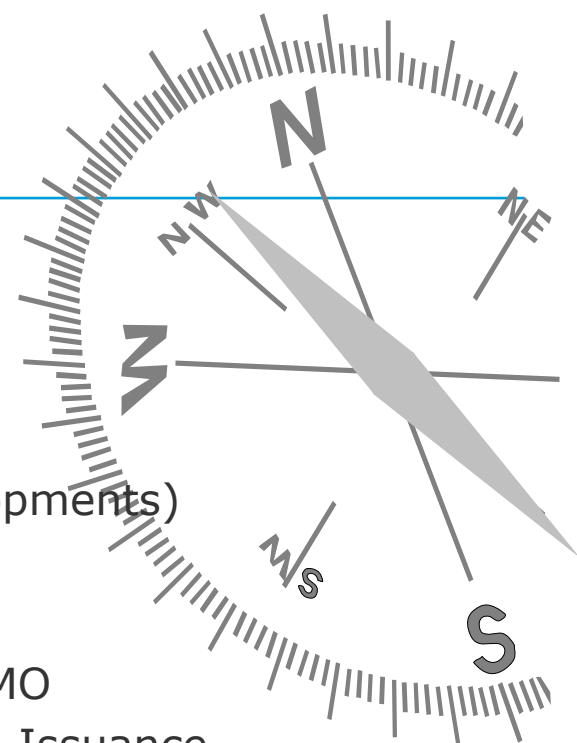




ISM Code & Auditing Techniques

EMSA Training – Modules 8-11

Navigator



- Module 1 – Evolution of Management Systems and the ISM Code
- Module 2 – ISM Code Requirements (incl. latest developments)
- Module 3 – Stakeholders in Shipboard Operations
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Audit Definition

ISO 19011:2018 *"Guidelines for auditing management systems"*

A **systematic, independent and documented process** for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria (set of policies, procedures or requirements) are fulfilled

An audit is an effective and reliable tool in support of management policies and controls, providing information on which an organization can act **to improve its performance**.

IACS PR9 – "Procedural Requirements for ISM Code Certification"

"Audit" means 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 Safety Management System (SMS) is implemented effectively to achieve the Code's objectives.

Audit Purpose

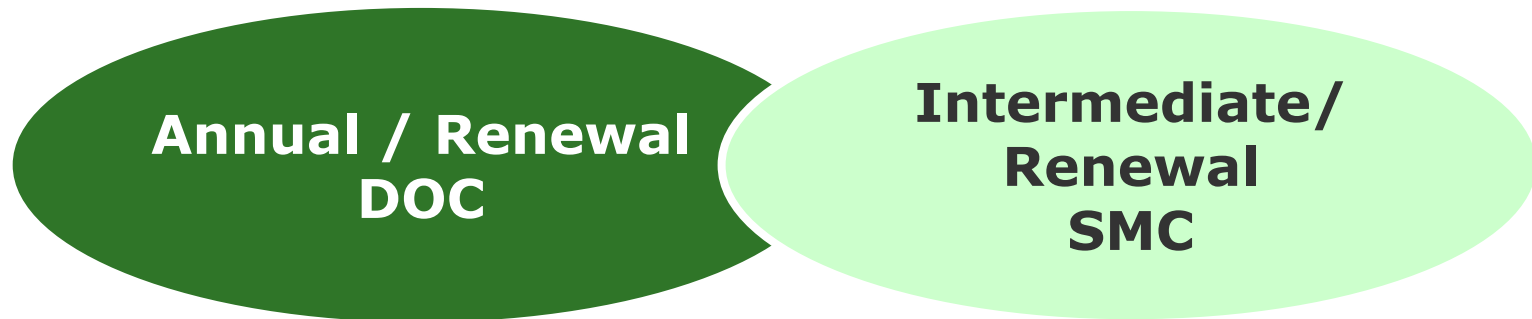
What should be the purpose of an audit?

- Verify **compliance** with the ISM Code;
- Verify **effective implementation** of the SMS;
- Determine the **effectiveness** of the of the SMS in meeting the objectives of the ISM Code
- Support and encourage Companies in **achieving safety management objectives:**



- (1) Provide for safe practices in ship operation;
- (2) Provide a safe working environment;
- (3) Perform risk assessment to establish safeguards against all identified risks;
- (4) Continually improve safety management skills of personnel ashore and aboard.

