

# **No.10 Procedure for the Selection, Training, Qualification and Authorisation of Marine Management Systems Auditors**

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July 2009)  
(Rev.1  
Sep 2012)  
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Nov 2014)  
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Note:

1. This Procedural Requirement applies from 1 July 2009.
2. Rev.1 of this Procedural Requirement applies from 1 February 2013.
3. Rev.2 of this Procedural Requirement applies from 1 January 2015. Amendments to auditor training requirements introduced in Rev.2 are applicable from 1 January 2015 to new ISM auditors only.
4. Rev.3 of this Procedural Requirement applies from 1 April 2019.
5. Rev.4 of this Procedural Requirement applies from 1 January 2021.

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**1. General**

1.1 This Procedural Requirement describes the IACS requirements for the selection, training, qualification and authorisation of marine management systems auditors responsible for verifying compliance with the ISM and ISPS Codes. These requirements have been developed in accordance with the provisions outlined below.

1.2 Paragraph 4.2 of Appendix 1 of IMO Resolution A.739(18) *“Minimum standards for recognized organizations acting on behalf of the Administration”* requires Recognised Organisations to provide “a systematic training and qualification regime for professional personnel engaged in the safety management system certification process, to ensure proficiency in the applicable management criteria as well as adequate knowledge of the technical and operational aspects of shipboard operational management”.

1.2bis Paragraph A2.3.5.2 of Appendix 2 of IMO Resolution MSC.349(92) *“Specifications on the survey and certification functions of recognized organizations acting on behalf of the flag State”* and MEPC.237(65) requires that “the system shall comply with the qualification and training requirements for ISM Code assessors contained in the Guidelines on Implementation of the International Safety Management (ISM) Code by Administrations”.

1.3 Paragraphs 3 and 4 of the Appendix to IMO Resolution A.1118(30) *“Revised guidelines on the implementation of the International Safety Management (ISM) Code by Administrations”* contain standards of competence and qualification arrangements for those who are to participate in verification of compliance with the requirements of the ISM Code.

1.4 Paragraph 4.2 of Appendix 1 of IMO Circular MSC/Circ.1074 *“Interim guidelines for the authorization of Recognized Security Organizations acting on behalf of the Administration and/or Designated Authority of the Contracting Government”* requires “the provision of a systematic training and qualification regime for its professional personnel engaged in the maritime management system certification process to ensure proficiency in the applicable quality and security management criteria as well as adequate knowledge of the technical and operational aspects of maritime security management.”

**2. Competence requirements for marine management systems auditors**

2.1 Those responsible for verifying compliance with the requirements of the ISM and ISPS Codes must be able to demonstrate knowledge and understanding of:

1. The principles and practice of management systems auditing.
2. The requirements of the ISM and ISPS Codes and their interpretation and application.
3. Mandatory rules and regulations and applicable codes, guidelines and standards recommended by the IMO, Administrations, Classification Societies and maritime industry organisations.
4. Basic shipboard operations including emergency preparedness and response.

See Appendix 1 for a more detailed list of learning objectives.

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2.2 In addition, they must demonstrate that they have the ability to apply such knowledge and understanding and that they are capable of carrying out effective verification audits of the shore-based and shipboard aspects of marine management systems against the ISM and ISPS Codes as applicable

The auditor must possess the competence to:

1. determine whether the management system elements conform or do not conform with the requirements of the applicable Code;
2. determine the effectiveness of the Company's safety management system, or that of the ship, in order to ensure compliance with rules and regulations as evidenced by the statutory and classification survey records;
3. assess the effectiveness of the safety management system to ensure compliance with other rules and regulations which are not covered by statutory and classification surveys and to enable verification of compliance with these rules and regulations; and
4. assess whether the safe practices recommended by the IMO, Administrations, Classification Societies and maritime industry organizations have been taken into account.

2.3 The competences described above may be acquired as a result of any combination of the following:

1. Previous relevant qualifications and experience.
2. Theoretical training.
3. Practical training.

### 3. Selection Criteria

3.1 In order to be accepted for training as a marine management systems auditor, the candidate must hold, as a minimum:

**Either** a qualification from a tertiary institution recognised by the Administration or by the Classification Society within a relevant field of engineering or physical science (minimum two-year programme);

**Or** a qualification from a marine or nautical institution and relevant seagoing experience as a certificated ship's officer.

3.2 In addition, the candidate must have at least five (5) years of experience in areas relevant to the technical or operational aspects of shipboard operational management. Such experience may be gained in the following ways:

- ship classification or statutory surveys; or
- sea-going service as a certificated watch-keeping officer; or
- employment in a technical role (for example: technical manager, superintendent, operations manager) in a ship management company; or
- any combination of these three.

