

DRAFT  
Company Action Plan  
FOR  
Sample Company

Table of Contents

DRAFT Company Action Plan.....	1
Company Action Plan (CAP) approval letter.....	2
Company Commitment Statement.....	3
Company organization chart sip support personnel.....	4
Authority Statement .....	5
Responsibilities and Authorities of SIP Support Personnel.....	6
Method of Adoption of the SIP .....	7
Company Safety Program.....	9
Company Environmental Protection Program .....	10
Company training .....	11
Master list of SIP Documents and Inspection Criteria References (ICR).....	12
Program Inspection and Review (PIR).....	12
Inspection Schedule and Verification (ISV).....	13
Exam Checklist .....	15
Correction Report (CR) .....	17
Inspection Criteria References (ICR) .....	19
USCG Inspection Form.....	20
Appendices .....	24

Company Action Plan (CAP) approval letter  
46 CFR 8.530 (a) (1)

[In your final document you will insert or attach Approval Letter from OCMI]

Company Commitment Statement  
46 CFR 8.530 (a) (2)

The following statements on Organizational Commitment are made by the company officer as required by 46 CFR 8.530 (a) (2)

- YES        The Company agrees to join a partnership in maritime safety with the United States Coast Guard.
- YES        The Company agrees that maritime safety is responsibility shared by the company and United States Coast Guard.
- YES        The Company agrees that maritime safety can be successfully accomplished as a joint venture with the United States Coast Guard
- YES        The Company agrees to base the partnership in safety on the provisions of an approved Streamlined Inspection Program.
- YES        The Company agrees that the intent of the plan is to save the company and the United States Coast Guard time, money and human resource hours while ensuring that vessel safety is not compromised.
- YES        The company agrees that all vessel systems will be inspected or tested by SIP trained and certified SIP examiners
- YES        The Company agrees that the frequency of inspections and testing of the vessel systems will meet or exceed the testing and inspections required by current Coast Guard regulations.
- YES        The company will train licensed officers and crew participating in SIP in proper testing and inspection criteria as well as the proper use of the SIP related reports.
- YES        The company agrees that in order for SIP to work efficiently an open line of communication must be maintained between the company and the United States Coast Guard.
- YES        The Company will as part of it's commitment to the SIP program designate in the company action plan a SIP Agent and a Company SIP Representative with the responsibility and authority to fulfill the requirements of the Company action plan and the Vessel Action plans
- YES        Are you in a position to commit company resources and personnel to work with an designated USCG SIP Advisor to complete a company action plan and a vessel plan for each vessel that is part of this application.

The company looks forward to entering SIP and would add additional comments in this space if it wanted to.

