INTERNAL SHIPBOARD AUDIT REPORT

This report details the findings of the recent internal audit carried out by the Management.

Report Author: Capt. Thomas Hansen

Report Date: 02.11.2026

Distribution: Capt. Thomas Hansen
DPA / Shore Management
Ship Owner Representative

Attachments: Non-Conformity Notes
Observation Notes
Yacht Information Sheet
Yacht Tracking Workbook

Audit Location	Onboard MY Nordwind, Port of Antibes
Audit Date	02.11.2026
Purpose	Verify compliance with the ISM Safety Management System
Yacht Participants	Capt. Klaus Werner | Mr. Johansson | Ms. Müller | Mr. Schmidt
Auditors	Capt. Thomas Hansen | Mr. Peter Lange

Name of Yacht:	MY Nordwind	**Flag:**	Cayman Islands
Port of Registry:	George Town	**IMO Number:**	9876540
Official Number	740019	**Callsign:**	ZCXX9
Type of Registration:	Commercial (charter)	**Op Limits (Cat 0,1,2)**	Unrestricted
Builder / Model:	Example Yachts / Explorer 55	**Gross/Net Tonnage:**	499 / 149 GT
Keel Laid:	03.2018	**Year Built:**	2019
LOA	54.90 m	**Engine No. & Pwr**	2× MTU 12V 2000 M72, 2× 1,080 kW
Max Crew	12	**Max Guests**	12

Audit Summary	A combined internal ISM, ISPS and MLC audit was carried out on board in accordance with the company's Safety Management System, the Ship Security Plan and the applicable MLC requirements. Bridge, engine room, accommodation, galley and security arrangements were sampled and interviews were held with the Master, heads of department and crew. The crew demonstrated a good working knowledge of SMS and security procedures. Three non-conformities and six observations were raised and discussed with the Master at the closing meeting. Corrective actions for the non-conformities are to be completed and reported to the DPA within 30 days; observations are to be followed up before the next internal audit.

Terminology

OK Itemised verified and found to be satisfactory

NA Item not verified

NC Item verified and Non-conformance notice raised

OBS Item verified and Observation raised

Non-Conformities & Observations	Non-Conformities (Individual MA06s for each item)	
	NC Number	**Description**
	NC-01	ISM 1.1.2 – The SMS still refers to the superseded edition of the flag State yacht code; the current amendments have not been incorporated.
	NC-02	ISM 8.1.5 – The abandon ship drill of the previous month was recorded without an evaluation of crew performance or corrective actions, as required by the SMS drill procedure.
	NC-03	ISPS 7.1.3 – CCTV camera no. 4 covering the stern boarding area was not operational and no interim security measure had been recorded.
	Observations (To be placed onto a single MA06 for tracking to closure)	
	OBS Number	**Description**
	OBS-01	ISM 1.1.4 – Engineering crew were less confident than deck crew in explaining how the SMS is applied in daily operations. Refresher familiarisation is recommended.
	OBS-02	ISM 7.1.7 – The risk assessment for tender launching and recovery was last reviewed before the current season. A review before the next charter is recommended.
	OBS-03	ISM 10.1.6 – The emergency steering procedure is available, but no emergency steering drill has been carried out this season.
	OBS-04	ISPS 1.1.2 – The company security officer's contact details in the Ship Security Plan are out of date. The new number has been obtained from the company.
	OBS-05	MLC 1.1.2 – Labour-related records are complete but not consistently filed. A standardised filing structure is recommended.
	OBS-06	MLC 8.1.2 – The last potable water analysis was carried out five months ago. The six-monthly analysis is due within 30 days.

Please ensure that Section C of the attached Non-conformity and Observation notes are to be returned to the auditor.