Audit Purpose



- The effective functioning of the SMS;
- That any modifications made to the SMS comply with the requirements of the ISM Code;
- That corrective action has been implemented;
- That statutory and classification certificates are valid and that no surveys are overdue.

Differences between Inspection & Audit

Inspections

Physical condition = Output
Test = Output (does it work)

Immediate repair
Corrective actions

**Inspection is an audit
method only**

Audit

Physical condition = Input
Test = Input
Symptoms of a problem (root causes) = Output

Effectiveness of the SYSTEM

Non-Conformities
Corrective Actions + Preventing recurrence

The Aim of an Audit



Types of Audits

- **Internal Audits:** within own Company by company auditors
- **External Audits:** Supplier / Certification audit
- **First Party Audit:** audit conducted within own Company (Internal Audit)
- **Second Party Audit:** audit conducted by client in organisation of own supplier or subcontractor (External Audit/ Vetting Audit)
- **Third Party Audit:** audit conducted by or on behalf of a regulatory-/ or certifying body (External Audit).

Audit types	Internal audit	External audit	
		Supplier audit	Certification audit
Alternative names	First party audit	Second party audit, customer audit	Third party audit

Types of audits according to ISO 19011

Audit approaches

Department Audit

- Activities of a department, function
- System audit related to a department

Process-orientated audit (modern ISO approach)

- Questioning along process activities
- Identification of weaknesses or improvements

Incident-orientated audit

- Fact finding of incidents e.g. accidents, failures etc.

Element-/Chapter-orientated Audit

- Compliance with elements of the Standard
- Compliance with requirements defined in specific chapters of the manual

*A combination of a Process and Department audit is possible: the process audited will then become a **Focus Area** of each Department audit, preferably based upon a risk assessment of previous audits, incidents, or other performance indicators.*

This is the DNV GL “Fit-for-Purpose” approach.

Audit Phases



Audit Planning



Audit Plan



Shall include:

- Identification of individuals or organizational units;
- Identification of the auditor(s);
- The language of the audit;
- Date and place;
- Standards to be covered

Audit Plan



Auditor(s) to prepare in co-operation with the Company or Ship

- be flexible
- permit changes
- to permit the effective use of resources
- shall be communicated to all involved in the audit.

Audit Planning - General



Verification of all levels of Company & of the shipboard organization has to be ensured, i.e:

Company:

- General Manager
- DP
- All head of department
- Employees (selected by auditor)

On board:

- Master / ship's management
- Deck and engine department
- Hotel and catering department, if applicable

The sequence of the audit is not prescribed (except for opening and closing meeting)

Module 8 / Activity 1

Audit Plan

EMSA - ISM Code & Auditing Techniques

Audit Planning

The purpose of a proper audit planning is to

- Prepare the auditor and auditee
- Avoidance of misunderstanding
- Minimizing disturbance of operation
- Take into account delays
- Allow for to deviate
- Maintain flexibility

Further Considerations

- Selection and training of auditors;
- Timely preparation;
- Initial, intermediate and renewal shipboard verification audits to be performed only under normal operating conditions
- Interim certification may be conducted in circumstances other than normal operating conditions;
- Provided that the ship is fully manned in accordance with its Safe Manning Certificate.



Audit Preparation



Audit Preparation

- Review **previous audit results, incidents** etc. (Risk Based approach)
- Study relevant **documentation**
- Identify changes in **rules & regulations, procedures**
- Prepare verification of **specific / pre-defined issues** as applicable
- If applicable **establish team** and determine specific tasks
- Prepare (and distribute) relevant **audit documentation**:
 - audit plan
 - list of participants
 - special subjects to be audited
 - checklist(s), if applicable
- Identify the **methods** to be used

Audit methods

Auditing methods to obtain objective evidence:

- Interview
- Demonstration
- Observation
- Inspection
- Document review
- Combination of methods, e.g.

