

TVIB – RCP MANAGEMENT AUDIT CHECKLIST

Table of Contents

Introduction

Section 1 – General

Section 2 – Safety Policy and Program

Section 3 – Security Policy and Program

Section 4 – Environmental Policy and Program

Section 5 – Company Employees Responsibilities and Authorities

Section 6 – Resources and Personnel

Section 7 – Plans and Procedures for Vessel Operations

Section 8 – Emergency Response Procedures

Section 9 – Incident Investigation and Review

Section 10 – Maintenance and Repair of Vessels

Section 11 – Internal Auditing

Section 12 – Document Control

Towing Vessel Addendum

Last Revised: 07.30.2013

1. General

1.1	What is the official name of the company?																													
1.2	What is the company's mailing address?																													
1.3	What is the company's physical address?																													
1.4	What is the company's primary telephone number?																													
1.5	What is the company's primary fax number?																													
1.6	List 24 hour phone numbers for office:																													
1.7	List key employees whose areas of responsibility impact towing vessel operations: <table border="1"> <thead> <tr> <th>Name</th> <th>Title</th> <th>Experience</th> <th>Audit Participant</th> </tr> </thead> <tbody> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>Y N</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>Y N</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>Y N</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>Y N</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>Y N</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>Y N</td> </tr> </tbody> </table>		Name	Title	Experience	Audit Participant	_____	_____	_____	Y N	_____	_____	_____	Y N	_____	_____	_____	Y N	_____	_____	_____	Y N	_____	_____	_____	Y N	_____	_____	_____	Y N
Name	Title	Experience	Audit Participant																											
_____	_____	_____	Y N																											
_____	_____	_____	Y N																											
_____	_____	_____	Y N																											
_____	_____	_____	Y N																											
_____	_____	_____	Y N																											
_____	_____	_____	Y N																											
1.8	List all individuals participating in the management audit (other than those noted in 1.7): <table border="1"> <thead> <tr> <th>Name</th> <th>Title</th> <th>Experience</th> </tr> </thead> <tbody> <tr><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td><td>_____</td></tr> </tbody> </table>		Name	Title	Experience	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____							
Name	Title	Experience																												
_____	_____	_____																												
_____	_____	_____																												
_____	_____	_____																												
_____	_____	_____																												
_____	_____	_____																												
_____	_____	_____																												
1.9	Who is the point of contact for follow-up to this audit?	Name: Telephone Number: E-mail Address:																												
1.10	Briefly describe the marine service provided to customers.																													

1. General

1.10.1	List vessels owned and/or operated: <table border="1"> <thead> <tr> <th data-bbox="254 239 521 270">Name</th> <th data-bbox="545 239 721 270">Off. No.</th> <th data-bbox="745 239 862 270">Length</th> <th data-bbox="886 239 932 270">HP</th> <th data-bbox="1021 239 1133 270">GRT/ITC</th> <th data-bbox="1222 239 1430 270">Owned/Operated</th> </tr> </thead> <tbody> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>☐ ☐</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>☐ ☐</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>☐ ☐</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>☐ ☐</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>☐ ☐</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>☐ ☐</td> </tr> </tbody> </table>	Name	Off. No.	Length	HP	GRT/ITC	Owned/Operated	_____	_____	_____	_____	_____	☐ ☐	_____	_____	_____	_____	_____	☐ ☐	_____	_____	_____	_____	_____	☐ ☐	_____	_____	_____	_____	_____	☐ ☐	_____	_____	_____	_____	_____	☐ ☐	_____	_____	_____	_____	_____	☐ ☐
Name	Off. No.	Length	HP	GRT/ITC	Owned/Operated																																						
_____	_____	_____	_____	_____	☐ ☐																																						
_____	_____	_____	_____	_____	☐ ☐																																						
_____	_____	_____	_____	_____	☐ ☐																																						
_____	_____	_____	_____	_____	☐ ☐																																						
_____	_____	_____	_____	_____	☐ ☐																																						
_____	_____	_____	_____	_____	☐ ☐																																						
1.11	Briefly describe the nature of the equipment operated by the company.																																										
1.11.1	Briefly describe the area(s) of operations for this company.																																										
1.12	List the number of vessels owned or bareboat chartered in by the company and operated by employees:																																										
1.12.1	List the number of vessels chartered in by the company and operated by non-employees:																																										
1.12.2	List the approximate percentage of in-chartered vessels operated by non-employees which comply with the provisions of the Responsible Carrier Program:																																										
1.12.3	List the approximate number of company vessel employees:																																										
1.12.4	List the number of shore-based employees:																																										
1.12.5	Attach an organizational flow chart depicting key individuals and their general duties in the company.																																										

1. General

1.13	List all individuals participating in the closing meeting(s): <table border="1"> <thead> <tr> <th data-bbox="250 268 586 302">Name</th> <th data-bbox="591 268 906 302">Title</th> <th data-bbox="911 268 1149 302">Management</th> <th data-bbox="1154 268 1510 302">Towing Vessel</th> </tr> </thead> <tbody> <tr> <td data-bbox="250 352 586 365">_____</td> <td data-bbox="591 352 906 365">_____</td> <td data-bbox="911 338 1149 365" style="text-align: center;">☐</td> <td data-bbox="1154 338 1510 365" style="text-align: center;">☐</td> </tr> <tr> <td data-bbox="250 415 586 428">_____</td> <td data-bbox="591 415 906 428">_____</td> <td data-bbox="911 401 1149 428" style="text-align: center;">☐</td> <td data-bbox="1154 401 1510 428" style="text-align: center;">☐</td> </tr> <tr> <td data-bbox="250 478 586 491">_____</td> <td data-bbox="591 478 906 491">_____</td> <td data-bbox="911 464 1149 491" style="text-align: center;">☐</td> <td data-bbox="1154 464 1510 491" style="text-align: center;">☐</td> </tr> <tr> <td data-bbox="250 541 586 554">_____</td> <td data-bbox="591 541 906 554">_____</td> <td data-bbox="911 527 1149 554" style="text-align: center;">☐</td> <td data-bbox="1154 527 1510 554" style="text-align: center;">☐</td> </tr> <tr> <td data-bbox="250 604 586 617">_____</td> <td data-bbox="591 604 906 617">_____</td> <td data-bbox="911 590 1149 617" style="text-align: center;">☐</td> <td data-bbox="1154 590 1510 617" style="text-align: center;">☐</td> </tr> <tr> <td data-bbox="250 667 586 680">_____</td> <td data-bbox="591 667 906 680">_____</td> <td data-bbox="911 653 1149 680" style="text-align: center;">☐</td> <td data-bbox="1154 653 1510 680" style="text-align: center;">☐</td> </tr> </tbody> </table>				Name	Title	Management	Towing Vessel	_____	_____	☐	☐	_____	_____	☐	☐	_____	_____	☐	☐	_____	_____	☐	☐	_____	_____	☐	☐	_____	_____	☐	☐
Name	Title	Management	Towing Vessel																													
_____	_____	☐	☐																													
_____	_____	☐	☐																													
_____	_____	☐	☐																													
_____	_____	☐	☐																													
_____	_____	☐	☐																													
_____	_____	☐	☐																													
1.14	Auditor's name: Auditor's title:																															
1.14.1	Auditor's company: Phone:																															
1.14.2	Auditor's company address:																															
1.14.3	Signature: Date:																															

