



PANAMA SHIPPING REGISTRAR INC.

ISM CODE ASSESSMENT REPORT OF DOCUMENT REVIEW

Company:	PROYECTOS Y SERVICIOS K MINO XXI SA
Principal Address:	CASA 12C, CALLE C, VIA JUAN DEMOSTENES AROSEMENA, ARRAIJAN, PANAMA
Branch Office(s):	-
Vessel Types:	OTHER CARGO SHIP, PASSENGER SHIP, PASSENGER HIGH SPEED CRAFT, CARGO HIGH SPEED CRAFT

Date of Submission of Documents: 21 MARCH 2022

Reviewed SMS Manual / Documents:

Document No.	Version No.	Date	Title
001	01	MARCH 2022	SMM MANUAL

If any of above documents have been approved on behalf of Flag Administrations as in accordance with the ISM Code, state details:
NONE

NOTES FOR COMPLETION OF CHECKLIST:

Mark "YES" or "NO" by a circle in appropriate box for each item. If an item is not applicable mark "NA" in appropriate box. All negative entries should be clarified under "Surveyor's Notes" with reference to the item number.

All required dates should be recorded at these surveys as dd/mm/yy.

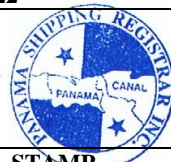
General remarks and comments may be included at the end of the checklist. Any non-conformities raised must may be recorded on the individual non-conformity Notes. On completion of Audit, this checklist is to be signed below by the lead auditor and returned to PSR / Head Office together with the Company Audit Report, and any Company Non-conformity Notes (NCNs) issued.

DECLARATION

The SMS Document Review has been undertaken and completed. It is considered that the above submitted documentation is in substantial compliance / is not in substantial compliance* with the requirements of the ISM Code; therefore this will be a provisional approval for a term of 6 months from the date of issue subject to PSR Head Office final approval.

Place: PANAMA, REPUBLIC OF PANAMA Date: 22 MARCH 2022

ENG. CARLOS A. NUÑEZ C.
PSR AUDITOR / NAME, SIGNATURE, STAMP



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PANAMA SHIPPING REGISTRAR INC.

1. Functional Requirements

1.1 The Company has developed

- 1.1.1. A safety environmental policy. ☐ YES / NO/ NA
- 1.1.2. Instructions and procedures to ensure safe operation of ships and protection of the environment in compliance with relevant international flag legislation. ☐ YES / NO/ NA
- 1.1.3. Defined levels of authority and lines of communication between and amongst shore and ship personnel. ☐ YES / NO/ NA
- 1.1.4. Procedures for reporting accidents and non-conformities. ☐ YES / NO/ NA
- 1.1.5. Procedures to prepare for and respond to emergency situation. ☐ YES / NO/ NA
- 1.1.6. Procedures for internal audits and management reviews. ☐ YES / NO/ NA

1.2 The SMS addresses compliance with mandatory rules and regulations (State where addressed)

CHAPTER 1

☐ YES / NO/ NA

1.3 The SMS requires that applicable codes, guidelines and standards recommended by IMO, Flag Administration, class societies and maritime industry organizations are taken into account (State where addressed)

CHAPTER 1

☐ YES / NO/ NA

2. Safety and Environmental Protection Policy (SEPP)

2.1 Company's SEPP is available (State how / where)

CHAPTER 2

☐ YES / NO/ NA

2.2 The SEPP describes how the objectives of the Code (to ensure safety of life at sea, prevention of human injury or loss of life, and avoidance of damage to the environment, in particular, to the marine environment, and to property) are met (Summarize)

CHAPTER 2

☐ YES / NO/ NA

2.3 SMS indicates that the Company ensures that the SEPP is implemented and maintained at all levels of the organization (State how)

CHAPTER 2

☐ YES / NO/ NA

3. Company Responsibilities and Authority

3.1 If the Company is not the Owner of the vessel(s), then the Company can demonstrate that the Administration(s) is / are aware of their full name and address, and the concerned vessel(s) (State evidence)

CHAPTER 3

☐ YES / NO/ NA

3.2 The interrelation between personnel with safety and pollution prevention functions, and their defined responsibilities and authorities is addressed.

