

## GUIDE FOR

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# MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT *(The ABS Guide for Marine Management Systems)* OCTOBER 2016

## Guide to Color Coding Used in Online Version of the Guide

The following summarizes the colors corresponding to Rule Changes, Corrigenda items and editorial changes in the Guide files which are available for download.

### Rule Changes:

**Changes effective October 2016**

### Corrigenda:

**CORRIGENDA/EDITORIALS – 1 February 2017**

### Editorials:

**Editorial Changes**



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# MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT *(The ABS Guide for Marine Management Systems)*

**OCTOBER 2016 (Updated February 2017 – see next page)**

**American Bureau of Shipping  
Incorporated by the Legislature of  
the State of New York 1862**

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ABS Plaza  
16855 Northchase Drive  
Houston, TX 77060 USA**

## Updates

### February 2017 consolidation includes:

- October 2016 version plus Corrigenda/Editorials

## Foreword (1 October 2016)

The significant impact of management practices on the safe operation of ships has been recognized for some time. The General Assembly of the International Maritime Organization requested the Maritime Safety Committee, by resolution A.596(15), to develop, as a matter of urgency, guidelines concerning shipboard and shore-based management, and to include in the work program of both the Maritime Safety Committee and the Marine Environment Protection Committee an item on shipboard and shore-based management for the International Safety Management Code (ISM Code). The ISM Code was developed by the International Maritime Organization to provide the maritime community with an internationally recognized standard for the safe management and operation of ships and for pollution prevention. Initially adopted as resolution A. 741(18), it later was incorporated into Chapter IX of the SOLAS convention and became mandatory for oil tankers, chemical tankers, bulk carriers and cargo high-speed craft of 500 gross tonnage and upwards, and for passenger ships including passenger high-speed craft from 1 July 1998. Other cargo ships and self-propelled mobile offshore drilling units (MODUs) of 500 gross tonnage and upwards, subject to SOLAS, were required to comply by 1 July 2002.

Other management system standards have been developed, notably ISO 9001, ISO 14001, ISO 50001 and OHSAS 18001, non-specific to the maritime industry, which address management practices from the perspective of controlling quality, environmental impacts, energy performance and occupational health hazards. These standards, though not specific to the marine industry, provide useful guidance that can be employed in marine management and the operation of ships to further enhance management systems focused on the safe operating practices and prevention of pollution.

The general management system principles embodied by the ISM Code, ISO 9001, ISO 14001, ISO 50001 and OHSAS 18001 have been incorporated in this Guide. These principles, where appropriate, have been “marinized” in order to bring them within the concept of the industry itself.

**This revision of the Guide incorporates changes to the requirements identified in ISO 9001-2015 standard, ISO 14001-2015 standard and ISM Code 2014 edition. Proper implementation of these requirements should assist the Company to take a risk based approach and establish controls as appropriate.**

ABS offers this Guide to the maritime industry as a tool for enhancing marine management practices and further supporting responsible management in the operation of ships, the prevention of pollution, and improved energy performance.

This Guide becomes effective on the first day of the month of publication.

Users are advised to check periodically on the ABS website [www.eagle.org](http://www.eagle.org) to verify that this version of this Guide is the most current.

*We welcome your feedback. Comments or suggestions can be sent electronically by email to [rsd@eagle.org](mailto:rsd@eagle.org).*



# GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

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# GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

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## 1 GENERAL

### 1.1 Scope and Application

The *ABS Guide for Marine Health, Safety, Quality, Environmental and Energy Management* or the *ABS Guide for Marine Management Systems* in short, has been developed with the objective of assisting shipowners, managers, and operators to improve the safety, environmental and energy performance in the management and operation of ships. ABS recognizes the positive impact that sound management practices may have upon these areas of concern. This Guide provides the maritime industry with a model for implementation of an Integrated Management System covering these key issues.

This Guide is intended for the use of Companies operating all types of ships. Its requirements have been stated in general terms in order to have application to a wide variety of ship operations and management styles.