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3.3 Exceptionally, alternative qualifications and experience may be considered provided that they can be shown to be at least equivalent to those specified in paragraphs 3.1 and 3.2 above, are an acceptable basis for marine auditor training and are sufficient to ensure the candidate's credibility in the eyes of the Administrations, the companies and the industry as a whole.

**4. Theoretical training**

4.1 Theoretical training should address all the areas listed in paragraph 2.1 above. The time spent on each topic and the level of detail that it is necessary to include will depend on the qualifications and experience of the trainees, their existing competence in each subject, and the number of training audits to be carried out.

4.2 A minimum of ten (10) days of theoretical training shall be provided. Where appropriate, some elements may be delivered by means such as distance learning and e-learning. One day of distance or e-learning is considered equivalent to one day of classroom training. However, at least fifty percent of the total theoretical training days shall be classroom-based in order to allow for discussion and debate and to allow candidates to benefit from the experience of the trainer. The training may be modular in structure, in which case the period over which the theoretical training is delivered must not exceed twelve (12) months.

**5. Examination**

5.1 Confirmation that the learning objectives have been met shall be demonstrated by written examination<sup>1</sup> at the end of the theoretical training, or at the end of each module if the training is not delivered in a single training course.

5.2 If the trainee fails the written examination, or any part thereof, a single resit will be permitted. A candidate who fails the resit will be required to undergo the corresponding theoretical training again before being allowed to make another attempt at the examination.

5.3 A candidate who passes a written examination shall receive a certificate, statement or other record indicating which of the competences specified in paragraph 2.1 have been addressed, and the dates on which the corresponding training took place.

**6. Practical training**

6.1 A person authorised to carry out ISM and ISPS audits must have completed at least five (5) training audits under supervision and in accordance with the following criteria:

1. At least four (4) of the audits must be ISM audits.
2. At least one (1) of the ISM audits must be a company audit.
3. At least one (1) of the ISM audits must be a shipboard audit.
4. At least one (1) of the audits must be an ISPS audit.
5. The training audits may be initial, renewal, annual or intermediate. Additional audits may be used, but only when they are full scoped audits covering all elements of the applicable Code and the relevant management system.

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<sup>1</sup> This can be done in paper or electronic format.

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6. All training audits must be completed under the supervision of suitably qualified and experienced auditors. Levels of participation of the trainee auditor may vary as training progresses, and shall be concluded in the trainee demonstrating the ability to plan, conduct and report an audit independently. The number of trainees participating in any training audit shall not exceed two (2).
7. All training audits must be completed within twenty-four (24) months of the end of the theoretical training. Where this is not achieved for any reason, each Classification Society shall document the additional measures taken in order to complete the training.
8. When fully scoped ISM and ISPS audits are carried out during the same visit they may be counted as individual ISM and ISPS audits for the purpose of arriving at the total number of audits carried out under supervision.

6.2 Training audits must include preparation and reporting.

6.3 The training audits described in paragraph 6.1 constitute the minimum requirement, and each Classification Society shall establish procedures for ensuring and demonstrating that the competence required by paragraph 2.2 has been achieved. The final number of training audits shall be sufficient not only to demonstrate competence, but also to ensure that the prospective auditor has had sufficient practice to provide the confidence necessary to work alone. Competence, sufficient practice and necessary confidence of the prospective auditor shall be confirmed by the trainer supervising the final training audit before authorization is granted to conduct audits independently. Final training audit before authorisation shall be used for granting the authorisation for one trainee only, regardless of whether a second trainee is also attending the same training audit.

6.4 In addition to the training audits described above, candidates must have completed a shipboard security plan (SSP) approval under supervision. This may be carried out as part of the theoretical classroom training. Amended SSPs may be used if the complete plan was sent for re-approval.

6.5 Where a Classification Society chooses to restrict an auditor's authorisation to ISM audits only, it is not necessary for the candidate to undergo the theoretical and practical training relevant to the ISPS Code and the related audit and certification activities. The total number of training days may be reduced accordingly.

## **7. Training (general)**

7.1 The total training must not be less than the minima specified in 4.2 and 6.1 above except in those cases in which theoretical and/or practical training are reduced based on the candidate's previous qualifications and experience or when the candidate's authorisation is to be restricted to ISM only.

7.2 Before participating in any SSP approvals or ISPS Code verifications, a candidate must have undergone a background security check completed by, or on behalf of, the Classification Society.

7.3 Every auditor who participates in SSP approvals or ISPS Code verifications shall be issued with a durable and tamper-proof identity card indicating his or her authorisation as a Maritime Security Auditor.