☐ YES / NO/ NA

3.3 The responsibility of the Company to provide adequate resources and shore-based support is recorded (state where)

CHAPTER 3

☐ YES / NO/ NA

4. Designated Person(s)

4.1 Designated person(s) is / are documented in the SMS, and shown to have direct access to the highest level of management and are the link between the Company and the ships (State where)

CHAPTER 4

☐ YES / NO/ NA



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- 4.2 The SMS indicates that the designated person(s) has / have the responsibility and authority for monitoring safety and pollution prevention (State where) ☐ YES / ☐ NO / ☐ NA

CHAPTER 4

- 4.3 The SMS indicates that the adequate resources and shore based support are available to the designated person(s) (State how) ☐ YES / ☐ NO / ☐ NA

CHAPTER 4

5. Master's Responsibility and Authority

- 5.1 Master's responsibility with regard to the SEPP, including implementation, motivating the crew, issuing orders, and verifying that the requirements of the SMS are defined (State where) ☐ YES / ☐ NO / ☐ NA

CHAPTER 5

- 5.2 The SMS requires master(s) to review the same, and report any deficiencies to the Company (State how) ☐ YES / ☐ NO / ☐ NA

CHAPTER 5

- 5.3 The SMS establishes that the master has the overriding authority and responsibility to make decisions with respect to safety and pollution, and to request the Company's assistance (State where) ☐ YES / ☐ NO / ☐ NA

CHAPTER 5

6. Resources and Personnel

- 6.1 Documentation indicates the Company's responsibilities ensuring that master(s) is / are properly qualified for command, and is / are fully conversant with the SMS, and any changes to same (State where) ☐ YES / ☐ NO / ☐ NA

CHAPTER 6

- 6.2 The SMS indicates adequate resources and shore based support are available to the master (State where) ☐ YES / ☐ NO / ☐ NA

CHAPTER 6

- 6.3 There is a system to ensure that each vessel is manned with qualified, certificated and medically fit seafarers in accordance with national and international requirements (State method) ☐ YES / ☐ NO / ☐ NA

CHAPTER 6

- 6.4 Procedures exist relating to the instruction of new personnel, and persons transferred to new assignments, with regard to safety / environmental protection duties, including prior to sailing (State method, ship and shore) ☐ YES / ☐ NO / ☐ NA

CHAPTER 6

- 6.5 Procedures exist to ensure that shipboard officers and crew have a good understanding of the SMS operating onboard, including relevant rules, regulations and guidelines where necessary (State where) ☐ YES / ☐ NO / ☐ NA

CHAPTER 6

- 6.6 Procedures exist for identifying and implementing training required for support of the SMS (State method, ship and shore) ☐ YES / ☐ NO / ☐ NA

CHAPTER 6

- 6.7 Procedures exist to ensure that ship's personnel receive relevant information on the SMS in a language understood by them (State where and what method) ☐ YES / ☐ NO / ☐ NA

CHAPTER 6

- 6.8 The Company has a system to ensure that ship's personnel can communicate effectively with regard to SMS duties (State where) ☐ YES / ☐ NO / ☐ NA

CHAPTER 6

7. Development of Plans for Shipboard Operations

- 7.1 Plans / instructions for key shipboard operations relating to safety and pollution prevention, and associated tasks are defined ☐ YES / ☐ NO / ☐ NA

CHAPTER 7

- 7.2 A system exists for preparation of additional plans / instructions for key shipboard operations ☐ YES / ☐ NO / ☐ NA

CHAPTER 7



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- 7.3 Such shipboard operations plans / instructions assign tasks to qualified personnel ☐ YES / NO/ NA
- 7.4 A risk assessment in ship operations are identified properly. ☐ YES / NO/ NA
- 7.5 A fire safety risk assessment manual is on board (for solid in bulk cargoes) YES / NO/ ☐ NA