The requirements of this Guide have been largely derived from the sound management system principles reflected in the requirements of the “International Management Code for the Safe Operation of Ships and for Pollution Prevention” (also known as the “International Safety Management Code”, or more commonly as the “ISM Code”), “Quality management systems – Requirements” (ISO 9001:2015), “Environmental management systems – Requirements with guidance for use” (ISO 14001:2015), “Energy Management Systems – Requirements with guidance for use” (ISO 50001:2011) and “Occupational health and safety management systems – Requirements” (OHSAS 18001:2007). Though the requirements of this Guide have been intended to encompass the requirements of these referenced standards, users of this Guide are encouraged to obtain for themselves copies of these standards for reference. These standards and others associated with them, contain valuable information and guidance useful in understanding the fundamentals and implementation of viable management systems.

Though this Guide has been developed principally as a management system model for occupational health, safe operation, prevention of pollution, preservation of the environment, and improved energy performance, quality concerns are also addressed. While quality management focuses principally upon enhancing customer satisfaction and encouraging fulfillment of customer requirements for quality, ABS considers that the employment of quality principles can have a significant positive impact on achieving goals and objectives in the areas of safety and environmental management. The quality system requirements of this Guide provide prescriptions that are intended to help enhance a health, safety, environmental, and energy management system’s effectiveness.

**Note:** This Guide has excluded section 8.3 of the ISO 9001:2015 standard, Design and Development of products and services. It is recommended that this element of the ISO standard should not be excluded from the Company's management system if they have any input to the design of a vessel they are building, intend to build or a vessel they are modifying to their specific requirements. Companies applying for certification to this Guide may not be required to have this element in the scope of their audit. No other exclusion to the requirements of this Guide is permitted.

This Guide is designed to facilitate a progressive approach to an integrated management system of occupational health, safety, quality, environmental and energy concerns. The Guide identifies requirements in five categories. The categories are identified to the left of the corresponding requirement by an "s", "q", "e", "h" or "En" and are explained below.

Requirements identified by an "s" are **safety** management requirements. These requirements are based mainly upon the requirements of the ISM Code but also include additional prescriptive requirements that ABS considers will enhance the goals and objectives to be achieved within this area. Safety management requirements provide the baseline requirements of this Guide and contain a number of requirements also applicable to quality, environmental, occupational health & safety, energy management. These "s" requirements are the baseline and must be implemented regardless of the notation(s) requested by the client.

Requirements identified by an "h" are **occupational health & safety** management requirements that shall be implemented together with the "s" requirements in order to properly manage both occupational health and safety management concerns. Occupational health requirements, in combination with a number of the safety requirements, address issues of concern embodied by OHSAS 18001:2007. Additionally, prescriptive requirements have been included that ABS considers can enhance the goals and objectives to be achieved within the combined areas of occupational health and safety management.

Requirements identified by a "q" are **quality** management requirements that shall be implemented together with the "s" requirements in order to properly manage both safety and quality management concerns. Quality management requirements in combination with a number of the safety requirements address issues of concern embodied by ISO 9001:2015. Additionally, prescriptive requirements have been included that ABS considers can enhance the goals and objectives to be achieved within the combined areas of safety and quality management.

Requirements identified by an "e" are **environmental** management requirements that shall be implemented in addition to the "s" requirements in order to properly manage both safety and environmental management concerns. Environmental management requirements in combination with a number of the safety management requirements address issues of concern embodied by ISO 14001:2015. Additionally, prescriptive requirements have been included that ABS considers can enhance the goals and objectives to be achieved within the areas of safety and environmental management. These requirements address environmental concerns from the perspectives of both regulatory compliance and proactive continual improvement of the management system and environmental performance.

Requirements identified by an "En" are **energy** management requirements that shall be implemented in addition to the "s" requirements in order to properly manage both safety and energy management concerns. Energy management requirements in combination with a number of the safety management requirements address issues of concern embodied by ISO 50001:2011. Additionally, prescriptive requirements have been included that ABS considers can enhance the goals and objectives to be achieved within the areas of safety and energy management.

Companies may choose to implement the combination of requirements suitable to their Company's goals, objectives and concerns. ABS encourages all companies to consider implementation of the Guide's requirements in their entirety as a comprehensive approach to health, safety quality, environmental and energy management.

The scope of certification chosen for the Company office **should** be implemented across all vessels in the fleet (see section 1.2 below). At least one vessel of each type **should** be presented as a sample and **should** maintain certification to the same scope of certification as the Company's office.