Tour of the ship:

- Interview of crew members in their working environment
- Demonstration of their duties
- Observation of maintenance condition
- Inspect the safety equipment

Performance of a drill

- Interview of crew members
- Demonstration of their duties



Module 8 / Activity 2

Preferred Audit Methods

<https://forms.office.com/Pages/ResponsePage.aspx?id=DQSIkWdsW0yxEjajBLZtrQAAAAAAAAAAAAAANAAfIJy5IUNERZNzVaSkRUQlhTWjhSNTk1NDIIV0NRSS4u>



Preparation of an Audit Questionnaire (Checklist)

- Established by the auditor
- To be used as guidance and record during performance of verification
- Pre-formulated questions



Purpose?

- Systematic approach
- Structured interviews
- Record of findings, observations
- Basis for the audit report

- When preparing an audit, auditor(s) should identify if there are some issues which need to be dealt with in more depth “Focus Areas”. E.g. for companies which got detained vessels or for vessels which have been detained, auditor should prepare to address more in depth what the company did to deal with the root/basic causes.

Audit Questionnaire - Sample

Vessel / Department:			Safety management system requirements implemented and in operation:	
No	Question & potential evidence:	SMM Document No.	Remarks	Y/N
1	Hours of Rest: How is compliance with the rest hours regulations ensured?	MLC A2.3, ISM 6.2	To be used for records during the audit	
	Potential evidence: Table of shipboard working arrangement; Record of working or rest hours			
2	How is it ensured that each seafarer has, at any time, valid medical certificate issued with an approved practitioner?	ISM 6.2, (STCW I/9), MLC A1.2		
	Potential evidence: Medical certificates of a seafarer			

Module 8 / Activity 3

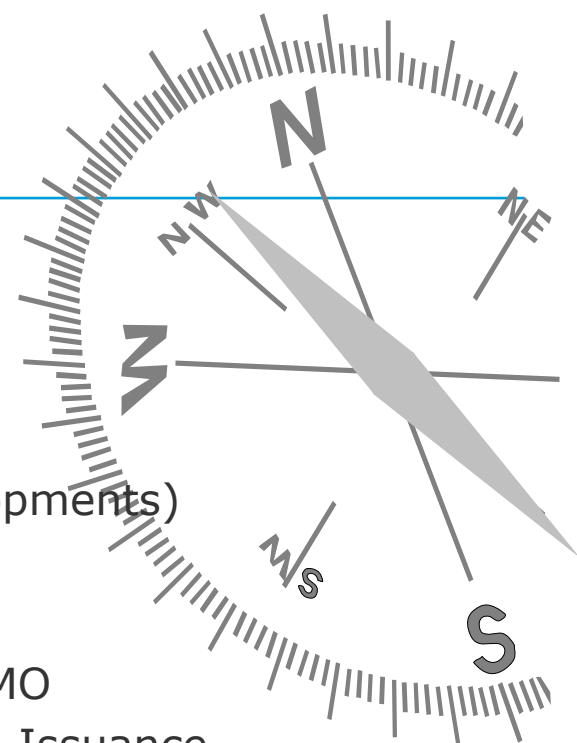
Preparation of an Audit Questionnaire

Closing – Module 8

Do you have any further questions?



Navigator



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Audit Conduction



Audit Conduction - Basics



At all office & shipboard audits, the auditor has to verify the actual situation at audit location (i.e. activities, following of procedures / instructions) against the SMM !!!

- Verification of the requirements of SOLAS IX and ISM Code has been done during the SMM review (DoC review)
- Verification of additional flag State requirements, if any

Audit Conduction - Basics



- To verify the implementation of the SMS, familiarization with the SMM is essential
- Familiarization with the SMM might be done by
 - Self-study (time consuming)
 - Questioning/asking the responsible personnel / DPA in the Company or Master on board a ship to explain and demonstrate contents of SMM during the course of the verification
 - A combination of both

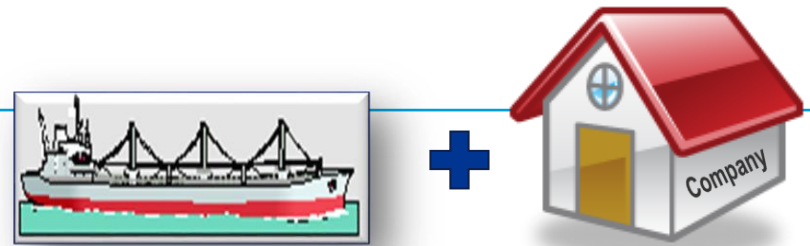
Opening Meeting



Meeting with DP and Company's Management personnel & Ship's Head of Department at the beginning of the audit:

- Introduction of the auditor(s)
- Agreement of the audit plan and rules
- Explaining scope and objectives of the verification
- Summary of methods and procedures which will be used
- Establishing official communication line
- Confirming need of resources, documentation and facilities
- Confirming time (and date) of closing meeting
- Creation of an atmosphere of trust
- Motivation for active participation
- Duration depends upon the experience of the auditee
- Quoting the disclaimers: 1) sampling audit process, 2) data confidentiality

Opening Meeting – Quoting the Disclaimer



What is to be understood by
“quoting the disclaimers” ???

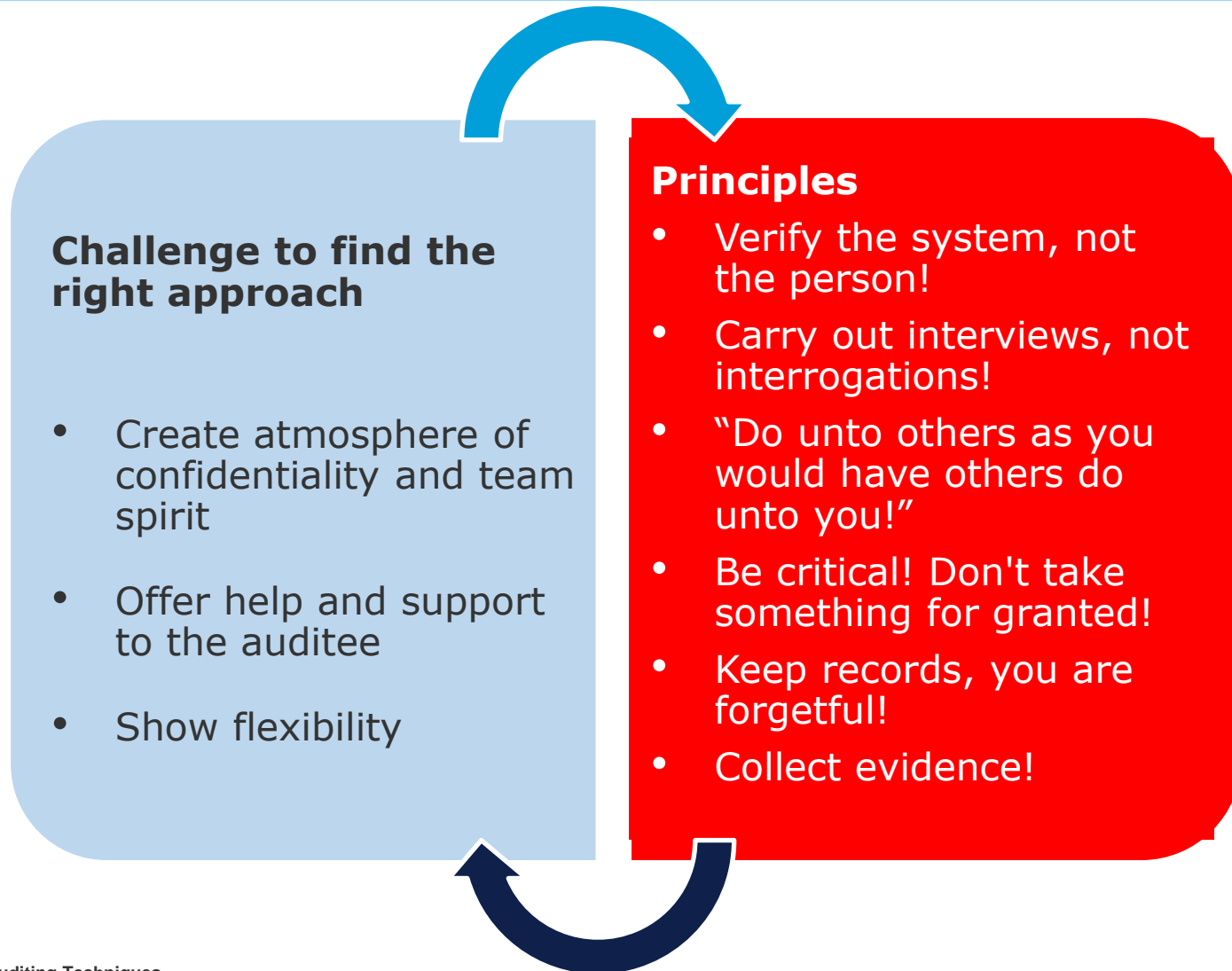
- The verification is based on random sampling process which is to be decided by the auditor
- If during the verification no non-conformities are identified, this does not imply that no non-conformities exist.
- All data and findings collected will be treated strictly confidentially