8. Emergency Preparedness

- 8.1 Company procedures for response to identified potential emergency shipboard situations exist (State where)
CHAPTER 8 ☐ YES / NO/ NA
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- 8.2 Documented programs for drills and exercises for emergency situations exist (State method)
CHAPTER 8 ☐ YES / NO/ NA
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- 8.3 The SMS includes measures to ensure the Company's organization can respond at any time to hazards, accidents and emergency situation involving its vessel(s) (State where)
CHAPTER 8 ☐ YES / NO/ NA
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9. Reports and Analysis of Non-conformities, Accidents and Hazardous Occurrences

- 9.1 Procedures exist to ensure that non-conformities, accidents and hazardous situations are reported to the Company, and that these are to be investigated and analyzed so as to improve safety and pollution prevention (State where)
CHAPTER 9 ☐ YES / NO/ NA
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- 9.2 Procedures exist to implementation of corrective actions including measurement to prevent recurrence (State where)
CHAPTER 9 ☐ YES / NO/ NA
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10. Maintenance of the Ship and Equipment

- 10.1 Procedures exist to ensure that vessel(s) and equipment are maintained in accordance with rules and regulations, and any additional Company rules (State where)
CHAPTER 10 ☐ YES / NO/ NA
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- 10.2 Procedures exist to ensure that required shipboard maintenance inspections are held at appropriate intervals, with appropriate records (State where)
CHAPTER 10 ☐ YES / NO/ NA
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- 10.3 Procedures exist to ensure that maintenance non-conformities relating to the ship and its equipment are reported, with possible cause, and appropriate corrective action is taken, both with appropriate records (State where)
CHAPTER 10 ☐ YES / NO/ NA
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- 10.4 Procedures exist to identify and to promote reliability of critical equipment and technical systems, the failure of which could result in hazardous situations, including the regular testing of stand-by equipment or systems not in continuous use (State where)
CHAPTER 10 ☐ YES / NO/ NA
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- 10.5 The Company has a system to ensure that the inspections and measures referred to above are recorded and integrated into the vessel(s) operational maintenance routines (State where)
CHAPTER 10 ☐ YES / NO/ NA
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11. Documentation

- 11.1 Procedures exist to control all documentation relating to the SMS, including ensuring that valid documents are available at all relevant locations, and that obsolete documents are promptly removed (State where)
CHAPTER 11 ☐ YES / NO/ NA
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- 11.2 The procedures ensure that changes to documents are reviewed and approved by authorized personnel (State where)
CHAPTER 11 ☐ YES / NO/ NA
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11.3 The Company has a system in place to ensure that each ship carries on board all documentation relevant to that ship (State where) **YES** / NO / NA

11.4 Procedure exists to correction of deficiencies found in PSC inspections, regarding to report immediately to PMA PSC section all PSC reports and correction of deficiencies. (state where) **YES** / NO / NA

11.5 Procedure exist to correction of deficiencies found in Flag State Inspection (ASI) and reporting to PMA by Monitoring and Correction of Deficiencies Reports (state where) **YES** / NO / NA

11.6 Procedure exist for pre-arrival verification conducted to the vessel; including the maintenance onboard of the objective evidence about the pre-arrival verification. **YES** / NO / NA

12.1	Procedures exist for internal safety audits to verify SMS compliance, and for possible corrective action (State where and frequency)	YES / NO / NA
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12.2	Procedures exist to evaluate periodically the efficiency of the SMS, and review when necessary (State where and frequency)	YES / NO / NA
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12.3 It is documented that internal audits are to be undertaken by person(s) involved, and timely, documented corrective actions are taken by the responsible management personnel (State where) **YES** / NO / NA

Any general remarks and comments should be recorded here. (Non-conformities and Observations are to be recorded separately in individual Non-conformity Notes. The identity of these notes shall be listed hereunder). Attach additional sheet(s) if necessary.

Carlos Pérez

Auditor name and signature



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