As an aid to assisting clients with the implementation of a comprehensive approach, ABS has also produced the *ABS Guidance Notes for the Investigation of Marine Incidents*. While one goal of effective safety management is to reduce or eliminate incidents, accidents or near-misses, events may occur from time to time. Under such conditions, a Company is well served when it can learn from such events and use the lessons to minimize the potential for future losses. The *ABS Guidance Notes for the Investigation of Marine Incidents* outline how incidents can be investigated and their root causes determined. These Guidance Notes also provide forms and checklists for use during an investigation. These Guidance Notes can be downloaded from the ABS website at <http://www.eagle.org/rules/downloads.html>. Together with the Marine Health, Safety, Quality, Environmental and Energy Management Guide, the *ABS Guidance Notes for the Investigation of Marine Incidents* can be used to address a range of objectives of health, safety, quality, environmental and energy management programs.

In this document, requirements that appear in italics are taken directly from the cited standard.

The use of the word "should" is to be taken to mean the same as "shall" when it appears in the italicized text.

## 1.2 Certification

### 1.2.1 General

Companies may request certification to any of the optional notations ("Q", "E", "H" and/or "En"), or a combination thereof, provided compliance with "S" notation is also requested. The following combined notations are possible under this Guide.

1. The safety requirements *or* "S";
2. Safety and quality requirements *or* "SQ";
3. Safety and environmental requirements *or* "SE";
4. Safety and energy requirements *or* "SEn";
5. Safety and health requirements *or* "HS";
6. Safety, quality and environmental requirements *or* "SQE";
7. Safety, quality and energy requirements *or* "SQEn";
8. Safety, environmental and energy requirements *or* "SEEn";
9. Safety, health, and quality requirements *or* "HSQ";
10. Safety, health, and environmental requirements *or* "HSE";
11. Safety, health and energy requirements *or* "HSEn";
12. Safety, quality, environmental and energy requirements *or* "SQEEn";
13. Safety, health, environmental and energy requirements *or* "HSEEn";
14. Safety, health, quality, and energy requirements *or* "HSQEn";
15. Safety, health, quality, and environmental requirements *or* "HSQE", and
16. Safety, health, quality, environmental and energy requirements *or* "HSQEEn"

Companies seeking certification to this Guide must, as a condition of certification, conform to the requirements of the ISM Code, ISO 9001:2015, ISO 14001:2015, ISO 50001:2011 and OHSAS 18001:2007, as relevant to the selected scope of their management system. Additionally, certification to the health, quality, environmental, and energy criteria requires a Stage I (adequacy to proceed) and Stage II (certification) audit.

Ships certified to the requirements of this Guide shall, as a prerequisite, be classed by ABS or another classification society holding an IACS QSCS certificate.

Certification to this Guide shall be administered in the same manner as ISM Code certification. Vessels shall normally be assessed in accordance with the usual audit frequency prescribed for ISM Code certification.

This Guide is subject to review and revision. Updates may include, among other things, additional requirements, or clarification of existing requirements. Companies certified to the requirements of this Guide shall be required to comply with the changes within **one year** after their publication.

A Company that is assessed by ABS and found to meet the requirements specified in this Guide may be issued a corresponding certificate. Vessels operating under the Company's management system that are assessed by ABS and found to meet the requirements specified in this Guide may be issued corresponding certificates, and where ABS classed, corresponding notations in the *ABS Record*. All certificates are subject to periodic and intermediate verifications conducted at each certified location. All certifications are non-transferable. Assessments are based upon a sampling process. The absence of recorded nonconformities does not mean that none exist. Nothing contained herein or in any certificate, notation, or report issued in connection with a certificate and/or notation is intended to relieve any designer, builder, owner, manufacturer, seller, supplier, repairer, operator, insurer, or other entity of any duty to inspect or any other duty or warranty, express or implied, nor to create any interest, right, claim, or benefit in any insurer or other third party.