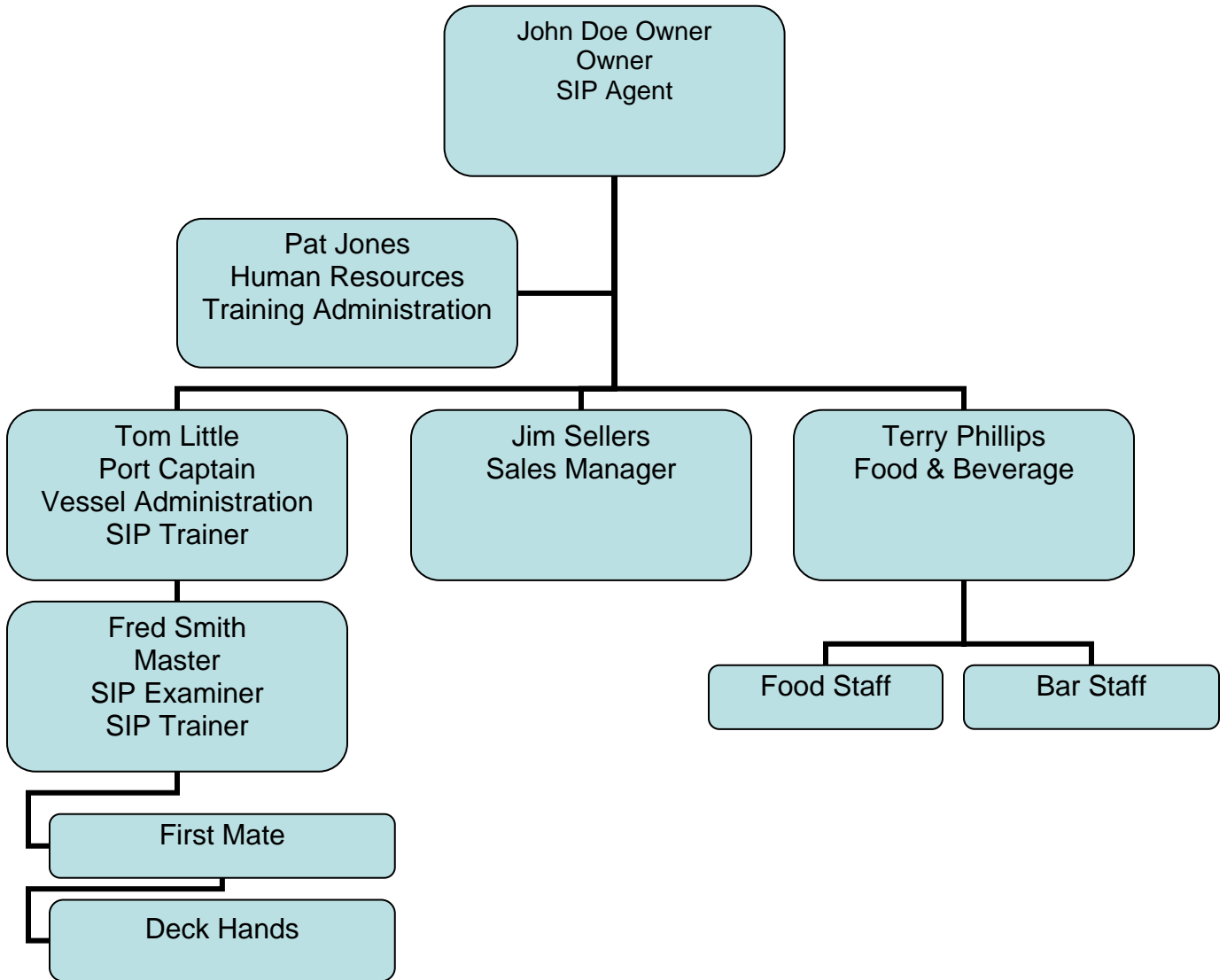
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John Doe Owner  
Owner

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Date

Company organization chart sip support personnel  
46 CFR (a) (3)



Authority Statement  
46 CFR 8.530 (a) (4)

**Company SIP Agent**

**The individual who is responsible for the Company Action Plan and the Vessel Action Plan development and implementation and who has the authority to bind the company to the terms of these plans.**

***The Agent representing the company to enter into this agreement is designated below***

John Doe Owner  
Owner

Agent Signature  
888-888-8880

**The Coast Guard has authorized the company to participate in this program. Any Coast Guard interaction concerning a vessel covered by this plan must be in accordance with this approved Action Plan. There must be no deviation from this plan by the Coast Guard, Company, Vessel Licensed Officers or crew. Any deviation from this Action Plan by any of the involved parties, including the United States Coast Guard, must be communicated to both the Agent (noted above) and the OCMI (noted below) prior to any further action by either party.**

Home Port OCMI - Print Name

Home Port OCMI - Signature

Telephone

Responsibilities and Authorities of SIP Support Personnel  
46 CFR 8.530 (a) (4)

**Company Participants and Their Responsibilities**

The employees listed below are participating in the Streamline Inspection Program (SIP) and are charged with the specific duties, responsibilities, and authorities as listed below.