2. Safety Policy and Program

			Yes	No	Notes
2.1	Does a written company safety policy exist? (RCP II-B-1)				
2.1.1(a)	Does the safety policy include employee accountability? (RCP II-B-1a)				
2.1.1(b)	Does the safety policy include employees' commitment to safety? (RCP II-B-1a)				
2.1.2(a)	Is the company's safety policy simple?				
2.1.2(b)	Is the company's safety policy well documented?				
2.1.3	Does the company's safety policy specifically identify management commitment to safety?				
2.1.4	Does the company's safety policy specifically identify personal employee responsibilities?				
2.1.5	Does the company's safety policy specifically identify safety as a high priority?				
2.1.6	Is the company's safety policy well known and understood by employees?				
2.2(a)	Does a written safety program exist within the company? (RCP II-B-2)				
2.2.1(a)	Does the written safety program include:				
2.2.1.1 (a)	Does the written safety program include spray painting in enclosed spaces? (RCP II-B--2a)				
2.2.1.2 (a)	Does the written safety program include non-skid surfaces on motor vessels? (RCP II-B-2b)				
2.2.1.3 (a)	Does the written safety program include flammable and combustible liquids? (RCP II-B-2c)				
2.2(b)	Does the company's written safety program include written safety rules? (RCP II-B-2)				
2.2.1(b)	Do the written safety rules include:				
2.2.1.1 (b)	Do the company's written safety rules address spray painting in enclosed spaces? (RCP II-B-2a)				
2.2.1.2 (b)	Do the company's written safety rules include use and condition of non-skid surfaces on motor vessels? (RCP II-B-2b)				

2. Safety Policy and Program

			Yes	No	Notes
2.2.1.3 (b)	Do the company's written safety rules include use and storage of flammable and combustible liquids? (RCP II-B-2c)				
2.2.2	Is there a written safety manual?				
2.2.3	Is the safety manual a subset of another manual or publication?				
2.2.4	Is the safety manual easily available to any employee?				
2.2.5(a)	Does the safety manual/safety program reflect current practices?				
2.2.5(b)	Does the safety manual/safety program reflect current technology?				
2.2.5.1	What is the date of the last revision to the safety manual/safety program?				
2.3	Does the written safety program include?				
2.3.1(a)	Does the safety program include one or more personal protective equipment (PPE) policies or procedures which satisfies the RCP definition for a written policy, or one or more written procedures? (RCP II-B-3)				
2.3.2(a)	Does the company's personal protective equipment policy (procedure) include respiratory protection? (RCP II-B-3a)				
2.3.2(b)	Does the company's personal protective equipment policy or procedure include fall arrest protection? (RCP II-B-3a)				
2.3.3	Does the company's personal protective equipment policy or procedure include: use, inspection, maintenance and replacement of PPE? (RCP II-B-3a,b,c,&d)				
2.3.4	Does the company require critical PPE for employees (e.g. PFDs, hard hats, eye protection, respirators & gloves)?				
2.4	Does the safety program address the following:				
2.4.1	Does the safety program address reporting of safety deficiencies and/or nonconformities? (RCP II-B-4)				

2. Safety Policy and Program

			Yes	No	Notes
2.4.2	Does the safety program address the use of a corrective action process? (RCP II-B-8)				
2.4.3	Does the safety program address confined space entry? (RCP-II-B-5)				
2.4.4	Does the safety program address safe use of:				
2.4.4.1	Does the safety program address safe use of deck machinery? (RCP II-B-7a)				
2.4.4.2	Does the safety program address the safe use of rigging? (RCP II-B-7b)				
2.4.4.3	Does the safety program address the safe use of welding and/or cutting equipment? (RCP II-B-7c)				
2.4.4.4	Does the safety program address the safe use of hand tools? (RCP II-B-7d)				
2.4.4.5	Does the safety program address the safe use of portable ladders? (RCP II-B-7e)				
2.4.4.6	Does the safety program address the safe use of abrasive wheel machinery? (RCP II-B-7f)				
2.4.5	Does the safety program address the safe use of rigging? (RCP III-E-1)				
2.4.6	Does the safety program address cargo knowledge? (RCP II-B-9)				
2.4.7	Does the safety program address hazard communication procedures? (Right to Know) (RCP II-B-10) (29 CFR 1910.1200)				
2.4.8	Does the safety program address bloodborne pathogens? (RCP II-B-10a)				
2.4.9	Does the safety program include a benzene handling policy or procedure? (RCP II-A-7a)				
2.4.10	Does the safety program address fall overboard prevention? (RCP II-B-11)				
2.4.11	Does the safety program address hearing conservation? (RCP II-B-1b)				
2.5*	Crew Endurance Management: (<i>*Recommended by RCP</i>)				

2. Safety Policy and Program

			Yes	No	Notes
2.5.1*	Is the company familiar with the USCG - AWO Safety Partnership, Crew Endurance Management System (CEMS)?				
2.5.2*	Has the company begun to incorporate elements of CEMS into their vessel operations?				
2.5.3*	Does the company have one or more trained CEMS coaches?				
2.5.4*	Does the company have a CEMS working group?				
2.5.5*	Have one or more of the company's towing vessel crews made modifications to their watch schedules?				
2.6	Does the safety program include:				
2.6.1	Does the safety program include regular safety training? (RCP II-B-6b)				
2.6.2	Does the safety program include regular safety drills? (RCP II-B-6b)				
2.6.3	Does the safety program include regular safety meetings? (RCP II-B-6b)				
2.6.4	Does the safety program include use of towing vessel station bills? (RCP II-B-6)				
2.6.5(a)	Does the safety program include safety drills to cover critical components such as: (see below) (RCP II-B-6a)				
2.6.5.1 (a)	Does the safety program include safety drills to cover first aid/CPR? (RCP II-B-6a)				
2.6.5.2 (a)	Does the safety program include safety drills to cover <u>marine firefighting</u> for towing vessel crewmembers? (RCP II-B-6a) & (Addendum C - Audit Issues, Item 16 of RCP 2012)				
2.6.5.3 (a)	Does the safety program address safety drills to cover emergency boat operation? (RCP II-B-6a)				
2.6.5.4 (a)	If applicable to this company's operations, does the safety program include safety drills to cover use of life rafts? (RCP II-B-6a)				

2. Safety Policy and Program

			Yes	No	Notes
2.6.5.5 (a)	If applicable to this company's operations, does the safety program include safety drills to cover use of survival suits? (RCP II-B-6a)				
2.6.5.1 (b)	Does the written safety program include safety training to cover first aid/CPR? (RCP II-B-6a)				
2.6.5.2. 1 (b)	Does the safety program include safety training to cover (marine) firefighting for masters, mates (pilots), engineers and tankermen? (RCP II-B-6a) & (Addendum C - Audit Issues, Item 16 of RCP 2012)				
2.6.5.2. 2 (b)	Does the safety program include safety training to cover (marine) firefighting for towing vessel deck crews? (RCP II-B-6a) & (Addendum C - Audit Issues, Item 16 of RCP 2012)				
2.6.5.3 (b)	Does the safety program include safety training to cover emergency boat operation? (RCP II-B-6a)				
2.6.5.4 (b)	If applicable to this company's operations, does the safety program include safety training to cover safe use of life rafts? (RCP II-B-6a)				
2.6.5.5 (b)	If applicable to this company's operations, does the safety program include safety training to cover use of survival suits? (RCP II-B-6a)				
2.7	Indicate the frequency of safety meetings held for crewmembers employed onboard towing vessels.				
2.8(a)	Indicate the frequency of safety training sessions held for crewmembers employed onboard towing vessels.				
2.8(b)	Indicate the frequency of safety drill sessions held for crewmembers onboard towing vessels.				
2.9	Identify any additional noteworthy company-specific safety policies and procedures. (Attach additional sheets if necessary)				
2.10	Provide a summary of safety program observations. (Attach additional sheets if necessary)				
2.11	List areas for improvement. (Attach additional sheets if necessary)				

3. Security Policy and Program**Yes No Notes**

3.1	Does a written company security policy exist? (RCP II-C-1)			
3.1.1(a)	Is the company's security policy simple?			
3.1.1(b)	Is the company's security policy (procedures) well documented?			
3.1.2	Is the company's security policy (procedures) well known and understood by employees?			
3.1.3	Does the written security policy include: (see the following items)			
3.1.3.1	Does the written security policy (procedures) include periodic security training?			
3.1.3.2	Does the written security policy (procedures) include periodic security drills?			
3.1.3.3 (a)	Does the written security policy (procedures) include emergency communications?			
3.1.3.3 (b)	Does the written security policy (procedures) include emergency notification?			
3.1.3.4	Does the written security policy (procedures) include compliance with official instructions?			
3.1.3.5	Does the written security policy (procedures) include reporting of suspicious activities?			
3.2	Identify any noteworthy company-specific security policies and procedures. (Attach additional sheets if necessary)			
3.3	Provide a summary of security program observations. (Attach additional sheets if necessary)			
3.4	List areas for improvement.			