### 1.2.2 Certification Process

Companies seeking certification to the requirements of this Guide shall fulfill the following responsibilities, some of which are more fully described in subsequent sections of the Guide:

- a. Document, implement, and maintain a marine management system in accordance with the pertinent requirements of this Guide.
- b. **Inform ABS in writing of major changes to management system elements** (e.g., managerial organizational structure, location, change in types of vessels operated, upgrade/downgrade of process capability, control, or flow) so that the changes may be evaluated by ABS and appropriate action taken.
- c. Provide ABS copies of pertinent management system documentation for review.
- d. Allow ABS access to all certified locations and vessels during normal working hours in order to assess the marine management system to determine continuing compliance with the pertinent requirements of this Guide.
- e. Maintain a record of all complaints received regarding the quality of services, occupational health and safety, environmental pollution, and the resolution thereof.
- f. Notify ABS of port state detentions of vessel(s) certified.
- g. Inform ABS in writing when a Document of Compliance (DOC), issued by a Flag Administration or a Recognized Organization (other than ABS), is withdrawn or invalidated by the issuing party affecting vessels certified to these requirements.

### 1.2.3 Representations

Certification is a representation by ABS that at the time of assessment the Company and vessels, as pertinent, had established and implemented a management system in accordance with the requirements in this Guide for the specified certificates and notations. Certification is not a representation that the Company always acts in compliance with the management system or that the management system addresses all contingencies. Management performance remains the responsibility of the Company.

### 1.2.4 Termination

The continuance of certification or any notation is conditional upon the Company's and vessels' continued compliance with the pertinent requirements of this Guide. ABS reserves the right to reconsider, withhold, suspend, or cancel the certification or notation for noncompliance with the requirements, refusing access for an assessment or verification, or nonpayment of fees which are due on account of certification and other services.

### 1.2.5 Audit Guidelines

For assessments involving "q", "e", "En" or "h" certification, pre-assessments (stage I audits) are mandatory and the range and scope of the pre-assessment is determined by the designated Standard which requires that a minimum pre-assessment of the client's office. Pre-assessments are optional for "s" only assessments. The range and scope of optional pre-assessment is determined by the client.

## 1.3 Definitions

The definitions listed below are taken, or adapted from the ISM Code, ISO 9001:2015, ISO 14001:2015, ISO 50001:2011, and OHSAS 18001:2007.

**Acceptable risk** – risk that has been reduced to a level that can be tolerated by the Company having regard to its legal obligations and its own OH&S policy. (OHSAS18001:2007)

**Administration** – the Government of the State whose flag the ship is entitled to fly.

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

**Audit** – systematic, independent, and documented process for obtaining "audit evidence" and evaluating it objectively to determine the extent to which "audit criteria" are fulfilled. (ISO14001:2015)

**Auditor** – person with the competence to conduct an audit.

**Boundaries** – physical or site limits and/or organizational limits defined by the organization.

*Example: A process; a group of processes; a site; an entire organization; multiple sites under the control of an organization. (ISO50001:2011)*

**Certification** – the decision by ABS that the Company's management system meets the applicable requirements of the ABS Guide.

**Company** – the Owner of the ship or any other organization or person such as the manager, or the bareboat charterer, who has assumed the responsibility for operation of the ship from the **owner of the ship** and who on assuming such responsibility has agreed to take over all **the** duties and responsibilities imposed by the ISM Code. **(ISM Code)**

Company = Organization [ISO 9001:2015, ISO 14001:2015, ISO 50001:2011, and OHSAS 18001:2007]

**Compliance obligations** – Legal requirements that a Company has to comply with, and other requirements that a Company has to or chooses to comply with. Compliance obligations can arise from mandatory requirements, such as applicable laws and regulations, or voluntary commitments, such as organizational and industry standards, contractual relationships, code of practice and agreements with community groups or non-governmental organizations. **(ISO14001:2015)**

**Continual improvement** – recurring **activity** of enhancing the management system in order to achieve improvements in overall performance consistent with the Company's stated policies for health, safety, quality, environment, pollution prevention, and energy, as applicable.

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

**Correction** – action to eliminate a detected non-conformity.

**Corrective Action** – action to eliminate the cause of a detected nonconformity or other undesirable situation.

**Customer** – Company or person that receives a product or service. A charterer is considered a Customer.

**Customer satisfaction** – perception of the degree to which the Customer's **needs and expectations** have been fulfilled.