ISM-Audit

1. ISM Scope and SMS Overview

1.1 SMS scope and vessel applicability

1.1.1	Is the Safety Management System scope clearly defined for this vessel and operation?	OK
1.1.2	Are applicable statutory, flag State, class and company requirements identified within the SMS?	NC

> ✎ *SMS still refers to the superseded edition of the flag State yacht code; the current amendments have not been incorporated (NC-01).*

1.1.3	Are safety and pollution-prevention objectives understood by senior shipboard personnel?	OK
1.1.4	Are shipboard personnel able to explain how the SMS is used in daily operations?	OBS

> ✎ *Deck crew familiar with the SMS; engineering crew less confident. Refresher familiarisation recommended (OBS-01).*

1.1.5	Are current ISM-related certificates or approvals available for verification where applicable?	OK

> ✎ *SMC and copy of the DOC on board, valid and endorsed for the last annual verification.*

1.2 ISM Scope and SMS Overview Comments

SMS scope and certificates verified. Senior officers explained the safety objectives well. The SMS references to flag State requirements need updating (NC-01); engineering crew familiarisation to be refreshed (OBS-01).

2. Safety and Environmental Protection Policy

2.1 Policy availability and implementation

2.1.1	Is a safety and environmental protection policy available on board?	OK
2.1.2	Is the policy approved, current and controlled as part of the SMS?	OK
2.1.3	Is the policy communicated to crew in a language or format they understand?	OK
2.1.4	Can crew describe the practical meaning of the policy for their work?	OK
2.1.5	Is there evidence that the company promotes safe practices and pollution prevention?	OK
2.1.6	Are policy commitments reflected in procedures, training and operational decisions?	OK
2.2	**Safety and Environmental Protection Policy Comments**	N/A

3. Company Responsibilities and Authority

3.1 Company structure and responsibilities

3.1.1	Is the company or ship manager responsible for operation clearly identified?	OK
3.1.2	Are lines of authority between shore management and vessel personnel defined?	OK
3.1.3	Are shipboard responsibilities for safety and environmental protection documented?	OK
3.1.4	Are shore-based responsibilities for supporting the vessel documented?	OK
3.1.5	Do crew know who to contact ashore for safety, operational or environmental matters?	OK
3.1.6	Is there evidence that shore management provides adequate resources and support?	OK

3.2	**Company Responsibilities and Authority Comments**	N/A

4. Designated Person

4.1 Designated person and access to management

4.1.1	Is the designated person or equivalent safety contact clearly identified?	OK
4.1.2	Do vessel personnel know how to contact the designated person?	OK
4.1.3	Is there evidence that the designated person monitors safety and pollution-prevention aspects?	OK
4.1.4	Is communication between vessel and designated person recorded where appropriate?	OK
4.1.5	Does the designated person have direct access to appropriate levels of company management?	OK
4.1.6	Are safety concerns escalated and followed up through defined channels?	OK
4.2	**Designated Person Comments**	N/A

5. Master's Responsibility and Authority

5.1 Master's authority and overriding responsibility

5.1.1	Are the master's responsibilities and authority documented in the SMS?	OK
5.1.2	Is the master's overriding authority for safety and pollution prevention clearly stated?	OK
5.1.3	Can the master explain when and how overriding authority may be used?	OK
5.1.4	Is the master responsible for motivating crew to observe the company's policy?	OK
5.1.5	Does the master review SMS implementation on board at defined intervals?	OK

✎ *Master's review for the last quarter completed and sent to the DPA.*

5.1.6	Are master's reviews, comments or improvement requests recorded and followed up?	OK
5.2	**Master's Responsibility and Authority Comments**	N/A

6. Resources and Personnel

6.1 Manning, competence and familiarisation

6.1.1	Is the vessel manned with qualified and medically fit personnel as required?	OK
6.1.2	Are certificates, endorsements and role-specific qualifications verified and current?	OK
6.1.3	Are crew members familiarised with their duties before taking responsibility?	OK
6.1.4	Is SMS familiarisation provided to new crew and recorded?	OK
6.1.5	Are training needs identified and addressed through planned training or drills?	OK
6.1.6	Are personnel able to communicate effectively for safety-critical operations?	OK
6.1.7	Are crew aware of relevant rules, procedures and emergency duties?	OK
6.2	**Resources and Personnel Comments**	N/A

7. Shipboard Operations

7.1 Operational procedures and controls

7.1.1	Are key shipboard operations identified in the SMS?	OK
7.1.2	Are procedures or checklists available for safety-critical operations?	OK
7.1.3	Are bridge, deck, engine and hotel/service operations covered as applicable?	OK
7.1.4	Are operational procedures kept current and accessible to relevant personnel?	OK
7.1.5	Is there evidence that procedures are followed during routine operations?	OK
7.1.6	Are deviations from procedures reported, justified and reviewed?	OK
7.1.7	Are risk assessments used for non-routine or higher-risk work?	OBS

> ✎ *Tender launching and recovery risk assessment last reviewed before the current season (OBS-02).*

7.1.8	Are permits to work or equivalent controls used for hazardous tasks where required?	OK

7.2 Shipboard Operations Comments

> Permit-to-work and checklists for key operations in use and sampled on deck and in the engine room. Tender operations risk assessment to be reviewed (OBS-02).