4. Environmental Policy and Program**Yes No Notes**

4.1	Does a written company environmental policy exist? (RCP II-D-1)			
4.1.1 (a)	Is the written environmental policy simple?			
4.1.1 (b)	Is the written environmental policy well documented?			
4.1.2	Is the written environmental policy well known and understood by employees? (ask several employees)			
4.1.3	Do readily identifiable written procedures exist to support the written environmental policy?			
4.1.4	Do these written procedures include:			
4.1.4.1	Do these written environmental procedures include garbage disposal? (RCP II-D-2)			
4.1.4.2	Do these written environmental procedures include handling of waste oil, oily bilge slops, and used filters? (RCP II-D-3)			
4.1.4.3	Do these written environmental procedures include hazardous waste disposal and handling? (RCP II-D-4)			
4.1.4.4	Do these written environmental procedures include sanitary systems and handling of sewage? (RCP II-D-5)			
4.2	Identify any additional noteworthy company-specific environmental policies and procedures or practices. (Attach additional sheets if necessary)			
4.3	Provide a summary of environmental program observations. (Attach additional sheets if necessary)			
4.4	List areas for improvement.			

5. Company Employee Responsibilities and Authorities**Yes No Notes**

5.1	Are organizational levels well documented or defined in an organizational chart? (RCP II-I-1)			
5.1.1	Is the authority of all shoreside personnel well documented and defined? (RCP II-I-1)			
5.1.2	Is the authority of all vessel personnel well documented and defined? (RCP II-I-1)			
5.1.3	Are the responsibilities of shoreside personnel well documented and defined? (RCP II-I-1)			
5.1.4	Are the responsibilities of vessel personnel well documented and defined? (RCP II-I-1)			
5.1.5	Is there a designated person(s) ashore having direct access to the highest level of management (Designated Person)? (RCP II-I-2)			
5.2	Identify any additional noteworthy employee responsibilities and authorities. (Attach additional sheets if necessary)			
5.3	Provide a summary of company responsibilities and authorities observations. (Attach additional sheets if necessary)			
5.4	List areas for improvement.			

6. Resources and Personnel**Yes No Notes**

Hiring					
6.1	Does the company have a documented (written) hiring policy? (RCP II-J-1)				
6.1.1	Does the company have written procedures for hiring qualified personnel?				
6.2	Do the written hiring practices include physical exams or physical standards policy? (RCP II-J-2)				
6.3	Does the written hiring policy include drug screening? (RCP II-J-3) (46 CFR 16.210)				
Orientation Program					
6.4	Does the company have a documented (written) employee orientation program? (RCP V-C-1,-2,-3,-4 and -5)				
6.4.1	Is the written employee orientation program applicable to all new hires, including experienced personnel? (RCP V-C-1,-2,-3,-4 and -5)				
6.5	Does the written employee orientation include: (RCP V-C-5a)				
6.5.1	Does the written employee orientation include drug and alcohol policy requirements? (RCP V-C-5a-1)				
6.5.2	Does the written employee orientation include exposure to and understanding of the company safety program and policy? (RCP V-C-5a-2)				
6.5.3	Does the written employee orientation include safety as a condition of employment? (RCP V-C-5a-2)				
6.5.4	Does the written employee orientation include safety equipment and PPE requirements? (RCP V-C-5a-4)				
6.5.5	Does the written employee orientation include fall overboard prevention? (RCP V-C-5d)				
6.5.6 (a)	Does the written employee orientation include injury prevention training? (RCP V-C-5e)				
6.5.6 (b)	Does the written employee orientation include back training? (RCP V-C-5e)				

6. Resources and Personnel

Yes No Notes

6.5.6 (c)	Does the written employee orientation include slip, trip and fall prevention training? (RCP V-C-5e)			
6.5.7 (a)	Does the written employee orientation include an onboard vessel orientation? (RCP V-C-5a-3)			
6.5.7 (b)	Does the written employee orientation include vessel deck operations? (RCP V-C-5a-3)			
6.5.8	Does the written employee orientation include job responsibilities? (RCP V-C-5a-5)			
6.6	Does the written employee orientation include exposure to emergency procedures? (RCP V-C-5b)			
6.6.1	Does the written employee orientation include exposure to emergency procedures for fire response? (RCP V-C-5b-1)			
6.6.2	Does the written employee orientation include exposure to emergency procedures for collision and allision? (RCP V-C-5b-2)			
6.6.3	Does the written employee orientation include exposure to emergency procedures for sinking? (RCP V-C-5b-3)			
6.6.4	Does the written employee orientation include exposure to emergency procedures for grounding? (RCP V-C-5b-4)			
6.6.5	Does the written employee orientation include exposure to emergency procedures for man overboard? (RCP V-C-5b-5)			
6.6.6	Does the written employee orientation include exposure to emergency procedures for personal injury and illness? (RCP V-C-5b-6)			
6.7	Does the written employee orientation address confined space hazard awareness? (RCP V-C-5c)			
6.8	Briefly describe how the written employee orientation program is conducted (classroom, on-the-job training, other):			
Training				

6. Resources and Personnel**Yes No Notes**

6.9	Does the company have a written training program? (RCP V-C)			
6.9.1	Does the written training program identify:			
6.9.1.1	Does the written training program identify who is trained?			
6.9.1.2	Does the written training program identify subjects in which training is given?			
6.9.1.3	Does the written training program identify frequency of training?			
6.9.1.4	Does the written training program identify documented refresher training (at least every five years)?			
Training - Deck Crew				
6.10	Does the company's written training program include initial and refresher training for: (RCP V-C-4)			
6.10.1	Does the company's written training program include initial and refresher training for deck operations and safety training? (RCP V-C-4a)			
6.10.2	Does the company's written training program include initial orientation and refresher training for company policies and procedures? (RCP V-C-4b)			
6.10.3	Does the company's written training program include initial and refresher training for review of federal requirements and company conformance? (RCP V-C-4b)			
6.10.4	Does the company's written training program include initial and refresher training for vessel firefighting and fire prevention? (RCP V-C-4c)			
6.11	Does the company's written training program include initial and refresher training for personal safety, including: (RCP V-C-4d)			
6.11.1	Does the company's written training program include initial and refresher training for first aid and CPR awareness? (RCP V-C-4d-1)			
6.11.2	Does the company's written training program include initial and refresher training for confined space hazard awareness? (RCP V-C-4d-2)			