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**8. Authorisation**

8.1 A record shall be maintained, indicating authorisation granted to candidates who have passed the written examination required by paragraph 5.1 and who have successfully completed the practical training described in paragraph 6.

8.2 Where a Classification Society chooses to restrict an auditor's authorisation to ISM audits only, this must be clearly indicated in the record, and procedures must exist to ensure that no work is undertaken for which authorisation has not been given.

8.3 All ISPS auditors must be authorised as ISM auditors.

**9. Maintenance of authorisation**

9.1 A qualified auditor who has not performed at least two (2) audits ) in any two (2) calendar year period shall be required to undergo two (2) revalidation audits under the supervision of a suitably qualified and experienced auditor. These audits may be ISM or ISPS, ship or office, addressing all aspects of the corresponding code. MLC inspections addressing all aspects of the Convention can be substituted for the maintenance of this authorisation.

9.2 A qualified auditor who has not performed any audits in any five-year period shall be required to undergo revalidation training to include a one-day refresher course, two ISM audits and one ISPS audit under the supervision of a suitably qualified and experienced auditor. For auditors who are authorised for ISM only, the supervised ISPS audit need not be included.

The one-day refresher course should include familiarisation with the latest version of the audit and certification procedures, changes in regulatory requirements, new or updated reporting systems, the most recent guidance on the interpretation and application of the Codes, etc. This course may be delivered by alternative learning methods (distance learning, video conference, webinars, etc.).

**10. Update training**

10.1 Each Classification Society must ensure that its auditors are kept informed of all regulatory and procedural developments related to the ISM and ISPS Codes and that they receive guidance on matters of regulatory and procedural interpretation as these evolve.

**11. Records**

11.1 Records shall be created and retained for each auditor indicating:

1. Qualifications and experience gained prior to training as a Marine Management Systems Auditor
2. Theoretical training received
3. Examination results
4. Practical training received
5. Authorisations granted
6. Update training received
7. Re-authorisation in the event of lapsed authorisations

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## Appendix 1

### Detailed learning objectives

Those responsible for verifying compliance with the ISM and ISPS Codes must be able to demonstrate knowledge and understanding of:

#### 1. The principles and practice of management systems auditing

- The terminology used in management systems and their verification.
- General management systems principles and concepts.
- The design, implementation and aAdministration of a documented management system.
- Continual improvement in a management system.
- Audit objectives.
- The roles, responsibilities and activities of the auditor.
- The preparation and planning of an audit.
- The execution of the audit.
- Audit reporting and follow-up.
- The management of an audit team.
- The content of the procedures and work instructions that govern the ISM and ISPS audit and certification process.

#### 2. The requirements of the ISM and ISPS Codes and their interpretation and application

- The background to, and history of, the development of the ISM and ISPS Codes.
- The objectives of the ISM and ISPS Codes.
- The application of the ISM and ISPS Codes.
- The risk management and human element considerations that underpin the codes.
- The ISM Code as a management systems model.
- Certification requirements (certificate types and their validity, interim arrangements, withdrawal, special scenarios, etc.).
- The specific requirements of the ISM and ISPS Codes and their interpretation.
- The companies' responsibilities in relation to complying with the requirements of the ISM and ISPS Codes.

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3. **Mandatory rules and regulations and applicable codes, guidelines and standards recommended by the IMO, Administrations, Classification Societies and maritime industry organisations**
  - The roles and functions of Administrations, port state authorities, the IMO, the ILO, the Classification Societies, IACS and other industry bodies.
  - Purpose and scope and general content of SOLAS 74, MARPOL 73/78, STCW 78 and other conventions and the associated guidelines, certificates and records.
  - Applicable codes, guidelines and standards issued by the Classification Societies and other industry organisations.
  
4. **Shipboard operations and shipboard security including emergency preparedness and response**
  - Roles, responsibilities and interrelationships of the participants in maritime operations (owner, manager, agent, manning agent, etc.).
  - Shore-based and shipboard organisation and management structure of the Company.
  - Roles, responsibilities and interrelationships of shore-based and shipboard staff.
  - Shipboard operations (navigation, cargo and ballasting operations, engine room operations, routine and breakdown maintenance, passenger management, security measures, management of sewage and garbage), with particular reference to specific ship types.
  - Security threats and patterns, weapons, dangerous substances and devices, security equipment and systems and their operational limitations, characteristics and behaviour of persons likely to pose a security threat.
  - Operational and security risk assessment techniques.
  - Identification of potential emergency situations and preparations for emergency responses with particular reference to specific ship types.

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