8. Emergency Preparedness

8.1 Emergency plans, drills and readiness

8.1.1	Are potential emergency shipboard situations identified in the SMS?	OK
8.1.2	Are emergency procedures available for relevant scenarios?	OK
8.1.3	Are emergency duties assigned and communicated to crew?	OK
8.1.4	Are drills and exercises planned at appropriate intervals?	OK
8.1.5	Are drills conducted, recorded and reviewed for improvement?	NC

> ✎ *Abandon ship drill of the previous month recorded without evaluation of crew performance or corrective actions (NC-02).*

8.1.6	Can crew demonstrate knowledge of alarms, muster duties and emergency communication?	OK
8.1.7	Are emergency contact details current and available?	OK
8.1.8	Is emergency equipment readiness checked and recorded as applicable?	OK

8.2 Emergency Preparedness Comments

> Muster list current and crew knew their emergency duties. Drill records need an evaluation of performance and follow-up actions (NC-02).

9. Non-Conformities, Accidents and Hazardous Occurrences

9.1 Reporting, investigation and corrective action

9.1.1	Is there a defined process for reporting non-conformities?	OK
9.1.2	Is there a defined process for reporting accidents and hazardous occurrences?	OK
9.1.3	Are near misses encouraged to be reported without undue blame?	OK

9.1.4	Are reports investigated to identify direct and underlying causes?	OK
	Last near-miss report two months ago; investigation closed with corrective action verified.	
9.1.5	Are corrective and preventive actions assigned, tracked and closed?	OK
9.1.6	Is effectiveness of corrective action verified where appropriate?	OK
9.1.7	Are lessons learned communicated to relevant personnel?	OK
9.2	**Non-Conformities, Accidents and Hazardous Occurrences Comments**	N/A

10. Maintenance of Ship and Equipment

10.1 Planned maintenance and technical reliability

10.1.1	Is the vessel maintained in conformity with applicable rules and company requirements?	OK
10.1.2	Is a planned maintenance system or equivalent process in use?	OK
10.1.3	Are inspection, testing and maintenance records available for critical equipment?	OK
10.1.4	Are deficiencies, defects and overdue maintenance items identified and controlled?	OK
10.1.5	Are critical systems and equipment identified in the SMS or maintenance system?	OK
10.1.6	Are contingency measures defined for sudden failure of critical equipment?	OBS
	Emergency steering procedure available; no emergency steering drill carried out this season (OBS-03).	
10.1.7	Are spare parts, tools or service arrangements adequate for safety-critical systems?	OK
10.1.8	Are statutory and class-related maintenance requirements monitored?	OK

10.2 Maintenance of Ship and Equipment Comments

> Planned maintenance system up to date; critical equipment identified and tested. Emergency steering drill to be scheduled (OBS-03).

11. Documentation

11.1 Document control and records

11.1.1	Are SMS documents controlled, approved and identifiable by revision status?	OK
11.1.2	Are current SMS documents available at points of use?	OK
11.1.3	Are obsolete or superseded documents removed or clearly marked?	OK
11.1.4	Are records legible, retrievable and retained according to company requirements?	OK
11.1.5	Are electronic records protected against loss, unauthorised change or uncontrolled duplication?	OK
11.1.6	Is there a process for proposing, approving and distributing SMS changes?	OK
11.1.7	Are statutory certificates, manuals and required publications available where applicable?	OK
11.2	**Documentation Comments**	N/A

