



**Italian Coast Guard**

# **EMSA**

## **Training on ISM Simulated Audit for Passenger Ships**

### **Planning and preparation of the audit**

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Lisbon, 03 – 04 March 2015

## What is an AUDIT?

A process of systematic and independent verification, through the collection of objective evidence, to determine whether the SMS complies with the requirements of the ISM Code and whether the SMS is implemented effectively to achieve the Code's objectives.



.....ISM Code 12.5



**1**

Internal Audits

ISM Code 12.1

**2**

Second Part Audits

ISM Code 12.2 – amd 2015

**3**

External Audits

ISM Code 13





## Internal Audits

ISM Code 12.1

- ➔ Responsibilities
- ➔ Competence and selection of auditors
- ➔ Audit scheduling
- ➔ Preparing and planning the audit
- ➔ Executing the audit
- ➔ Audit report
- ➔ Corrective action and follow-up.

### AUDIT CHECKLIST

- ☒ Audit Satisfactory
- ☐ Non-conformances found
- ☐ Observations made

## Second Part Audits

## ISM Code 12.2

The Company should periodically verify whether all those undertaking delegated ISM related tasks are acting in conformity with the Company's responsibilities under the Code.

**This highlights the requirement for companies to verify that all personnel carrying out ISM-related tasks are doing so in accordance with the requirements of the Code and Company's descend procedures and instructions.**



**Resolution MSC. 353(92)**



## External Audits

- ☒ Application for audit (to FS/RO);
- ☒ Preliminary review (Docs review)
- ☒ Preparing the audit
- ☒ Executing the audit
- ☒ Audit report
- ☒ Corrective action follow-up





## Application for audit (to FS/RO);



Company should submit an application to FS - RO



FS – RO nominate the Lead Auditor and/or Audit teams



FS – RO should indicate the audit date





## Preliminary review (Docs review)

- **Review of the Safety Management Manual**  
(see ISM Code 11.3)
- **Review of DataBases**  
(FS records, PSC inspections, CLASS and RO reports)
- **Preparation of relevant check - lists**





## Preparing the audit



**Lead Auditor** in cooperation with the **Company** or **Ship** shall produce an **AUDIT PLAN**



**Flexible;**



**Clear;**



**Agreeded;**



**Communicated to all involved person;**





## AUDIT PLAN topic items



**Identification of Key person and key areas** (timing);

(Ashore: HR, HESS, PD, TECH.. – On Board: DECK, ENGINE, HOTEL, HR)



**Identification of the auditor (s);**



**Definition of the audit working language;**



**Definition of the audit working language;**



**The date and place (s) where the audit is to be conducted;**



**The schedule of meetings to be held with C/S management;**



What's  
the  
plan?



## Example of COMPANY Audit Plan

## Example of SHIP Audit Plan





## Executing the audit



### Opening meeting:

- Introduce the Auditor (s);
- Explain the scope of the audit;
- Provide a short summary of methods;
- Establish communication links ;
- Confirmation of availability of resources;
- Confirmation time and date of the closing meeting



"WE DON'T WANT YOU TO VIEW THIS AUDIT COMMITTEE AS BEING IN ANY WAY CONFRONTATIONAL"



## Working Documents



Check lists;



Forms for reporting observations;



Working documents should not restrict any additional activities or investigations that may become necessary as a result of information gathered during the audit.





## The auditor shall assess the SMS on the basis of:

- Sample bases;
- Documentary evidencies;
- Interviews (widely...not only key person);
- Observation of activities (PC Ops, etc);
- Drills, functional tests, operational controls;





## FINDINGS...



**Observation** means a statement of fact made during a safety management audit and substantiated by objective evidence.



**Non-conformity** means an observed situation where objective evidence indicates the non-fulfilment of a specified requirement.

**DANGER**



**Major non-conformity** means an identifiable deviation that poses a serious threat to the safety of personnel or the ship or a serious risk to the environment that requires immediate corrective action or the lack of effective and systematic implementation of a requirement of this Code.



## **..at the end of the audit.....**



**Hold a meeting with auditors team with the purpose to discuss any O, NC or MNC identified during the entire audit process.**

**Finally the Audit team shall hold a meeting with Senior management of the Company or Ship and those responsible for the functions concerned with the purpose to present MNC, NC or O in such a manner that they clearly understand the results of the audit**



## Audit Report

- The date of completion of the audit;
- The scope and objectives of the audit;
- Auditor (s) and Company representatives;
- All MNCs, NCs and Obs;



## Corrective action follow-up

The Company is responsible for formulating and implementing corrective actions for the non-conformities identified by the auditor(s).

A corrective action plan shall be submitted to the auditor within an agreed time period. The proposals will be accepted if, as written, they appear to be an appropriate response to the non-conformities identified.

A schedule not exceeding three months from the date of completion of the audit shall be agreed for the implementation of the corrective actions. The effectiveness of the corrective actions shall be verified not later than the next scheduled audit (annual, intermediate or renewal)





**Italian Coast Guard**



**Thank you for  
listening!**

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