Module 9 / Activity 1

Role Play, opening meeting

EMSA - ISM Code & Auditing Techniques

Auditor's approach & principles



Conduct of Audit - Basics

Location for audit performance?

- **In the working environment!**
- **Don't sit in the office, move around !!!**
- **Except where: unreasonably hazardous or unhealthy e.g. high noise levels**



Audit performance



- **Find objective** evidence through representative samples of:
 - Interview
 - Demonstration
 - Observation
 - Inspection
 - Document review

- **Reporting of findings** (NCs, Observations):
 - in a clear and concise manner (facts regarding system failures),
 - reference to paragraph of the SMM (ISM-Code)

Representative sample means verification to the level necessary for the auditor to verify the whole system.

Audit performance



- Create positive work atmosphere
- Do not try and find deficiencies, but verify if system is working!
- Be flexible in approach and timing / avoid interrupting operations on board (but not too flexible!)
- Combine different verification methods, i.e tour - documents - interview - demonstration of skills
- Start with the output (condition of vessel, inspection reports, results of other audits)
- Do not focus on the “missing signature”: go for the real issues!
- Prepare yourself mentally; nothing wrong with brief memory support, but avoid checklist slavery!

Document Control - Examples

- Status of System Documentation
- Validity of ship's certificates
- Survey/inspection reports
- Seafarers documentation
- Evaluation of exercises
- On board familiarization
- Non-conformities, corrective actions
- Accidents, incidents
- Cargo documents
- Ship's Log Books (deck, engine, oil, garbage, ballast etc.)

Questioning Techniques



- **Audit questionnaire as basis**
- **Advantages of a questionnaire :**
 - Reminder
 - Allows a systematic approach
 - Completeness of questioning
 - Basis for audit report

Audit Questionnaire - Sample

Vessel / Department:				
No	Question & potential evidence:	SMM Document No.	Safety management system requirements implemented and in operation: Remarks	Y/N
1	Hours of Rest: How is compliance with the rest hours regulations ensured?	MLC A2.3, ISM 6.2		
	Potential evidence: Table of shipboard working arrangement; Record of working or rest hours		To be used for records during the audit	
2	How is it ensured that each seafarer has, at any time, valid medical certificate issued with an approved practitioner?	ISM 6.2, (STCW I/9), MLC A1.2		
	Potential evidence: Medical certificates of a seafarer			



The word “audit” comes from the Latin
audire
and means
listen!!!!!!

Questioning Techniques



- The questioner leads the conversation
- Most of the time the auditor is listening to the auditee - Auditor's are active listeners !
- Lead the conversation from general to detail
- Interview several people to the same topic, if necessary
- Start with "OPEN QUESTIONS"

Open Questions

- Require longer replies
- Request for information
- Clarification of facts
- Open interview atmosphere
- Orientation to facts
- But: Time consuming

Why?

Which?

How?

What?

Half Open Questions

How often?

Where?

How many?

When?

- Require data and facts

Closed Questions

- Precise answers
- Yes / no answers
- Method to control the conversation
- But: character of an inquiry

Is there?

Are you?

Who is?

Questioning Techniques



- **POSSIBLE: Hypothetical Questions**
 - Suppose that...
- **SUGGESTED: Clarification**
 - The auditee is asked to repeat an explanation
 - **The auditor repeats in his own words how he has understood the explanation of the auditee**

Questioning Techniques



- **AVOID: Alternative Questions**

- E.g.is the reason a lack of qualification or a lack of safety awareness?
 - **Cuts down possible answers**
 - **Manipulation of auditee**

- **AVOID: Suggestive Questions**

- E.g. ...certainly you have evaluated the exercises, have you recorded the results?
 - **Cuts down possible answers**
 - **Manipulation of auditee**