12. Company Verification, Review and Evaluation

12.1 Internal audits, review and continual improvement

12.1.1	Are internal audits planned and conducted at defined intervals?	OK
12.1.2	Are internal auditors independent of the area audited where practicable?	OK
12.1.3	Are audit findings recorded, classified and communicated to responsible persons?	OK
12.1.4	Are corrective actions from audits tracked to completion?	OK
12.1.5	Does management periodically review SMS performance and effectiveness?	OK
12.1.6	Are results from audits, incidents, drills and feedback used for improvement?	OK
12.1.7	Are changes to operations, vessels or organisation reflected in SMS reviews?	OK
12.2	**Company Verification, Review and Evaluation Comments**	N/A

13. ISM Audit Close-Out

13.1 Audit completion and evidence summary

13.1.1	Have all applicable ISM areas been sampled sufficiently for the audit scope?	OK
13.1.2	Are objective evidence notes sufficient to support each finding?	OK
13.1.3	Are non-conformities and observations written clearly and traceably?	OK
13.1.4	Are responsible persons and target dates agreed for follow-up actions?	OK
13.1.5	Has the closing meeting or audit summary been completed with relevant personnel?	OK

13.2 **ISM Audit Close-Out Comments**

> Closing meeting held with the Master and heads of department. Findings were accepted; corrective actions for NC-01 and NC-02 to be reported to the DPA within 30 days.

ISPS-Audit

1. Security Administration and Records

1.1.1	Security responsibilities are assigned and communicated	OK
1.1.2	Security contact information is current	OBS

✎ *CSO contact details in the SSP out of date; new number obtained from the company (OBS-04).*

1.1.3	Security records are maintained and accessible	OK
1.1.4	Previous security findings have been reviewed	OK
1.2	**Security Administration Comments**	

ISSC valid and security records complete. CSO contact details in the SSP to be updated (OBS-04).

2. Security Documentation

2.1.1	Required security documentation is available	OK
2.1.2	Document revisions are controlled	OK
2.1.3	Security procedures are available to relevant personnel	OK
2.1.4	Security records are retained according to company requirements	OK
2.2	**Security Documentation Comments**	N/A

3. Security Organization and Awareness

3.1.1	Crew understand their security responsibilities	OK
3.1.2	Security awareness training has been conducted	OK
3.1.3	Personnel know how to report security concerns	OK
3.1.4	Key security roles are understood on board	OK
3.2	**Security Organization Comments**	N/A

4. Access Control

4.1.1	Procedures exist to control access to the vessel	OK
4.1.2	Visitors are identified and monitored	OK
4.1.3	Access points are appropriately controlled	OK
4.1.4	Restricted areas are identified	OK
4.2	**Access Control Comments**	N/A

5. Restricted Areas

5.1.1	Restricted areas are defined	OK
5.1.2	Access to restricted areas is controlled	OK
	✎ *Bridge, engine room and stores verified as restricted. Access logs complete.*	
5.1.3	Personnel understand restrictions	OK
5.1.4	Physical protection measures are maintained	OK
5.2	**Restricted Areas Comments**	N/A

6. Cargo, Stores and Deliveries

6.1.1	Deliveries are verified before acceptance	OK
6.1.2	Procedures exist for receiving stores	OK
6.1.3	Unexpected items are investigated	OK
6.1.4	Relevant records are maintained	OK
6.2	**Stores and Deliveries Comments**	N/A

7. Monitoring and Surveillance

7.1.1	Security monitoring arrangements are effective	OK
7.1.2	Security patrols or inspections are performed	OK
7.1.3	Security equipment is operational	NC
	✎ *CCTV camera no. 4 (stern boarding area) not operational; no interim measure recorded (NC-03).*	
7.1.4	Deficiencies are reported and addressed	OK
7.2	**Monitoring Comments**	
	Deck watches and lighting adequate. CCTV camera no. 4 to be repaired and an interim measure recorded until then (NC-03).	

