

No	Checklist point	Legal basis	Guidance
<b>1.1</b>	<b>The responsibilities and authority of the shipping company and the master</b>		
1.1.1	Has the shipping company established a safety management system?	The Ship Safety and Security Act §§ 6,7, Regulations on a safety management system for Norwegian ships and mobile offshore units	The company shall establish, implement and develop a documented safety management system.
1.1.2	If the vessel have two or more crew members, is the organization and responsibilities concerning HES described? The responsibilities of the shipping company, master and the rest of the crew?	The Ship Safety and Security Act §§ 7,8, Regulations on a safety management system for Norwegian ships and mobile offshore units	In order to ensure safe operation, the shipping company must define and document the responsibilities and authorities of personnel in areas that may affect health, environment and safety. The shipmaster has the executive responsibility for implementation and follow-up of the safety management system on board and for making decisions concerning safety and prevention of pollution. Others working on board, shall in accordance with their position, contribute to the compliance with the safety management system on board. If they are given special responsibilities with regards to the follow-up of health, environment and safety work on board. This must be defined.
<b>1.2</b>	<b>Resources and personnel - training and development of expertise</b>		
1.2.1	Is the master familiar with the safety management system, and are procedures and routines described in the system implemented on board? Random control.	The Ship Safety and Security Act §§ 6,7,8, Regulations on a safety management system for Norwegian ships and mobile offshore units	The shipping company shall ensure that the master is competent to be in command and is completely familiar with the shipping company's safety management system.
1.2.2	How does the shipping company and the master ensure that the crew members have the qualifications required to hold the position and carry out their duties on board?	The Ship Safety and Security Act §§ 13-20, Regulations on qualifications and certificates for seafarers No. 152, Regulations on a safety management system for Norwegian ships and mobile offshore units	The shipping company shall ensure that every ship is sufficiently manned with workers with the correct competence, and who are qualified, certified and medically fit in accordance with current regulations. Follow-up routines must be established on board to ensure that the crew members have the qualifications required for functions on board and that they receive the relevant training for each function.
1.2.3	If a training manual for the vessel is required, can it be presented?	Regulations of 1 July 2014 No 1019 on life-saving appliances on ships	A training manual shall be located in all messes and service rooms available to the crew, or in every cabin. The training manual must contain instructions and information about the life-saving appliances available on board the ship, and about the best survival methods. The training manual must be written in the working language on board the ship. More details on the content is stipulated in section 35 of Regulation 2014-07-01-1019 on life-saving appliances on ships. Such information can be given by means of audiovisual aids instead for in a manual. All ships equipped with MES (marine evacuation system) shall also have training aids with regards to the use of the system on board.
1.2.4	If the vessel has a deck crane, can training of operator be documented?	The Ship Safety and Security Act § 22, Regulations of 17 January 1978 No. 4 on cargo-handling appliances in ships, § 24 (2), Regulations of 19 December 2013 No. 1659 on cranes used on ships in open waters for loading and unloading, § 13, Regulations of 1 January 2005 No. 8 on the working environment, health and safety of persons working on board ship, § 2-6	For cranes used during loading or unloading alongside a quay, in a harbour or in other completely closed waters, there are no formal requirements for training of crane operators, beyond the required age of 18, cf. Regulations of 17 January 1978 No. 4. Certification of crane operators is not necessary. Documentation of training in use of work equipment in accordance with the ASH Regulation § 2-6 og SSL § 22 is nevertheless required. Cranes used for loading and unloading in open waters are comprised by Regulation of 19 December 2013 No. 1659. Herein requirements are made that for instance the crane operator must have passed 20 years of age and undergone approved practical and theoretical education on cranes and lifting equipment. This training must be documented. It is the crane's range of use which determines the type of training applicable for the different types of cranes.