Questioning Techniques



- **AVOID: Questions requiring explanatory statements**

- E.g.why have the amendments not been treated in compliance with the procedure?
 - **Person feels he/she is being blamed**

- **AVOID: Chain Questions**

- E.g. ...how often is the master review carried out, what is the criteria for the review, what was the result, what measures have been implemented
 - **Losing track**

Audit Questioning shall be based on facts

- Sample-based verification
- Inspection report (e.g. PSCI)
- Complaint
- Non-conformity
- Spare part order
- Record
-

The Audit Interview

- **Avoid misunderstanding**

- Simple language, short questions
- No chain questions or long winded explanations
- No abbreviations or foreign words

- **Practical audit approach**

- Give practical examples
- Consult records
- Motivate for active participation

Course of Interview

- Questions regarding responsibilities, organizational relations and interfaces
- Questions regarding the actual performance of the procedures and activities
- Questions regarding comparison of planned measures established in the SMM and actual performance of the measures on board
- Hypothetical questions regarding reactions on certain imaginary scenarios
- Please show me...(collecting evidence during the interview)

A photograph of three workers in white hard hats and safety gear inspecting a large industrial machine. The machine has a large circular opening and is illuminated by a bright light. The workers are looking into the machine, and one is pointing at something inside. The background is dark and industrial.

Collecting Objective Evidence:

Please show me...

Treatment of Objections

Objections are an opportunity for improvements

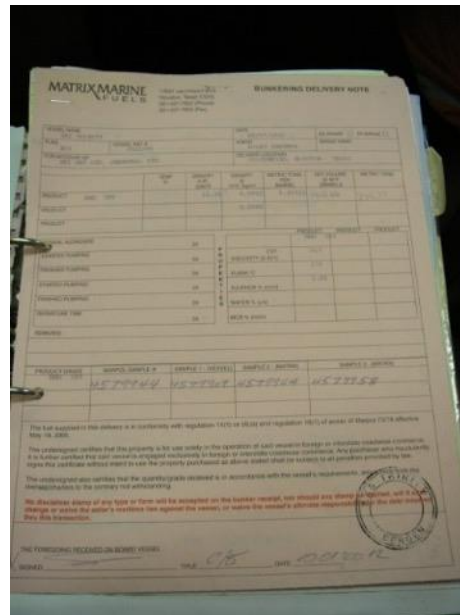
- Factual reaction
- Questioning the background
- Timely reply
- Defer the reply
- Isolate objection

Objective Evidence

- Quantitative or qualitative information
- **Factual** records or statements pertaining to safety or to the existence and implementation of an SMS element
- Based on Observation, Measurement or Test and which **can be verified**.



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Module 9 / Activity 2

Facts or Opinions ?

<https://forms.office.com/Pages/ResponsePage.aspx?id=DQSIkWdsW0yxEjajBLZtrQAAAAAAAAAAAAAAAAAafIJy5IUOU5DUkozUE02VTE0Q0xKQVRHNE NHTesxTy4u>



Module 9 / Activity 3

Assessment of a Drill

Remote Audits



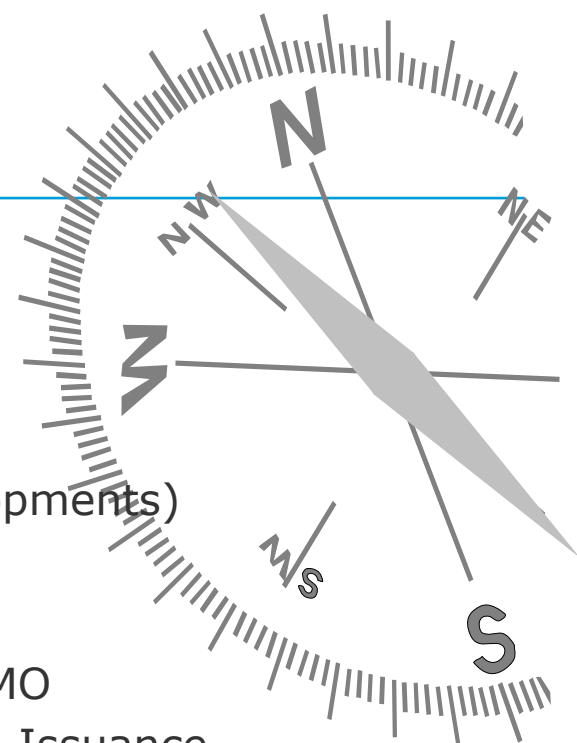
EMSA - ISM Code & Auditing Techniques

Closing – Module 9

Do you have any further questions?