**DOC** – Document of Compliance certificate

**Document** – information and its supporting medium.

**Energy** – electricity, fuels, steam, heat, compressed air, and other like media. **(ISO50001:2011)**

**Energy baseline** – quantitative reference(s) providing a basis for comparison of energy performance. **(ISO50001:2011)**

**Energy consumption** – quantity of energy applied. **(ISO50001:2011)**

**Energy efficiency** – ratio or other quantitative relationship between an output of performance, service, goods or energy, and an input of energy. **(ISO50001:2011)**

**Energy management system (EnMS)** – set of interrelated or interacting elements to establish an energy policy and energy objectives, processes and procedures to achieve those objectives. **(ISO50001:2011)**

**Energy management team** – person(s) responsible for effective implementation of the energy management system activities and for delivering energy performance improvements. **(ISO50001:2011)**

**Energy Services** – activities and their results related to the provision and/or use of energy. (ISO50001:2011)

**Energy Target** – detailed and quantitative energy performance requirement, applicable to the organization or parts thereof, that arises from the energy objective and that needs to be set and met in order to achieve this objective. (ISO50001:2011)

**Energy Use** – manner or kind of application of energy. (ISO50001:2011)

**Environment** – surroundings in which a Company and its ships operate, including air, water, land, natural resources, flora, fauna, humans, and their interrelation. (ISO14001:2015)

**Environmental aspect** – element of a Company's activities or products or services that *interacts or can interact* with the environment.

*Note- An organization determines its environmental aspects and associated environmental impacts, and determines those that are significant. A significant environmental aspect is one that has or can have one or more significant environmental impact (s). (ISO14001:2015)*

**Environmental impact** – any change to the environment, whether adverse or beneficial, wholly or partially resulting from a Company's environmental aspects. (ISO14001:2015)

**Environmental objective** – objective set by the Company consistent with its environmental policy. (ISO14001:2015)

**Environmental management system** – part of a Company's management system used to manage environmental aspects, fulfill compliance obligations, and address risks and opportunities. (ISO9001:2015)

**Environmental performance** – measurable results of a Company's management of its environmental aspects.

**External provider** – means an external supplier to the Company (including a contractor) that provides a product or a service or performs delegated function(s).

**Hazard** – source, situation or act with a potential for harm, in terms of human injury or ill health, damage to property, damage to workplace environment or a combination of these. (OHSAS18001:2007)

**Hazard identification** – process of recognizing that a hazard exists and defining its characteristics. (OHSAS18001:2007)

**Ill health** – identifiable adverse physical or mental condition arising from and/or made worse by a work activity and/or work-related situation. (OHSAS18001:2007)

**Infrastructure** – system of facilities, equipment, and services needed for the operation of the Company.

**Incident** – work-related event(s) in which an injury or ill health (regardless of severity) or fatality occurred or could have occurred. (OHSAS18001:2007)

**Internal audit** – systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the management system audit criteria set by the Company are fulfilled.

**Interested Parties** – person or company that can affect, be affected by or perceive itself to be affected by a decision or activity. Example – Customers, communities, suppliers, regulators, non-governmental organizations, investors and employees.

**International Safety Management (ISM) Code** – means the International Management Code for the Safe Operation of Ships and for Pollution Prevention as adopted by the Assembly, as may be amended by the Organization.

**Major non-conformity** – means the 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 or the lack of effective and systematic implementation of the requirement of the Code. (ISM Code)

**Non-conformity** – means an observed situation where objective evidence indicates the non-fulfillment of a specified requirement. (ISM Code)

**Notation** – notation in the ABS Record upon certification to recognize that the ABS classed vessel meets the applicable requirements of this Guide for:

- Safety certification or “S”;
- Safety and Quality certification or “SQ”;
- Safety and Environmental certification or “SE”;
- Safety and Energy certification or “SEn”;
- Safety and Health certification or “HS”;
- Safety, Quality and Environmental certification or “SQE”;
- Safety, Quality and Energy certification or “SQEn”;
- Safety, Environmental and Energy certification or “SEEn”;
- Safety, Health, and Quality certification or “HSQ”;
- Safety, Health, and Environmental certification or “HSE”;
- Safety, Health and Energy certification or “HSEn”;
- Safety, Quality, Environmental and Energy certification or “SQEEn”;
- Safety, Quality, Health and Energy certification or “HSQEn”;
- Safety, Health, Environmental and Energy certification or “HSEEn”;
- Safety, Health, Quality, and Environmental certification or “HSQE”, and
- Safety, Health, Quality, Environmental and Energy certification or “HSQEEn”