1.2.5	New personnel on board, what are the routines for familiarization?	The Ship Safety and Security Act § 19, Regulation on qualifications and certificates for seafarers No. 1523, §§ 6-8	The shipping company shall see to and the master shall ensure that seafarers, on being assigned on board, are familiarized with their duties, the ship arrangements, installations, equipment, procedures and ship characteristics that are relevant to ordinary operation or emergency situations. The shipping company shall give the master written instructions to allow sufficient time for training. The familiarization shall, at a minimum, include safety familiarization and responsibilities in the event of an emergency situation, information about work tasks and operations on board, and an introduction specific to the position entered into. The master is responsible for making sure that the familiarization is carried out, but the task may be delegated to another experienced crew member on board. Completed familiarization must be documented.
1.2.6	Is the safety management system available on one or more languages so that everyone working on board can understand?	Regulation on a safety management system for Norwegian ships and mobile offshore units	The shipping company shall give the personnel on board the ship access to a safety management system in a working language they understand.
1.3	<b>Operation on board and risk assessments</b>		
1.3.1	Have risk assessments for dangerous operations on board been prepared? Request examples.	The Ship Safety and Security Act § 22, Regulations of 1 January 2005 No. 8 on the working environment, health and safety of persons working on board ship, § 2-2, Regulations on safety management system for Norwegian ships and mobile offshore units	The shipping company shall prepare instructions, procedures and any checklists adapted to the operation of the vessel and the shipping company. Risk assessments for operations on board that may affect security, must be prepared. Control questions: - Are dangers on board identified? - Has it been identified who might get injured on board? - Are measures identified to reduce or eliminate dangers? - Has it been documented who will be responsible for implementing the measures? - Are documented risk assessments filed on board, and are they regularly reviewed with a view to update when necessary? (new equipment, new crew, new working methods, after accidents).
1.3.2	Is the master familiar with the stability limitations of the vessel, and have circumstances which may have unfavourable influence on the stability been assessed?	The Ship Safety and Security Act §§ 9,12,19 incl. accompanying regulations.	The master must be familiar with the limitations upon which the stability approval and the accompanying calculations are based. The shipping company must have studied and described the risk associated with the various operations on board. The master shall at all times, be informed of the loading conditions and the stability related consequences for the vessel. The safety management system shall contain assessments and plans for how the stability related challenges is to be handled in certain situations. <b>Fishing vessels:</b> Special emphasis is put on how hatches that must remain open during fishing, can be closed quickly (15 seconds), as well as how the vessel shall maintain stability when it is exposed to external forces (towing, overload during fishing, loading/unloading, etc.). <b>Cargo vessels:</b> Special emphasis is put on operations such as towing, crane lifts and anchor handling. <b>Passanger vessels:</b> Special emphasis is put on where the passangers are allowed to stay, as well as quantity and placement of any cargo.
1.3.3	Has the work equipment, which may pose special risk to the safety of those who work on board, been identified? What is done to reduce the risk connected to the use of this equipment?	Regulation of 1 January 2005 No. 8 on the working environment, health and safety of persons working on board ship, §§ 4-1 to 4-7	The use of work equipment which may involve a special risk of injury to life and health (for instance high-pressure equipment, rotating equipment etc.) shall be subject to written working instructions and necessary measures must be taken to ensure that its use is restricted to personnel having received the necessary training and instructions to maintain safe handling of the work equipment.

1.3.4	For those vessels comprised by the requirements of a safety representative, inquire whether a safety representative is elected and if training is given.	Regulation of 1 January 2005 No. 8 on the working environment, health and safety of persons working on board ship, § 5-14 first and fourth article.	A safety representative is required onboard vessels that have 3–7 persons working onboard, unless the majority of those working onboard choose to let the safety and environmental work be attended to without a dedicated safety representative. (3) At all times there shall be at least: a) one safety representative onboard vessels with 8-14 persons working onboard, b) two safety representatives on vessels with 15–39 persons working onboard, c) three safety representatives on vessels with at least 40 persons working onboard. Training: ASH § 5-14: Safety representatives and members of the working environment committee shall be given the training necessary for them to discharge their duties in a satisfactory manner. The expenses of such training shall be covered by the shipping company. The duration of the training shall be not less than 40 hours. Training of shorter duration than 40 hours may be agreed upon if the parties jointly consider this to be appropriate with regards to the character and scope of the problems. The training shall be documented.