Navigator



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Audit Reporting & Follow-up



System Improvement by Non-Conformities



Element 9

9 REPORTS AND ANALYSIS OF NON-CONFORMITIES, ACCIDENTS AND HAZARDOUS OCCURRENCES

- 9.1** The SMS should include procedures ensuring that non-conformities, accidents and hazardous situations are reported to the Company, investigated and analyzed with the objective of improving safety and pollution prevention.
- 9.2** The Company should establish procedures for the implementation of corrective action, including measures intended to prevent recurrence.

Reporting to DP

**Investigation
of causes**

**Corrective action
incl. measures to
prevent recurrence**

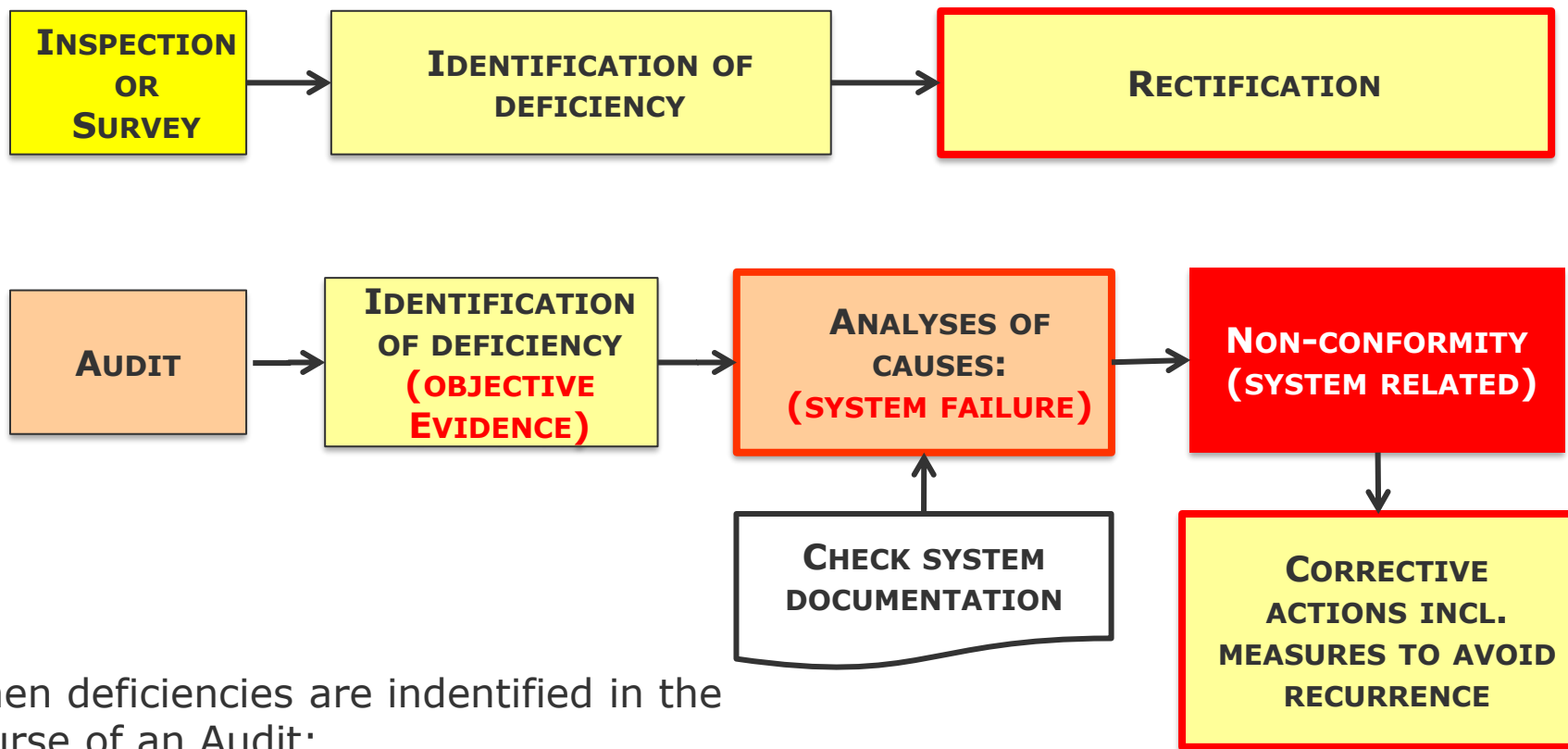
Definition of Non-Conformity (NC)



In the ISM Code a non-conformity (NC) is defined as:

“Observed situation where objective evidence indicates the non-fulfilment of a specified requirement”.