6. Resources and Personnel**Yes No Notes**

6.11.3	Does the company's written training program include initial and refresher training for fall overboard prevention? (RCP V-C-4d-4)				
6.11.4 (a)	Does the company's written training program include initial and refresher training for injury prevention? (RCP V-C-4d-3)				
6.11.4 (b)	Does the company's written training program include initial and refresher back training? (RCP V-C-4d-3)				
6.11.4 (c)	Does the company's written training program include initial and refresher slip, trip and fall prevention training? (RCP V-C-4d-3)				
6.11.5	Does the company's written training program include initial and refresher training for lock-out/tag-out procedures? (RCP V-C-4d-5)				
6.12	Does the company's written training program include initial and refresher training for first responder and spill mitigation training (for crewmembers working on tank barge tows)? (RCP V-C-4e-1)				
6.13	Do experienced deckhands, as well as new hires, receive the above initial training?				
6.14	Identify any additional noteworthy training topics or practices for deck crew.				
Training - Tankerman					
6.15	Does the company's written training program include initial and refresher training for: (RCP V-C-3)				
6.15.1	Does the company's written training program include initial and refresher training for tank barge safety training? (RCP V-C-3a)				
6.15.2	Does the company's written training program include initial and refresher training for loading and discharging operations? (RCP V-C-3a-1)				
6.15.3	Does the company's written training program include initial and refresher training for safety practices? (RCP V-C-3a-2)				
6.15.4	Does the company's written training program include initial and refresher training for environmental protection and loading procedures? (RCP V-C-3a-3)				

6. Resources and Personnel

			Yes	No	Notes
6.15.5	Does the company's written training program include initial and refresher training for federal regulation review and training? (RCP V-C-3a-4)				
6.15.6	Does the company's written training program include initial and refresher training for first responder, spill mitigation, and emergency response (may include HAZWOPER training)? (RCP V-C-3a-5)				
6.15.7	Does the company's written training program include initial and refresher training for vapor recovery/control operations? (RCP V-C-3a-6)				
6.16	Does the company's written training program include initial orientation and refresher training for company policies and procedures? (RCP V-C-3b)				
6.16.1	Does the company's written training program include initial and refresher training for review of federal requirements and company conformance? (RCP V-C-3c)				
6.17	Does the company's written training program include initial and refresher training for marine firefighting and fire prevention? (RCP V-C-3c)				
6.18	Does the company's written training program include initial and refresher training for personal safety, including: (RCP V-C-3d)				
6.18.1	Does the company's written training program include initial and refresher training for first aid and CPR awareness? (RCP V-C-3d-1)				
6.18.2	Does the company's written training program include initial and refresher training for confined space hazard awareness? (RCP V-C-3d-2)				
6.18.3	Does the company's written training program include initial and refresher training for fall overboard prevention? (RCP V-C-3d-4)				
6.18.4 (a)	Does the company's written training program include initial and refresher training for injury prevention? (RCP V-C-3d-3)				
6.18.4 (b)	Does the company's written training program include initial and refresher back training? (RCP V-C-3d-3)				

6. Resources and Personnel**Yes No Notes**

6.18.4 (c)	Does the company's written training program include initial and refresher slip, trip and fall prevention training? (RCP V-C-3d-3)			
6.18.5	Does the company's written training program include initial and refresher cargo-specific training? (RCP V-C-3d-5)			
6.19	Does the company's written training program include initial and refresher training for vessel communications system and procedures for communication related to tankerman duties? (RCP V-C-3e)			
6.20	Identify any additional noteworthy or practices training topics for tankermen.			
Training - Engineer				
6.21	Does the company's written training program include initial and refresher training for: (RCP V-C-2)			
6.21.1	Does the company's written training program include initial and refresher training for marine diesel school or in-house training, including equipment and technical enhancements? (RCP V-C-2a)			
6.21.2	Does the company's written training program include initial and refresher training for procedures for fuel transfer?			
6.22	Does the company's written training program include initial orientation and refresher training for company policies and procedures? (RCP V-C-2b)			
6.22.1	Does the company's written training program include initial and refresher training for review of federal requirements and company conformance? (RCP V-C-2b)			
6.23	Does the company's written training program include initial and refresher training for marine firefighting and fire prevention? (RCP V-C-2c)			
6.24	Does the company's written training program include initial and refresher training for personal safety, including: (RCP V-C-2d)			
6.24.1	Does the company's written training program include initial and refresher training for first aid and CPR awareness? (RCP V-C-2d-1)			

6. Resources and Personnel**Yes No Notes**

6.24.2	Does the company's written training program include initial and refresher training for confined space hazard awareness? (RCP V-C-2d-2)				
6.24.3	Does the company's written training program include initial and refresher training for fall overboard prevention? (RCP V-C-2d-4)				
6.24.4 (a)	Does the company's written training program include initial and refresher training for injury prevention? (RCP V-C-2d-3)				
6.24.4 (b)	Does the company's written training program include initial and refresher back training? (RCP V-C-2d-3)				
6.24.4 (c)	Does the company's written training program include initial and refresher slip, trip and fall prevention training? (RCP V-C-2d-3)				
6.24.5	Does the company's written training program include initial and refresher training for lock-out/tag-out procedures? (RCP V-C-2d-5)				
6.25	Does the company's written training program include initial and refresher training for first responder and spill mitigation training (for engineers working on tank barge tows)? (RCP V-C-2e-1)				
6.26	Do experienced engineers as well as new hires receive the above initial training?				
6.27	Identify any additional noteworthy training topics or practices for engineers.				
Training - Master (Captain), Relief Captain, Mate (Pilot), (herein called "wheelhouse personnel")					
6.28	Does the company's written training program include initial and refresher training for: (RCP V-C-1)				
6.28.1	Does the company's written training program include initial and refresher training for responsibility and authority of Master? (RCP V-C-1h)				
6.28.2	Does the company's written training program include initial and refresher training for supervisory skills training? (RCP V-C-1h)				
6.28.3	Does the company's written training program include initial and refresher radar training? (RCP V-C-1a)				

6. Resources and Personnel

			Yes	No	Notes
6.28.4	Does the company's written training program include initial and refresher navigation and boat handling training <u>or</u> proficiency evaluations? (RCP V-C-1b)				
6.28.5	Does the company's written training program include initial and refresher Rules of the Road training? (RCP V-C-1b)				
6.28.6	Does the company's written training program include initial orientation and refresher training for company policies and procedures? (RCP V-C-1c)				
6.28.7	Does the company's written training program include initial and refresher training for federal requirements and company conformance? (RCP V-C-1c)				
6.28.8	Does the company's written training program include initial and refresher training for marine firefighting and fire prevention? (RCP V-C-1d)				
6.29	Does the company's written training program include initial and refresher training for personal safety, including: (RCP V-C-1e)				
6.29.1	Does the company's written training program include initial and refresher training for first aid and CPR awareness? (RCP V-C-1e-1)				
6.29.2	Does the company's written training program include initial and refresher training for confined space hazard awareness? (RCP V-C-1e-2)				
6.29.3	Does the company's written training program include initial and refresher training for fall overboard prevention? (RCP V-C-1e-4)				
6.29.4 (a)	Does the company's written training program include initial and refresher training for injury prevention? (RCP V-C-1e-3)				
6.29.4 (b)	Does the company's written training program include initial and refresher back training? (RCP V-C-1e-3)				
6.29.4 (c)	Does the company's written training program include initial and refresher slip, trip and fall prevention training? (RCP V-C-1e-3)				
6.30	Does the company's written training program include initial and refresher training for wheelhouse personnel working with tank barges in tow:				