<b>1.4</b>	<b>Emergency preparedness</b>		
1.4.1	Plans for fire drills and rescue exercises are requested. When was the last exercise carried out? Is this documented?	The Ship Safety and Security Act § 34, Regulations on a safety management system for Norwegian ships and mobile offshore units	The shipping company shall introduce methods for identification and description of, as well as response to, potential dangers, accidents and emergency situations onboard. The shipping company must draw up a plan for training and drills in connection with emergency preparedness.
<b>1.5</b>	<b>Deviation and event management</b>		
1.5.1	Have you had an accident or a near miss onboard? Follow-up questions: Was the event reported to the relevant authorities? (Sdir, NAV). Were measures taken to ensure that the event does not repeat itself?	The Ship Safety and Security Act § 47, Regulations on a safety management system for Norwegian ships and mobile offshore units, Regulation of 27 June 2008 No. 744 on the obligation to notify and report marine accidents and other incidents at sea, §§ 4, 5 and 6. The National Insurance Act	The safety management system shall ensure that nonconformities, accidents and dangerous events are analysed by the shipping company with a view to prevent it from happening again, including taking corrective and preventive action. The master or the shipping company is responsible for notifying the Norwegian Maritime Authority of marine accidents and occupational accidents. The master or the shipping company are also obliged to send an accident report to NAV in the event of personal injury as a consequence of the occupational accident.
<b>1.6</b>	<b>Maintenance and critical equipment</b>		
1.6.1	Do you have a system for maintenance management onboard? A plan describing what, when and how.	The Ship Safety and Security Act § 11, Regulations on a safety management system for Norwegian ships and mobile offshore units	The company shall develop, maintain and document a maintenance system tailored for the vessel's working methods. The maintenance system shall ensure that the ship and equipment are maintained according to current regulations. The maintenance and the system must be documented.
1.6.2	Have you identified critical equipment onboard? If yes, are plans and measures described in case such equipment should fail?	Regulations on a safety management system for Norwegian ships and mobile offshore units.	The shipping company shall ensure the identification of equipment and technical systems that may cause dangerous situations in the event of sudden failure. The safety management system must include measures to improve reliability of such equipment or such systems. The measures must as a minimum, include regular testing of the back-up systems and back-up equipment or of technical systems that are not in continuous operation. The maintenance and the system must be documented.
1.6.3	Check the maintenance history on especially high-risk equipment which is not subject to periodic maintenance. For instance shackles and slings, straps and wires.	Regulations on a safety management system for Norwegian ships and mobile offshore units.	The maintenance and the system must be documented.
<b>1.7</b>	<b>Relevant documentation available</b>		

1.7.1	What are the routines for ensuring that the documentation on the safety management system is available to all personnel onboard?	Regulations on a safety management system for Norwegian ships and mobile offshore units.	The shipping company shall ensure that current documents are available at all relevant locations.
1.7.2	How is it ensured that an updated version of the documentation always is available? Who is responsible for updating the documentation?	Regulations on a safety management system for Norwegian ships and mobile offshore units.	Changes in the documentation is reviewed and approved by personnel that are assigned this responsibility. Outdated documents must be removed.
<b>1.8</b>	<b>System evaluation – including continuous improvement</b>		
1.8.1	Does the shipping company review the safety management system annually?	Regulations on a safety management system for Norwegian ships and mobile offshore units.	The shipping company must carry out an annual, verifiable review of the safety management system in order to assess whether the safety management system is functioning in accordance with its objective.