**Objective** – a result to be achieved set by the Company. Objective can be strategic, tactical or operational.

**Objective (energy)** – specified outcome or achievement set to meet the organization’s energy policy related to improved energy performance. (ISO50001:2011)

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

**Observation** – means a statement of fact made during a management audit and substantiated by objective evidence. (ISM Code)

**Occupational health and safety (OH&S)** – conditions and factors that affect, or could affect, the health and safety of employees, temporary workers, contractor personnel, visitors, and any other person in the workplace. (OHSAS18001:2007)

**OH&S management system** – part of the Company’s management system used to develop and implement its OH&S policy and manage its OH&S risks. (OHSAS18001:2007)

**Performance** – measurable results of the Company's management of its impacts and/or risks and achievement of its objectives.

**Performance (energy)** – measurable results related to energy efficiency, energy use and energy consumption. (ISO 50001:2011)

**Performance indicator (energy) EnPI** – quantitative value or measure of energy performance, as defined by the organization. (ISO 50001:2011)

**Policy** – overall intentions and direction of a Company related to its performance as formally expressed by the top management.

**Preventive action** – action to eliminate the cause of a potential non-conformity or other undesirable potential situation.

**Prevention of pollution** – use of processes, practices, techniques, materials, products, services, or energy to avoid, reduce, or control (separately or in combination) the creation, emission, or discharge of any type of pollutant or waste in order to reduce adverse environmental impacts.

**Procedure** – specified way to carry out an activity or a process.

**Record** – document stating results achieved or providing evidence of activities performed. (OHSAS:18001:2007)

**Requirement** – a need or expectation generally stated, generally implied or obligatory

**Risk** – is the effect of uncertainty, and any such uncertainty can have positive or negative effects. A positive deviation arising from a risk can provide an opportunity, but not all positive effects of risk result in opportunities. Risk is often expressed in terms of a combination of the likelihood of an occurrence of a hazardous event or exposure(s) and the severity of injury or ill health that can be caused by the event or exposure(s).

**Risk assessment** – overall process of evaluating the risk(s) arising from a hazard(s), taking into account the adequacy of any existing controls, and deciding whether or not the risk(s) is acceptable. (OHSAS18001:2007)

**Safety aspect** – element of a Company's activities or services that represents an actual or potential risk to safety or personnel, or the ship.

**Significant energy use** – energy use accounting for substantial energy consumption and/or offering considerable potential for energy performance improvement. (ISO50001:2011)

**SMC** – Safety Management Certificate.

**Supplier** – Company or person that supplies a product or service.

**System** – set of interrelated or interacting elements required to direct and control a Company.

**Top management** – person(s) or group of people who directs or controls a Company at the highest level. (ISO50001:2011)

**Work environment** – set of conditions or physical location, under control of the Company, in which the work and related activities are performed.



# GUIDE FOR MARINE HEALTH, SAFETY, QUALITY, ENVIRONMENTAL AND ENERGY MANAGEMENT

## 2 POLICY

### 2.1 General Requirements

2.1.1 The Company to be certified shall establish, document, implement, maintain, and continually improve a management system to the relevant requirements of this Guide and fulfill these requirements as specified therein. The Company **shall** define and document the scope and boundaries of certification of its management system.

2.1.2 *When determining this scope, the Company shall consider:  
(ISO9001:2015 4.3 & ISO14001:2015 4.3)*

a. *the external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended outcomes of its management system*

b. *the requirements of relevant interested parties*

c. *the product and services of the Company*

d. *compliance obligations required by the needs and expectations of interested parties*

e. *the Company's units, functions and physical boundaries*

f. *its activities, products and services*

g. *its authority and ability to exercise control and influence*

2.1.3 The Company's top management **shall** establish, **implement**, document and maintain pertinent policy(ies) for Occupational Health, Safety, Quality, Energy and Environmental Protection in accordance with and appropriate to the management system.