6. Resources and Personnel**Yes No Notes**

6.30.1	Does the company's written training program include initial and refresher training for first responder, spill mitigation training, and emergency response (may include HAZWOPER training) for wheelhouse personnel working with tank barges in tow? (RCP V-C-1f-1)				
6.30.2	Does the company's written training program include initial and refresher training for benzene awareness training and entry precautions (where applicable) for wheelhouse personnel working with tank barges in tow? (RCP V-C-1f-2)				
6.31	Does the company's written training program include initial and refresher training for cargo knowledge and hazard awareness? (RCP V-C-1g) (29 CFR 1910.1200)				
6.32	Identify any additional noteworthy training topics or practices for wheelhouse personnel.				
Employee Development					
6.33	Does the company have written personnel development programs for vessel personnel? (RCP II-J-6)				
6.33.1	Does the written personnel development program target the following positions:				
6.33.1.1	Does the written personnel development program target deckhands? (RCP II-J-6a)				
6.33.1.2	Does the written personnel development program target tankermen? (RCP II-J-6b)				
6.33.1.3	Does the written personnel development program target engineers? (RCP II-J-6c)				
6.33.1.4	Does the written personnel development program target wheelhouse personnel? (RCP II-J-6d)				
Proficiency Evaluations					
6.34	Does the company have a documented (written) employee proficiency/performance evaluation program? (RCP II-J-4)				

6. Resources and Personnel**Yes No Notes**

6.34.1	Does the written employee proficiency/performance evaluation program require documented and individual employee evaluations?				
6.34.2	Does the written employee proficiency/performance evaluation program provide for feedback to the employees?				
Other Personnel Policies					
6.35	Does the company have a documented (written) drug and alcohol policy? (RCP II-J-3)				
6.36	Does the company have a documented (written) prescription medication notification policy/procedure? (RCP II-J-7)				
6.37	Does the company have a documented (written) personal hygiene policy/procedure? (RCP II-J-8)				
6.38	Does the company have a documented (written) sanitation and safe food handling policy/procedure? (RCP II-J-9)				
6.39	Does the company have a documented (written) disciplinary policy/procedure? (RCP II-J-10)				
6.39.1	Does the written disciplinary policy/procedure identify behavior under which termination or suspension may occur?				
6.40	Identify any additional noteworthy personnel policies and procedures.				
Watchstanding and Work Hours (Non-Emergency) Policies/Procedures					
6.41	Are work hour restrictions well documented? (RCP V-B)				
6.41.1	Does the company have a mechanism to track or confirm communication of work hour restrictions?				
6.41.2	Do the well documented work hour restrictions require, except as otherwise provided, such as 46 USC 8104(c), that licensed towing vessel operators work no more than 12 hours in a 24-hour period? (RCP V-B) (46 USC 8104(h))				

6. Resources and Personnel**Yes No Notes**

6.41.3	Do the well documented work hour restrictions require that other vessel crewmembers work no more than 15 hours in a 24-hour period and no more than 42 hours in a 72-hour period? (RCP V-B)				
Vessel Manning Levels					
6.42	Do written vessel manning policies/procedures reflect: (RCP V-A-1)				
6.42.1	Do written vessel manning policies/procedures reflect applicable laws and regulations? (RCP V-A-1a)				
6.42.2	Do written vessel manning policies/procedures take into account number, size, and type of barges to be towed? (RCP V-A-1b)				
6.42.3	Do written vessel manning policies/procedures take into account geographical towing route? (RCP V-A-1c)				
6.42.4	Do written vessel manning policies/procedures take into account safety of personnel, equipment, and the environment? (RCP V-A-1d)				
6.42.5	Do written vessel manning policies/procedures take into account the service in which tow is engaged? (RCP V-A-1e)				
6.42.6	Do written vessel manning policies/procedures take into account duties of the crew in addition to navigation? (RCP V-A-1f)				
6.42.7	Do written vessel manning policies/procedures take into account the configuration of vessel-deck and engine room machinery? (RCP V-A-1g)				
6.42.8	Do written vessel manning policies/procedures take into account the extent of mechanical and/or electronic automation? (RCP V-A-1h)				
6.42.9	Do written vessel manning policies/procedures take into account vessel sizes and machinery operating requirements? (RCP V-A-1i)				
6.42.10	Do written vessel manning policies/procedures take into account environmental, weather, and climatic conditions? (RCP V-A-1j)				

6. Resources and Personnel**Yes No Notes**

6.42.11	Do written vessel manning policies/procedures take into account the overall experience of crew? (RCP V-A-1k)			
6.43	Is there a written policy/procedure requiring (except in an emergency) at least one wheelhouse person and one crewmember on duty at all times while underway? (RCP V-A-2)			
6.44	Provide a summary of human resources and personnel program observations. (Attach additional sheets if necessary)			
6.45	List areas for improvement.			

7. Plans and Procedures for Vessel Operations**Yes No Notes**

7.1	Does the company have written vessel operating procedures that are well documented and distributed? (RCP II-A-1)			
7.1.1	Does the company have a written bridge transit procedure that is well documented and distributed? (RCP II-A-1a)			
7.1.2	For vessels operating on coastal routes, does the company have a written voyage planning procedure that is well documented and distributed? (RCP II-A-1b)			
7.1.3	Other possible written vessel operating procedure examples include:			
7.1.3.1	Does the company have a written change of watch procedure that is well documented and distributed?			
7.1.3.2	Does the company have a written guests and other visitors procedure that is well documented and distributed?			
7.1.3.3	Does the company have a written vessel communications with shore personnel procedure that is well documented and distributed?			
7.1.3.4	Does the company have a written bridge-to-bridge communications procedure that is well documented and distributed?			
7.1.3.5	Does the company have a written radio watch procedure that is well documented and distributed?			
7.1.3.6	Does the company have a written VTS usage requirements procedure that is well documented and distributed?			
7.1.3.7	Does the company have written locking procedures that are well documented and distributed?			
7.1.3.8	Does the company have a written skiff/yawl use and operation procedure that is well documented and distributed?			
7.1.3.9	Does the company have a written lock-out/tag-out procedure that is well documented and distributed?			

7. Plans and Procedures for Vessel Operations**Yes No Notes**

7.1.3.10	Does the company have a written confined space entry procedure that is well documented and distributed?			
7.1.3.11	Does the company have a written navigation procedure that is well documented and distributed?			
7.1.3.12	Does the company have a written making up tow procedure that is well documented and distributed?			
7.2	Do written procedures exist for making horsepower-to-tow size decisions? (RCP II-A-2a)			
7.3	Do written procedures exist for cargo handling?			
7.3.1	Do written procedures exist for vessel-to-vessel lightering? (RCP II-A-8)			
7.3.2	Do written procedures exist for vapor control? (RCP II-A-7b)			
7.3.3	Do written procedures exist for cargoes requiring special handling (e.g., anhydrous ammonia, hydrogen sulfide, etc.)? (RCP II-A-7c)			
7.3.4	What noteworthy cargoes are covered by these procedures?			
7.4	Do written procedures exist to ensure that proper and valid documentation is carried aboard vessels? (RCP II-A-3)			
7.4.1	Does the written procedure include a list of documentation to be carried? (RCP II-A-3)			
7.5	Do written procedures exist for identifying critical stores and supplies? (RCP II-A-9)			
7.6	Do written procedures exist for loading vessel fuel? (RCP II-A-4)			
7.6.1	Do written procedures exist for transferring fuel to barges or other vessels?			
7.6.2	Do written procedures exist for cargo transfer/cargo handling? (RCP II-A-7)			

7. Plans and Procedures for Vessel Operations**Yes No Notes**

7.7	Do written procedures address safe use and handling of rigging and towing gear? (RCP III-E-1)			
7.8	Do written procedures address safe use of deck machinery such as: (RCP III-E-1)			
7.8.1	Do written procedures address safe use of capstans?			
7.8.2	Do written procedures address safe use of winches?			
7.9	Is there a documented (written) inspection and replacement program for rigging and towing gear? (RCP III-E-3 & RCP IV-E-6)			
7.9.1	Are procedures for identifying specifications for wires, lines, and associated towing gear well documented? (RCP III-E-4 & RCP IV-E-1, -2, -3)			
7.9.2	Are there written procedures identifying minimum rigging and towing gear requirements for each vessel according to service? (RCP III-E-2 & RCP IV-E-1a)			
7.9.3	Are the minimum requirements well documented?			
7.10	Identify any additional noteworthy vessel-specific operating procedures or practices (depends on vessel size, cargo, trade, etc.) (Attach additional sheets if necessary)			
7.10.1	How are these procedures communicated to the vessel's crew?			
7.11	Provide a summary of vessel operating plans and procedures observations. (Attach additional sheets if necessary)			
7.12	List areas for improvement.			