The SIP participating employees listed here understand that with these responsibilities they are also empowered with the authority to fulfill these responsibilities and if necessary have authority to initiate corrective action as required by the SIP action plans

***Company SIP Agent***

The individual who is responsible for the Company Action Plan and the Vessel Action Plan development and implementation and who has the authority to bind the company to the terms of these plans.

John Doe    Owner                      Owner

**Signature**

***SIP Examiner***

Company individual responsible for the periodic examination, recording of findings, and repair/maintenance of a vessel system/subsystem as identified in the VAP.

Fred Smith                      Master

**Signature**

***Training***

Designated by the SIP Agent: This Function includes assisting the Training coordinator in training SIP Licensed Officers and Crew.

Fred Smith                      Master

**Signature**

Pat Jones                      Human Resources

**Signature**

Tom Little                      Port Captain

**Signature**

***Training Administration***

Designated by the company SIP AGENT: This Function includes scheduling, recording and tracking of all required training.

Pat Jones                      Human Resources

**Signature**

## Method of Adoption of the SIP 46 CFR 8.530 (a) (5)

The following is a summary of how the company plans to integrate the applicable subpart regulations into the SIP:

The Company SIP Agent will develop the CAP and VAP with guidance from the Coast Guard SIP Advisor for OCMI approval. The plans will be developed to satisfy the requirements of 46 CFR 8.530 Plan Development and Approval.

When the CAP and VAP(s) have been approved by the cognizant OCMI, the company may begin training and operating under the plans.

This evaluation phase will comply with 46 CFR 8.535 Training and operational evaluation requirements and includes the following:

(a) The company will provide the designated SIP support personnel with training as required by the CAP.

(b) The vessel must operate and be examined under the VAP for a period of at least 3 months.

(c) During the operational periods, (or any additional operational periods under a revised CAP or VAP as may be required by the cognizant OCMI ) the Coast Guard SIP Advisor will conduct an ongoing evaluation of the vessel's operation, the training records, and the ability of all designated persons to perform their assigned functions under the VAP. The Coast Guard SIP Advisor will report periodically to the cognizant OCMI and the Company SIP Agent on the vessel's performance, and make recommendations, if needed.

Upon successful completion of the training and evaluation phase, in accordance with 46 CFR 8.540 Enrollment in SIP, the Coast Guard SIP Advisor will recommend to the OCMI that the company or vessel be enrolled in the SIP. If the OCMI concurs with the recommendation, he or she will issue an enrollment letter and endorse the vessel's COI. Subsequent inspections covered under this subpart will be conducted in accordance with the approved VAP.

Corrective action process summary: The Action plan will include several forms

- ISV form to define what gets inspected and when
- Detailed exam checklist to conduct individual inspections and record results
- Correction report form to do the following:
  - Record discrepancies
  - Set correction time line for the following:
    - Action to be taken per the ICR
    - Follow up

All SIP Support personnel involved in the examinations will be trained in the proper examination and recording process and are empowered to initiate corrective action.

The following will summarize the company's system used to initiate corrective action under SIP.

- Inspection Schedule and Verification (ISV) Forms.
  - This document is vessel specific and list the items to be inspected and the intervals for their inspection, and on which is recorded the completion of required examinations and tests conducted by designated company employees.
- Examination Checklist (EC)
  - The form approved in the VAP, to be used by company employees to record the periodic examinations required by the VAP.
- Correction Report (CR)
  - This document sets out specific vessel deficiencies and is used to record their correction by the company. Correction Reports will identify a specific deficiency, the date it was

identified, the corrective measure taken, the repair date, and the source or vendor

- Inspection Criteria References (ICR)
  - The individual pages in the VAP that list each item on the vessel required by regulation to be periodically inspected. ICRs indicate every possible system/subsystem on a vessel, required by regulation, which must be periodically inspected. The ICR provides specific reference to the relevant CFR and explains the criteria or performance standard. The ICR also outlines the corrective action to be taken when a deficiency is noted during periodic inspections.