2.1.4 The Company's top management **shall** require that the policy is communicated, implemented, understood, and maintained at all levels of the organization, both ship-based and shore-based.

### 2.2 Occupational Health, Safety, Environmental and Energy Policy

2.2.1 The policy **shall** state the Company's commitment to achieving health, safety, environmental and energy performance improvement and **shall** describe how the objectives of the management system will be achieved. These objectives, as a minimum, **shall** be to promote safety at sea, prevention of human injury or loss of life, improved energy performance and avoidance of damage to the environment, in particular to the marine environment and to property.

|          |       |                                                                                                                                                                                                                                                                                                                                                                                         |
|----------|-------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|          | 2.2.2 | Top management <b>shall</b> define and authorize the Company's policy(ies) and require that, within the defined scope of its management system, it:                                                                                                                                                                                                                                     |
| s        | a.    | <i>should provide for safe practices in ship operation and a safe working environment; (ISM 1.2.2.1)</i>                                                                                                                                                                                                                                                                                |
| e<br>En  | b.    | <i>includes a commitment to <b>the protection of the environment, including</b> - prevention of pollution <b>and other specific commitments(s) relevant to the Company</b> and improvement in energy performance; (ISO 14001:2015 5.2.c , ISO 50001:2011 4.3.b)</i>                                                                                                                     |
| s        | c.    | <i>should assess all identified risks to its ships, personnel and the environment and establish appropriate safeguards; (ISM 1.2.2.2)</i>                                                                                                                                                                                                                                               |
| s        | d.    | <i>should continuously improve safety management skills of personnel ashore and aboard ships, including preparing for emergencies related both to safety and environmental protection.; (ISM 1.2.2.3)</i>                                                                                                                                                                               |
| he<br>En | e.    | <i>includes a commitment to at least comply with applicable legal requirements, and with other requirements to which the organization subscribes that relate to its OH&amp;S hazards, to <b>fulfill its compliance obligations</b> and energy use, consumption and efficiency (OHSAS 18001:2007 4.2c, ISO 14001:2015 5.2d, ISO 50001:2011 / 4.3.d)</i>                                  |
| h        | f.    | <i>includes a commitment to prevention of injury and ill health and continual improvement in OH&amp;S management and OH&amp;S performance; (OHSAS 18001:2007 4.2.b)</i>                                                                                                                                                                                                                 |
| En       | g.    | <i>includes a commitment to ensure the availability of information and of necessary resources to achieve objectives and targets. (ISO 50001:2011 4.3.c)</i>                                                                                                                                                                                                                             |
| eh<br>En | h.    | <i>is communicated to all persons working for and on behalf and under the control of the organization with the intent that they are made aware of their individual health and safety, <b>environmental, Energy obligations as appropriate.</b> (OHSAS 18001:2007 4.2.f, ISO 14001:2015 5.2, ISO 50001:2011 4.3.g)</i>                                                                   |
| En       | i.    | <i>supports the purchase of energy-efficient products and services, and design for energy performance and improvement. (ISO 50001:2011 4.3.f)</i>                                                                                                                                                                                                                                       |
| En       | j.    | <i>states the <b>Company's</b> commitment to achieving energy performance improvement (ISO50001:2011 4.3)</i>                                                                                                                                                                                                                                                                           |
| e        | k.    | <i><b>includes a commitment to continual improvement of the environmental management system to enhance environmental performance. (ISO 14001:2015 5.2 (e))</b></i>                                                                                                                                                                                                                      |
| eh<br>En | 2.2.3 | <b>The Company's policy shall be</b> appropriate to the nature, scale, environmental impacts, its occupational health and safety risks, energy use and consumption of the Company's shore-based and shipboard risks, activities, and services. <b>Top management shall confirm that policies are reviewed periodically so that they remain relevant and appropriate to the Company.</b> |
| eh<br>En | 2.2.4 | The HSEEn policy, as appropriate <b>shall</b> provide a framework for setting and reviewing environmental, energy and <b>occupational health and safety</b> objectives and targets and <b>shall</b> be made available to <b>interested parties.</b>                                                                                                                                     |