8. Emergency Response Procedures**Yes No Notes**

8.1	Do written company emergency response procedures exist? (RCP II-F)			
8.1.1 (a)	Are these written company emergency response procedures simple? (ask several employees)			
8.1.1 (b)	Are these written company emergency response procedures well documented?			
8.1.2	Are these written company emergency response procedures well known and understood by affected employees?			
8.2	Do written emergency response procedures include:			
8.2.1	Do written emergency response procedures include injuries and illness onboard? (RCP II-F-1)			
8.2.2	Do written emergency response procedures include injuries and illness requiring more than onboard emergency first aid?			
8.3	Do written emergency response procedures include:			
8.3.1	Do written emergency response procedures include spill response plan and/or contingency plan? (RCP II-F-2)			
8.3.2	Do written emergency response procedures include spill response emergency numbers?			
8.3.3	Do written emergency response procedures include emergency response team?			
8.3.4	Do written emergency response procedures include spills on deck during cargo transfer?			
8.3.5	Do written emergency response procedures include spills in the water during cargo transfer?			
8.3.6	Do written emergency response procedures include spills due to grounding?			
8.4	Do written emergency response procedures include:			
8.4.1	Do written emergency response procedures include vessel accident response? (RCP II-F-3)			
8.4.2	Do written emergency response procedures include collision with another vessel?			

8. Emergency Response Procedures**Yes No Notes**

8.4.3 (a)	Do written emergency response procedures include allision with an aid-to-navigation?			
8.4.3 (b)	Do written emergency response procedures include allision with a fixed object?			
8.5	Do written procedures specify frequency, documentation, and subject matter of onboard emergency response training and drills? (RCP II-F-4)			
8.5.1	Do written procedures specify frequency, documentation, and subject matter of grounding drills?			
8.5.2	Do written procedures specify frequency, documentation, and subject matter of fire drills?			
8.5.3	Do written procedures specify frequency, documentation, and subject matter of sinking drills?			
8.5.4	Do written procedures specify frequency, documentation, and subject matter of man overboard drills?			
8.6	Do written emergency response procedures include:			
8.6.1	Do written emergency response procedures include operator incapacitation? (RCP II-F-5)			
8.6.2	Are appropriate crewmembers trained in vessel control procedures?			
8.6.3	Are crewmembers familiar with notification procedures?			
8.7	Identify any additional noteworthy emergency response procedures or practices. (Attach additional sheets if necessary)			
8.8	Provide a summary of emergency response program observations. (Attach additional sheets if necessary)			
8.9	List areas for improvement.			

9. Incident Investigation/Review**Yes No Notes**

9.1	Does the company have written procedures addressing Personal Injury Reporting? (RCP II-E-1)			
9.1.1	Are there written procedures for reporting personal injuries as required by the USCG?			
9.1.2	Is a routing list or communication flow chart present?			
9.1.3	Are the responsibilities for reporting personal injury clearly defined for vessel crew as well as shore-side personnel?			
9.1.4	Are the personal injury reporting procedures consistent with emergency response procedures?			
9.2	Does the company have written procedures addressing Oil and/or Hazardous Substance Spill Reporting? (RCP II-E-2)			
9.2.1	Are there written procedures for reporting oil/hazardous substance spills?			
9.2.2	Are the responsibilities for reporting oil or hazardous substance spills clearly defined for vessel crew as well as shore-side personnel?			
9.2.3	Is an explanation of procedures for reporting oil or hazardous substance spills available to the vessel crew?			
9.2.4	Is a routing list or communications flow chart available?			
9.2.5	Are oil and/or hazardous substance spill reporting criteria easily accessible?			
9.2.6	Are spill reporting procedures consistent with spill emergency response procedures?			
9.3	Does the company have written procedures addressing Vessel Accident Reporting? (RCP II-E-3)			
9.3.1	Are there written procedures for reporting vessel casualties as required by the USCG?			
9.3.2	Are the responsibilities for vessel accident reporting clearly defined for vessel crew as well as shore-side personnel?			

9. Incident Investigation/Review**Yes No Notes**

9.3.3	Is a listing of all reportable vessel accidents available?			
9.3.4	Is a routing list or communication flow chart available?			
9.3.5	Are vessel accident reporting criteria easily accessible?			
9.3.6	Are vessel accident reporting procedures consistent with vessel accident emergency response procedures?			
9.4	Does the company have written procedures addressing Bridge, Lock or Dock Allision Reporting? (RCP II-E-4)			
9.4.1	Are there written procedures for reporting bridge, lock, or dock allisions as required by the USCG?			
9.4.2	Are the responsibilities for reporting bridge, lock, or dock allisions clearly defined for vessel crew as well as shore-side and office personnel?			
9.4.3	Is a routing list or communication flow chart available?			
9.4.4	Are reporting criteria for bridge, lock or dock allisions easily accessible?			
9.4.5	Are reporting procedures for bridge, lock or dock allisions consistent with vessel emergency response procedures?			
9.5	Does the company have written procedures addressing Reporting of Groundings? (RCP II-E-5)			
9.5.1	Are there written procedures for reporting groundings as required by the USCG?			
9.5.2	Are the responsibilities for reporting groundings clearly defined for vessel crew and office personnel?			
9.5.3	Is a routing list or communication flow chart available?			
9.5.4	Are reporting criteria for groundings easily accessible?			

9. Incident Investigation/Review**Yes No Notes**

9.5.5	Are reporting procedures for groundings consistent with vessel emergency response procedures?			
9.6	Does the company have written procedures addressing other company-specific incident reporting policies and procedures?			
9.6.1	Are the responsibilities for company-specific incident reporting clearly defined for vessel crew and office personnel?			
9.6.2	Is a list of these types of company-specific reportable incidents available?			
9.6.3	Is a routing list or communication flow chart available?			
9.7	Are the responsibilities for incident investigation clearly assigned? (RCP II-G)			
9.8	Are written procedures for incident investigation and review clearly defined? (RCP II-G)			
9.8.1	Does the incident investigation take place in a timely fashion?			
9.8.2	Is a detailed investigation report prepared after the investigation is conducted?			
9.8.3	Do written investigation procedures address:			
9.8.3.1	Do written investigation procedures address personal injury?			
9.8.3.2	Do written investigation procedures address spills?			
9.8.3.3	Do written investigation procedures address all other identified types of vessel accidents?			
9.9	Are investigation results used to formulate lessons learned? (RCP II-G-6)			
9.9.1	Are lessons learned communicated throughout the organization?			
9.10	Identify any additional noteworthy incident investigation/ review procedures or practices. (Attach additional sheets if necessary)			

9. Incident Investigation/Review**Yes No Notes**

9.11	Provide a summary of incident investigation observations. (Attach additional sheets if necessary)				
9.12	List areas for improvement.				

