>Items to consider may include recommendations from the Master’s review of the SMS and accident investigations; suggestions for continual improvement, and new and upcoming legislation.</p> <p>Responsibility is defined for: access control to amend/upload documentation; document register kept updated; most recent version of the document is in the system; obsolete documents are removed; training of document management system; and audit.</p> <p>In case of an electronic system, the SMS has a backup process.</p> | <p>Evidence of review meetings</p> <p>Job description of document controller.</p> <p>Examples to demonstrate DMS functionality.</p> <p>Evidence of DMS backup process.</p> <p>Latest versions of reference documents available.</p> |



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| Advanced | Open dialogue between vessel personnel and shore-based personnel to improve the SMS is encouraged. | Proactive feedback is encouraged from users including shore-based personnel, vessel personnel and third parties. This may include circulating industry and fleet incidents; industry alert bulletins; seminars; open reporting programmes; sea staff conferences, etc. | Evidence of proactive feedback from vessels. Evidence of documents being updated based on feedback. |
| | Documents should be stored and controlled electronically. | There should be an electronic management system for the documents. | Evidence of electronic management system |
| | There is process of document classification and distribution. | There is document classification process including access restrictions, permission levels on internal and external distribution. | Ease of access of documentation classification process |



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| Excellence | The company has an external assurance programme in place to verify the effectiveness of the SMS. | <p>Managers are responsible for ensuring the effectiveness of the SMS. This is a key responsibility and cannot be delegated to others.</p> <p>The assurance programme may include:</p> <ul style="list-style-type: none"> • An independent auditing body. • Third party consultancy. • Interdepartmental auditing. | SMS audit with follow up of action items. |