# Company Safety Program

## 46 CFR 8.530 (a) (6)

### Introduction

Providing a safe work environment is every employee's responsibility. In addition to general handbook information and work rules, each employee is provided with a general safety handbook as part of the safety program to outline good safe work habits required to maintain a safe environment for our guests and employees.

### Purpose

The purpose of this information is to provide general workplace safety information. The information covered is outlined below.

### Objectives

To provide general safety information to all employees.  
Raise awareness of factors that effect workplace safety.

### Safety Program

Basic Safety Training. Provides general workplace safety training.

#### Topics Include:

- General fire prevention
- Prevent Slips trips and fall
- MSDS information and Chemical safety.
- Electrical Safety
- Using personal protective devices.
- Incident reporting
- Safety Officer, Corrective actions following reported accidents.

### Drug and alcohol program

Provides the policy and procedures for the company's drug program.

And includes

- (1) policy for employees that do not submit to a required test in a timely fashion,
- (2) policy/procedures for facilitating and documenting attempts to contact employees by the Medical Review Officer,
- (3) designated person (or organization) with knowledge of the program who maintains an up-to-date file of the applicable regulations.

# Company Environmental Protection Program

## 46 CFR 8.530 (a) (7)

### Introduction

Protecting the environment we live in is every employee's responsibility. The Company is providing general information about environmental issues and our policies designed to maintain a clean natural and beautiful environment, and to meet our obligations defined by law.

### Purpose

The purpose of this information is to meet the regulatory requirement to adequately train employees and to provide general workplace environmental information. The information covered is basic environmental compliance and common sense information that can help prevent pollution and maintain a clean environment. Also included is the outline of our Oil spill response program.

### Objectives

To provide general environmental information to all employees, and raise awareness of factors that effect workplace environmental protection.

To provide additional information on emergency oil spill response to necessary spill responders.

### Table of Contents

Introduction  
Purpose and Objectives  
Environmental Issues  
    Air  
    Water  
    ETC

Oil Spill response procedures.

Company training  
46 CFR 8.530 (a) (8)

a. Description of training infrastructure

Objective(s):

To provide training for marine staff involved in the Streamlined Inspection Program tailored to their specific responsibilities as outlined in this Action Plan.

Procedures:

1. The Trainer will provide an overview of SIP detailing what roles various employees will play in the Program.
2. The Trainer will identify the employees' responsibilities in the Program.
3. Employees will be trained on the use of all SIP forms.

b. Description of training recording and tracking system

The Training Administrator will enroll employees into the program based on the specifics of the employee's job description.

The Training Administrator will maintain records that record each employee's progress.

c. Description of training for designated sip personnel

Employee training modules utilize the following methods:

1. Organize classroom type instruction of crewmembers with the use of audio and visual aids when available.
2. Test knowledge by written test as part of the module certification.
3. Instruct and demonstrate on board vessel with hands-on skills checked off by trainer
4. Provide instruction by vendors and subcontractors on some systems, i.e., fire fighting, CPR, first aid, etc.

Training Topics Include Training modules on:

- General Safety Program
- Environmental Program
- General Deckhand Training
- Drug and Alcohol program
- Standard First Aid
- CPR
- First Mate / Senior Deckhand Training
- SIP Training

Master list of SIP Documents and Inspection Criteria References (ICR)  
46 CFR 8.530 (a) (9)

Program Inspection and Review (PIR)

This document is not provided on the USCG web site: it is an ISV like document that provides a list of CAP and VAP components that must be reviewed and updated on a scheduled base. It provides a convenient checklist of the items that must be reviewed on a scheduled base to maintain the CAP and VAP up to date.

Items to consider include:

CAP

- Organizational Chart
- Responsibilities and Authority

VAP

- Review ISV
- Review ICR for new regulations, new vessel equipment.
- Review exam checklist
- Review and file last years SIP Reports and records.