10. Maintenance**Yes No Notes**

10.1	Does a written vessel maintenance program exist within the company? (RCP II-A-5)			
10.1.1	Does the written maintenance program cover the following components:			
10.1.1.1 (a)	Does the written vessel maintenance program identify a designated person responsible for overall vessel maintenance? (RCP II-A-5a)			
10.1.1.1 (b)	Does the written vessel maintenance program identify a designated person responsible for onboard vessel maintenance? (RCP II-A-5a)			
10.1.1.2	Does the written vessel maintenance program include written procedures for the performance of scheduled maintenance? (RCP II-A-5b)			
10.1.1.3	Does the written vessel maintenance program specify requirements for the qualifications and training of the persons in charge of onboard vessel maintenance? (RCP II-A-5c)			
10.1.1.4	Does the written vessel maintenance program include written procedures for correcting deficiencies identified during maintenance? (RCP II-A-5d)			
10.1.1.5	Does the written vessel maintenance program include a written policy or procedure regarding the retention of maintenance records? (RCP II-A-5e)			
10.2	Is there a policy and/or procedure concerning drydocking or routine hull inspections? (RCP III-A-1 & RCP IV-A-1)			
10.2.1	Does the policy and/or procedure concerning drydocking or routine hull inspections provide for a maximum 36-month drydock period? (RCP III-A-1 & RCP IV-A-1a)			
10.2.2 (a)	For coastal harbor services, does the policy provide for a minimum drydock period once every 5 years with a mid-term underwater inspection between the 24th and 36th months? (RCP IV-A-1b)			
10.2.2 (b)	For coastal/ocean towing vessels, does the policy provide for a minimum drydock period once every 5 years with a mid-term underwater inspection between the 24th and 36th months? (RCP IV-A-1b ?)			

10. Maintenance**Yes No Notes**

10.2.3	For coastal/ocean towing vessels, does the policy provide for hull gaugings and ballast tank inspections? (RCP IV-A-2)			
10.3	Is there a written policy and/or procedure concerning inspection of watertight closures (doors, hatches, airports, windows, etc.)? (RCP III-A-2 & RCP IV-A-3)			
10.3.1	If vessels have watertight closures, is there a written policy requiring annual inspection, with particular attention to deck or freeboard closures?			
10.3.2	Is there a written policy requiring annual inspections of other openings (ventilators, air pipes, tank vents, etc.) for water or weather tightness and structural integrity? (RCP III-A-3 & RCP IV-A-4)			
10.3.3	Are these inspections documented?			
10.4	Is there a policy requiring annual inspection of:			
10.4.1	Is there a written policy requiring annual inspection of rails, ladders, bulwarks, lighting, walking surfaces, chain guards and handrails for wastage, weakness and personnel safety considerations? (RCP III-A-4a & RCP IV-A-5)			
10.4.2	Is there a written policy requiring annual inspection of safety chains (if equipped) along the outboard sides of the main deck?			
10.4.3	Are these inspections documented?			
10.5	Is there a written policy requiring annual inspection of emergency walkways and hatchways? (RCP III-A-5 & RCP IV-A-6)			
10.5.1	Are these inspections documented?			
10.6	Is there a written policy regarding the use of piping diagrams and the marking of piping systems (color coding, numbering, lettering, etc.)? (RCP III-A-6a / RCP IV-A-8a)			
10.6.1	Are piping diagrams kept aboard the vessel? (RCP III-A-6a / RCP IV-A-8a)			
10.6.2	Is there a written policy requiring annual inspection of piping systems and tanks? (RCP III-A-6b/ RCP IV-A-8b)			

10. Maintenance**Yes No Notes**

10.6.3	Are these inspections documented?				
10.7	Is there a policy requiring annual inspection of freeing ports and scuppers (if applicable) while underway to note satisfactory drainage of the main deck for seaworthiness? (RCP III-A-7 & RCP IV-A-7)				
10.7.1	Are these inspections documented?				
10.8	Identify any additional noteworthy vessel maintenance policies and procedures or practices. (Attach additional sheets if necessary)				
10.9	Provide a summary of vessel maintenance and repair observations. (Attach additional sheets if necessary)				
10.10	List areas for improvement.				
10.11	Does the company vessel maintenance program cover the following components: (RCP III-B-1 & RCP IV-B-1)				
10.11.1	Does the company vessel maintenance program cover all major propulsion machinery, including main engines, reduction gears, clutches, controls, shafting, bearings, and other items prone to wear? (RCP III-B-1a & RCP IV-B-1a)				
10.11.2	Does the company vessel maintenance program cover steering system - all components? (RCP III-B-1b & RCP IV-B-1b)				
10.11.3	Does the company vessel maintenance program cover miscellaneous auxiliary systems? (RCP III-B-1c & RCP IV-B-1c)				
10.11.4	Does the company vessel maintenance program cover electrical systems - to include labeling? (RCP III-B-1d & RCP IV-B-1d)				
10.12	Are maintenance records kept on all systems identified above? (RCP III-B-2 & RCP IV-B-2)				
10.12.1	Is sufficient information kept to develop a program for overhauls, repairs, and preventative maintenance? (RCP III-B-2 & RCP IV-B-2)				

10. Maintenance

			Yes	No	Notes
10.12.2	Are logs kept which indicate any maintenance or inspections performed? (RCP III-B-2 & RCP IV-B-2)				
10.13	Do company maintenance procedures include a lock-out/tag-out program? (RCP III-B-3 & RCP IV-B-3)				
10.14	Does the maintenance program require that guards be placed around any exposed moving parts (e.g., shafts, belts, pulleys, etc.)? (RCP III-B-4 & RCP IV-B-4)				
10.15	Does the company's policy/procedure(s) require that vessels be equipped with the following alarms or require that individuals be assigned the responsibility of monitoring and documenting the following: (RCP III-B-5a & RCP IV-B-5a)				
10.15.1	Main engine water temperature? (RCP III-B-5a-1 & RCP IV-B-5a-1)				
10.15.2	Main engine lube oil pressure? (RCP III-B-5a-2 & RCP IV-B-5a-2)				
10.15.3	Bilge alarm? (RCP III-B-5a-3 & RCP IV-B-5a-3)				
10.15.4	Generator water temperature? (RCP III-B-5a-4 & RCP IV-B-5a-4)				
10.15.5	Generator lube oil pressure? (RCP III-B-5a-5 & RCP IV-B-5a-5)				
10.15.6	Hydraulic steering fluid level? (RCP III-B-5a-6 & RCP IV-B-5a-6)				
10.15.7	General alarm audible in all compartments? (RCP III-B-5a-7 & RCP IV-B-5a-7)				
10.15.8	Is the general alarm tested weekly? (RCP III-B-5a-8 & RCP IV-B-5a-8)				
10.15.9	Are other alarms tested at least quarterly? (RCP III-B-5a-8 & RCP IV-B-5a-8)				
10.15.10	Do vessels with unmanned or periodically manned engine rooms have alarm panels in both engine room and wheelhouse? (RCP III-B-5a-9 & RCP IV-B-5a-9)				
10.16	Does the company's policy/procedures require that vessels be equipped with the following gauges or require that individuals be assigned the responsibility of monitoring and documenting the following: (RCP III-B-5-b & RCP IV-B-5-b)				

10. Maintenance

			Yes	No	Notes
10.16.1	Main engine water temperature? (RCP III-B-5b-1 & RCP IV-B-5b-1)				
10.16.2	Main engine lube oil pressure? (RCP III-B-5b-2 & RCP IV-B-5b-2)				
10.16.3	Generator water temperature? (RCP III-B-5b-3 & RCP IV-B-5b-3)				
10.16.4	Generator lube oil pressure? (RCP III-B-5b-4 & RCP IV-B-5b-4)				
10.16.5	Main engine tachometer? (RCP III-B-5b-5 & RCP IV-B-5b-5)				
10.16.6	Hydraulic steering fluid level (sight glass)? (RCP III-B-5b-6 & RCP IV-B-5b-6)				
10.16.7*	Reduction gear oil temperature and/or pressure? (RCP III-B-5b-7 & RCP IV-B-5b-7)				
10.17	Identify any additional noteworthy vessel machinery policies and procedures or practices. (Attach additional sheets if necessary)				
10.18	Provide a summary of vessel machinery observations. (Attach additional sheets if necessary)				
10.19	List areas for improvement.				