8. Security Communications

8.1.1	Security communication procedures are established	OK
8.1.2	Relevant contact information is available	OK
8.1.3	Personnel know escalation procedures	OK
8.1.4	Communication systems are tested where applicable	OK
8.2	**Security Communications Comments**	N/A

9. Security Drills and Exercises

9.1.1	Security drills are planned	OK
9.1.2	Security drills are documented	OK
	✎ *Last security drill three weeks ago (bomb threat scenario). Records complete.*	
9.1.3	Lessons learned are reviewed	OK

9.1.4	Personnel participate as required	OK
9.2	**Drills and Exercises Comments**	N/A

10. Security Incidents

10.1.1	Security incidents are reported	OK
10.1.2	Investigations are documented	OK
10.1.3	Corrective actions are tracked	OK
10.1.4	Lessons learned are communicated	OK
10.2	**Security Incidents Comments**	N/A

11. Security Levels and Preparedness

11.1.1	Current security level is known	OK
11.1.2	Additional measures can be implemented when required	OK
11.1.3	Personnel understand response expectations	OK
11.1.4	Preparedness arrangements are periodically reviewed	OK
11.2	**Security Levels Comments**	N/A

MLC-Audit

1. Certification and Documentation

1.1 MLC Documentation

1.1.1	Are required labour-related certificates and documents available onboard?	OK
1.1.2	Are labour-related records maintained and accessible?	OBS

✎ *Records complete but not consistently filed. Standardised filing structure recommended (OBS-05).*

1.1.3	Are relevant documents controlled and kept up to date?	OK

1.2 Comments

MLC certificate and DMLC Parts I and II on board and valid. Labour-related records to be filed in a consistent structure (OBS-05).

2. Seafarer Employment Agreements

2.1 Employment Agreements

2.1.1	Do seafarers have valid employment agreements?	OK
2.1.2	Are employment terms clearly communicated?	OK
2.1.3	Are records of employment maintained?	OK

2.2 Comments N/A

3. Recruitment and Placement

3.1 Recruitment Practices

3.1.1	Are recruitment arrangements documented?	OK
3.1.2	Are crew qualifications verified before engagement?	OK

3.2 Comments N/A

4. Hours of Work and Rest

4.1 Work and Rest Records

4.1.1	Are work and rest hours recorded?	OK

✎ *Records for the last three months sampled for all departments; entries complete.*

4.1.2	Do records indicate compliance with applicable requirements?	OK
4.1.3	Are deviations reviewed and addressed?	OK

4.2 Comments N/A

5. Wages and Financial Security

5.1 Wages

5.1.1	Are wages paid regularly?	OK
5.1.2	Do seafarers receive wage statements?	OK
5.1.3	Are financial security arrangements available where required?	OK
5.2	**Comments**	N/A

6. Repatriation

6.1 Repatriation Arrangements

6.1.1	Are repatriation arrangements defined and available?	OK
6.1.2	Are crew informed of repatriation rights?	OK
6.2	**Comments**	N/A

7. Accommodation and Recreation

7.1 Accommodation

7.1.1	Are accommodation areas clean and habitable?	OK
7.1.2	Are sanitary facilities maintained?	OK
7.1.3	Are recreational facilities available and maintained?	OK
7.2	**Comments**	N/A

8. Food and Catering

8.1 Food and Water

8.1.1 Is adequate food available onboard? — OK

> ✎ *Galley and provisions inspected. Food handling procedures adequate.*

8.1.2 Is drinking water available and suitable for use? — OBS

> ✎ *Last potable water analysis five months ago; six-monthly analysis due within 30 days (OBS-06).*

8.1.3 Are food preparation areas maintained hygienically? — OK

8.2 **Comments**

> Galley clean and provisions sufficient for the planned voyage. Potable water analysis due within 30 days (OBS-06).

9.1 Medical Arrangements

9.1.1	Is medical equipment available and maintained?	OK
9.1.2	Are medical procedures available onboard?	OK
9.1.3	Are medical records managed appropriately?	OK
9.2	**Comments**	N/A

10. Occupational Safety and Health

10.1 Safety Management

10.1.1	Are occupational safety procedures implemented?	OK
10.1.2	Is PPE available where required?	OK
10.1.3	Are incidents and accidents recorded and reviewed?	OK
10.2	**Comments**	N/A

11. Welfare and Communication

11.1 Crew Welfare

11.1.1	Do seafarers have access to welfare facilities where available?	OK
11.1.2	Are communication arrangements available where applicable?	OK
11.2	**Comments**	N/A

12. Complaint Procedures

12.1 Complaint Handling

12.1.1	Are onboard complaint procedures available?	OK
12.1.2	Can complaints be raised confidentially?	OK
12.1.3	Are complaints tracked and reviewed?	OK

✎ *Complaints log available. No complaints recorded in the past 12 months.*

12.2	**Comments**	N/A