Training records

- Review training methods and records

Training Contents

- Review the contents of all training programs for necessary modifications

Regulatory compliance

- Dry dock schedules
- Inspection Dates (SIP Audit)
- Documentation Renewal
- User fees

This is an optional form that is recommended by this interactive guide as a convenient manner to insure that the CAP and VAP remain up to date.

## Inspection Schedule and Verification (ISV)

The **Inspection Schedule Verification (ISV)** Form is a “universal form.” This form may be used for all vessel-types.

In order to prepare the form, the Company SIP Agent will:

- Blackout completely those ICR items that do not apply to the vessel in question.
- Identify the Inspection Interval for the specific ICR item by blacking out the months that the ICR item will not be inspected, leaving open the period when it will be.
- At the conclusion of a scheduled inspection, the appropriate month block for the ICR item will be initialed by the Company SIP Agent.
- If a Correction Report (CR) is filled out as a result of the inspection, the “CR” column will also be checked for that month.

CAP DRAFT NOTE: since this is a draft document and the company plans to make use of the standard USCG versions of available on the SIP web site, the actual draft form is omitted here to save space. The first page is provided for reference; The ISV is designed for printing on landscape paper and will not be complete in this format. The final version will be printed in its entirety.



## Exam Checklist

The **Examination Checklist (EC)** is a “universal form.” This form may be used for all vessel-types. It is an optional form added to this guidance for convenience. Companies may design their own checklists.

In order to prepare the form, the Company SIP Agent will:

- Blackout completely those ICR items that do not apply to the vessel in question.
- Note whether or not the item was found satisfactory in the appropriate column (OK/NOT OK)
- Make comments on the inspected item in the Comments column. Extended comments may be made on additional paper/ another journal/other record, noting that fact on the EC.
- Items found unsatisfactory (NOT OK) may require a Correction Report (CR) to be filed.

CAP DRAFT NOTE: The Company plans to use the standard version available from the USCG SIP web site: in the interest of space the entire document is not included in this draft document.

**VESSEL NAME:**

**O.N.:**

**DATE:**

<b>A. PAPERWORK—INCLUDING FORMS, NOTICES, PUBLICATIONS &amp; CREW REQUIREMENTS</b>	<b>OK</b>	<b>NOT OK</b>	<b>DATE</b>	<b>COMMENTS</b>
01 Ensure the following certificates are on board and valid				
a) Certificate of Inspection				
b) FCC Certificate/license				
c) COFR				
d) Certificate of Documentation				
e) Stability Letter				
f) Officers License				
g) Vessel Action Plan available				
02 Verify the following publications are on board				
a) Navigation Rules				
b) Coast Pilot				
c) 46CFR166-199				
03 SOLAS Forms				
a) Plans posted				
1. General arrangement				
2. Fire control plan				
b) Rules and Regs for class of vessel				
d) Markings: Conspicuous and legible				
04 Following on board:				
a) Pollution/Marpol Placard				
b) Waste management plan				
05 Coast Guard Forms				
a) CG-809: Station bills & drills				
b) CG-811: Life saving signals & instructions				
c) CG-841: Certificate of Inspection				
d) CG-848: Station Bill				
e) CG-2832: Vessel Inspection Record				
f) CG-3372: Oil Pollution				
g) Stability Letter				
06 Vessel manning				
a) Number of officers and unlicensed crew required				
b) Licenses valid, endorsed, posted				
07 Obtain the following				
a) Fire extinguishing service report				
b) Lifteraft servicing report				
08 Placards, Notices, and Markings				
a) Passenger notices				
b) Markings: Conspicuous and legible				



## Correction Report (CR)

The **Correction Report (CR) Form** is relatively self-explanatory. One is filled-out anytime a deficiency is found in a vessel system required to be inspected in accordance with the Vessel Action Plan (VAP). A CR is to complete whether or not the item is repaired on the spot or remains outstanding.