11. Internal Auditing

Yes No Notes

11.1	Does the company have a written internal auditing program? (RCP II-G-1)			
11.1.1	Does the auditing program require annual internal audits? (RCP II-G-1)			
11.1.2	Is there a method for identifying non-conformities? (RCP II-G-1a)			
11.1.3	Does the method of tracking corrective action include assigning responsibility for doing so? (RCP II-G-1b-1)			
11.1.4	Does the method of tracking corrective action include a management review? (RCP II-G-1b-2)			
11.1.5	Does the method of tracking corrective action specify a timeframe for follow-up (e.g., 90 days)? (RCP II-G-1b-3)			
11.1.6	Does the audit program verify vessel inspection procedures? (RCP II-A-6) Notice that the line of questioning has shifted from questions that deal with the management internal audit to questions that deal with the vessel internal audit. Also notice that the question here addresses the company verifying or validating the vessel inspection procedures and not just the company inspecting the vessel itself.			
11.1.7	Do these (vessel inspection) procedures include:			
11.1.7.1	Do these written vessel inspection procedures include what is to be inspected and/or audited?			
11.1.7.2	Do these written vessel inspection procedures include persons responsible for conducting in-house inspections? (RCP II-A-6a)			
11.1.7.3	Do these written vessel inspection procedures include frequency of inspections? (RCP II-A-6b)			
11.1.7.4	Do these written vessel inspection procedures include qualifications and training requirements for persons responsible for conducting in-house inspections? (RCP II-A-6c)			

11. Internal Auditing

Yes No Notes

11.1.7.5	Do these written vessel inspection procedures include correcting deficiencies identified during inspections? (RCP II-A-6d)				
11.1.7.6	Do these written vessel inspection procedures include requirements for record retention? (RCP II-A-6e)				
11.2	Does the company have written performance measurement procedures? (RCP II-G-8) Notice that the line of questions now shifts from internal auditing to performance measurement.				
11.2.1	Does the company record and measure performance statistics including number and rate of (RCP II-G-8):				
11.2.2	Does the company record and measure performance statistics including manhours? (RCP II-G-8a)				
11.2.3	Does the company record and measure performance statistics including number and rate of fatalities? (RCP II-G-8b)				
11.2.4	Does the company record and measure performance statistics including number and rate of recordable injuries? (RCP II-G-8c)				
11.2.5	Does the company record and measure performance statistics including number and rate of lost time injuries? (RCP II-G-8d)				
11.2.6	Does the company record and measure performance statistics including number and rate of falls overboard? (RCP II-G-8e)				
11.2.7	Does the company have a process for identifying areas for improvement? (RCP II-G-8)				
11.2.8	Does the company track the following indicators to assess its effectiveness in applying a performance improvement process?				
11.2.8.1	Does the company track demurrage and delay rates to assess its effectiveness in applying a performance improvement process?				
11.2.8.2	Does the company track mechanical breakdowns and maintenance records to assess its effectiveness in applying a performance improvement process?				

11. Internal Auditing

Yes No Notes

11.2.8.3 (a)	Does the company track regulatory nonconformities to assess its effectiveness in applying a performance improvement process?			
11.2.8.3 (b)	Does the company track customer complaints to assess its effectiveness in applying a performance improvement process?			
11.2.9	Does the company participate in the AWO Voluntary Safety Statistics Program?			
11.3	Does the company have a written vendor safety policy?			
11.3.1	Are there written procedures for evaluation of subcontractors and vendors providing towing and vessel assist services on their ability to provide an acceptable level of safety? (RCP II-H-1)			
11.3.2	Possible factors to consider:			
11.3.2.1	Safety performance			
11.3.2.2	Safety management system			
11.3.2.3	Environmental compliance			
11.3.2.4	Crew training standards			
11.3.2.5	Emergency response plan			
11.3.2.6	Equipment maintenance standards			
11.3.3	Is preference given to towing, vessel assist and/or fleeting vendors that have a documented, and third-party audited, safety management system? (RCP II-H-1a)			
11.3.4	For vendors providing towing, vessel assist and/or fleeting services that maintain a routine and reoccurring business relationship with the company, but do not participate in an audited safety management system, <u>are there procedures for one of the following?</u> (RCP II-H-1b)			
11.3.4.1	On-site inspection of vessels and facilities (RCP II-H-1b-1)			
11.3.4.2	Pre-qualification through interview and completion of a safety assessment checklist with vendor safety/operations personnel (RCP II-H-1b-2)			

11. Internal Auditing**Yes No Notes**

11.4	Does the company have written procedures to ensure compliance with applicable federal laws and regulations concerning marine safety and environmental protection? (RCP II-G-2)			
11.4.1	Do the written procedures include person(s) responsible for compliance?			
11.4.2	Do the written procedures include frequency and method(s) of review?			
11.4.3	Do the written procedures adequately identify sources of information?			
11.4.4	Are there written procedures to verify that necessary changes have been made?			
11.5	Identify any additional noteworthy internal audit procedures or practices. (Attach additional sheets if necessary)			
11.6	Provide a summary of internal audit program observations. (Attach additional sheets if necessary)			
11.7	List areas for improvement.			

12. Document Control**Yes No Notes**

12.1	Does the company have a written document control program? (RCP II-G-7)			
12.1.1	Does the written document control program include:			
12.1.1.1	Does the written document control program include identification of critical operating policies and procedures?			
12.1.1.2	Does the written document control program include identification of who receives the documented policies and procedures?			
12.1.1.3	Does the written document control program include a control system for policies and procedures?			
12.1.1.4	Does the written document control program include cyclic accuracy review of critical operating policies and procedures?			
12.2	Identify any additional noteworthy document control policies and procedures or practices. (Attach additional sheets if necessary)			
12.3	Provide a summary of internal audit program observations. (Attach additional sheets if necessary)			
12.4	List areas for improvement.			

Towing Vessel Addendum**Yes No Notes**

Auditors should also look for items in the company's written program that might require verification while onboard the company's towing vessels during the RCP audit.					
2.1.6	Is the company's safety policy well known and understood by employees?				
3.1.2	Is the company's security policy (procedures) well known and understood by employees?				
4.1.2	Is the written environmental policy well known and understood by employees? (ask several employees)				
6.41	Are work hour restrictions well documented? (RCP V-B)				
6.41.2	Do the well documented work hour restrictions require, except as otherwise provided, such as 46 USC 8104(c), that licensed towing vessel operators work no more than 12 hours in a 24-hour period? (RCP V-B) (46 USC 8104(h))				
6.41.3	Do the well documented work hour restrictions require that other vessel crewmembers work no more than 15 hours in a 24-hour period and no more than 42 hours in a 72-hour period? (RCP V-B)				
6.43	Is there a written policy/procedure requiring (except in an emergency) at least one wheelhouse person and one crewmember on duty at all times while underway? (RCP V-A-2)				
8.1.1(a)	Are these written company emergency response procedures simple? (ask several employees)				
8.1.2	Are these written company emergency response procedures well known and understood by affected employees?				
8.6.2	Are appropriate crewmembers trained in vessel control procedures?				
8.6.3	Are crewmembers familiar with notification procedures?				