In order to prepare the form, the Company SIP Agent will:

- Fill in all of the blanks on the form with the appropriate information.
- Copies of all CRs for the last annual USCG oversight inspection interval are to be provided to the Coast Guard Marine Inspector.
- The “show stopper” items identified in the VAP will require the USCG to be immediately notified and repairs made before the vessel goes back into service.

**STREAMLINED INSPECTION PROGRAM  
CORRECTION REPORT**

**Vessel Name:** \_\_\_\_\_ **Official Number:** \_\_\_\_\_

**Company:** \_\_\_\_\_ **Phone Number:** (\_\_\_\_) \_\_\_\_\_  
**Company SIP Agent:** \_\_\_\_\_

**DEFICIENCY**

**ICR Number:** \_\_\_\_\_ **Deficiency Code:** \_\_\_\_\_  
**Description:**  
  
**Date Discovered:** \_\_\_ / \_\_\_ / \_\_\_ **Date correction required:** \_\_\_ / \_\_\_ / \_\_\_  
**Individual initiating Correction Report:**

**Corrective Action:**  
  
  
  
  
  
  
  
  
  
**Date corrected:** \_\_\_ / \_\_\_ / \_\_\_  
**Individual correcting Correction Report:**

## Inspection Criteria References (ICR)

The **Inspection Criteria References (ICR)** are grouped in pre-developed forms by the subchapter in Title 46 applicable to the vessel the Vessel Action Plan (VAP) is being developed for. They are comprised of four sections.

- **Section One** identifies the System, Subsystem, and the ICR Number for referencing the item.
- **Section Two** identifies the authorities—Who is the authorized inspector, what the specific reference for requiring the inspection item, and what the inspection frequency is for that item.
- **Section Three** provides the inspection criteria—how to determine if the item is in compliance.
- **Section Four** identifies what actions are required if the item is found deficient.

In order to prepare the form, the Company SIP Agent will:

- Delete those ICR items that do not apply to the vessel in question.
- Add ICRs for vessel systems that are not provided for in the subchapter specific package, but remain required elements for the vessel inspection program.
- Note all changes on the Record of Changes page.

The company plans to incorporate the complete document that is specific to the class of vessel(s) included in the Application, the complete document is available on the SIP home page and in the interest of saving space as part of this draft the complete document is omitted.

**PARTICULARS**

VESSEL NAME: \_\_\_\_\_ VIN: \_\_\_\_\_

GEOGRAPHIC LOCATION (City, State): \_\_\_\_\_

PHYSICAL LOCATION (Berth, Pier): \_\_\_\_\_

SIP VESSEL REPRESENTATIVE: \_\_\_\_\_

COAST GUARD MARINE INSPECTOR: \_\_\_\_\_

OTHERS ATTENDEES: \_\_\_\_\_

**INSTRUCTIONS**

This Coast Guard inspection is to take the form of a SIP Inspection of the vessel's SIP documents, spot checks to verify that the conditions aboard the vessel have been properly documented, and corrective actions have been taken in a timely manner.

Oversight of the SIP involves addressing four general categories of performance indicators:

1. Changes in operational parameters,
2. Breakdowns within the SIP process,
3. Materiel deficiencies, and
4. External indicators.

By keeping these indicators in mind during the SIP Inspection, a proper evaluation of the condition of the SIP will be made. (A review of the Causes for Automatic Disenrollment or Remedial Action found in Section IV of this guidance may be helpful.)

This Coast Guard SIP Inspection Form is broken down into the following four categories. instructions on how to fill it out are provided in each section.

Administrative review,  
SIP Performance review,  
Materiel review, and  
Conclusion / Recommendation.

A copy of this Coast Guard SIP Inspection Form is to be provided to the SIP Vessel Representative upon completion for placement in the VAP.

→ **The USCG SIP Inspector will collect copies of all ISVs and CRs, ensuring proper deficiency codes are noted, if required.**

**ADMINISTRATIVE REVIEW**

1. Review last Coast Guard SIP Inspection Form noting any problem areas.  
Date of report: \_\_\_\_\_
2. Review and verify contents of Vessel Action Plan.
  - a. OCMI Approval Letter;;
  - b. Method of Adoption of the SIP Into The Company and Vessel;
  - c. Vessel Tailored Inspection Criteria References (ICR);
  - d. Vessel Tailored Inspection Schedule and Verification (ISV) Forms;
  - e. Vessel Tailored Exam Checklists; and,
  - f. Correction Reports.
  - g. Prior CG SIP Inspection Forms
3. Review and examine third party certifications:
  - a. Firefighting service reports
  - b. Lifesaving service reports
  - c. Automation service reports
  - d. Cargo gear service reports
  - e. Other reports not listed: \_\_\_\_\_
4. Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**SIP PERFORMANCE REVIEW**

1. Discuss SIP procedures with the SIP Vessel Representative and SIP Examiner(s). Determine if their knowledge of the SIP is current and remains adequate.
2. Discuss the implementation of the SIP on this vessel. Have there been deterrents or hindrances? Is the VAP sufficient to ensure the safety of the vessel and crew? Have there been recurring problems or deficiencies? Discuss the methods used to overcome these problems.
3. Through discussions with the SIP Vessel Representative and SIP Examiner(s), determine if the SIP ICRs being used on this vessel are sufficient for the equipped systems and subsystems.
4. Review ISVs and CRs from the previous twelve months. Review Exam Checklists from any three of the previous 12 months. Note contradictions between forms or incorrect form completion.
5. Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**MATERIEL REVIEW**

1. Conduct a walk-through of the vessel with the SIP Vessel Representative to determine the vessel's general condition. While on the walk-through conduct the following:

a. Witness the testing of at least three subsystems; one from the Lifesaving system, one from the Firefighting system and one other system. Request the SIP Examiner demonstrate the inspection criteria for each of these subsystems.

- Demonstrated items were:

for Lifesaving - ICR Number:    \_\_\_ \_\_\_

for Firefighting - ICR Number:   \_\_\_ \_\_\_

for \_\_\_\_\_ - ICR Number:    \_\_\_ \_\_\_

b. Inspect at least three additional subsystems. (Preferably ones that had deficiencies noted on a recent Examination Checklist, ISV or CR. Request the SIP Examiner explain why the subsystem item needed correction and the method used to correct the item. Compare the actual state of the item against the CR entry.)

- Items examined were:

ICR Number:    \_\_\_ \_\_\_

ICR Number:    \_\_\_ \_\_\_

ICR Number:    \_\_\_ \_\_\_

2. Witness a fire and abandon ship drill conducted by the vessel crew.

3. Comments:

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**CONCLUSION / RECOMMENDATION**

1. The vessel has been satisfactorily maintained at the required level of safety. \_\_\_\_\_
2. There are deficiencies which require remedial action, such as, revisions in VAP or SIP forms, closer adherence to the defined program, any of which may warrant additional Coast Guard and company interaction. \_\_\_\_\_
3. There are deficiencies that require disenrollment from the program. \_\_\_\_\_

**COAST GUARD MARINE INSPECTOR:** \_\_\_\_\_

**SIP VESSEL REPRESENTATIVE:** \_\_\_\_\_

(Signatures)



Appendices  
46 CFR 8.539 (a) (10)

The Company understands that each vessel approved for enrollment into SIP will require a Vessel Action Plan. This vessel action plan(VAP) will be developed with the assistance of the USCG SIP Advisor that will be assigned after the application for enrollment is approved. The VAP will include the elements outlined in NVIC 2-99 and will utilize vessel specific versions of the forms listed in the CAP.

In the interest of saving space the VAP is not attached to this Draft CAP, however the company is prepared to complete the VAP fro each vessel to include with the final version of the CAP submitted for OCMI approval into SIP.