Deficiencies vs. ISM Non-Conformities



When deficiencies are identified in the course of an Audit:

The company is according to ISM 9 (and ISM 10) supposed to follow up all non-compliance, analyze, identify root cause, correct and take actions to prevent recurrence, regardless of how and by whom the non-compliance was identified.

EMSA - ISM Code & Auditing Techniques

Grading of Non-Conformity Notes

Observation:

“A statement of fact made during an ISM audit and substantiated by objective evidence”

(ISM Code 1.1.8)

“An OBS is simply a statement of fact relevant for the audit scope. It may lead to a non compliance in the future if not addressed by the Company, or it may be used to encourage the company to consider non-mandatory relevant guidelines”

Non-Conformity:

“Observed Situation where Objective Evidence indicates the non-fulfillment of a specific requirement” .

(ISM Code 1.1.9)

Major Non-Conformity:

An identifiable deviation that

- **poses 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**
- (ISM Code 1.1.10)**

A large number of NCs may indicate a breakdown of the whole SMS !

Grading of Non-Conformity Notes – Examples (1)

Non-Conformities:

In the Company

- Several crew members qualification / medical fitness certificates not available / traceable but required by STCW/MLC and SMM
- No objective evidence available for identification of training needs as required by ISM-Code 6.5 and SMM

On the ship

- Records show that C/O is not getting his minimum rest hours in several cases as defined by STCW /MLC and SMM. If there are repeated occasions where C/O does not get minimum rest it is a MAJOR NC – unless this is compensated in accordance with STCW.
- Evidence missing that maintenance intervals are complied with as required in SMM / maintenance planning

Grading of Non-Conformity Notes – Examples (2)

Major Non-conformities:

In the Company

- DP who left the Company has not been replaced
- No internal audits performed according to SMM
- No emergency response resources available as required
- Management review not carried out
- Evidence that duties and responsibilities of shore based personnel not known and lack of familiarization with key requirements of the SMM / ISM Code / international rules and regulations.

On the ship

- Vessel not manned according to Safe Manning Certificate
- AUT Notation suspended and required changes to manning not performed

➤ If **many deviations / non-conformities** are identified in **key requirements** the “root cause” might be **lack of commitment from the top and lack of implementation** (major NC).

Grading of Non-Conformity Notes – Examples (3)

In the Company

Observation:

- Staff in technical or crewing department use different uncontrolled checklists for the same purpose defined as a process in the SMM.

➤ **Could this be of harm to the process ?**

Consider: If the SMM requires a specified checklist to be used, and they are not using that check list, but other check lists, that's a clear NC because SMS is not implemented. However, if there is no required check list, and staff members have made their own, it is a fact, and the process may perhaps be executed in a more consistent manner if there is one common checklist.

On the ship

- One or two on-signers have definitely not been familiarized according to the process described in the SMM (checklists).

➤ **Have they re-joined the ship after vacation ?**

➤ **Are re-joiners due for familiarization according to the SMM ?**

➤ **If not, how are they made familiar with new developments?**

Consider: If they are not following the process in the SMS, then it is a NC regardless of whether they are new or re-joiners.

Non-Conformities on Board – Examples (1)

Objective evidence



Fire stations not cleared-up
Fire extinguishers blocked by garbage



Possible root cause?

- a) System of safety inspections not working on board
- b) Lack of safety awareness / culture of crew
- c) Lack of storage room
- d) Lack of Master's supervision
- e) Lack of Company's supervision

Possible N/C

- a) ISM 10
- b) ISM 6
- c) ISM 3
- d) ISM 5
- e) ISM 3, 4

Non-Conformities on Board – Examples (2)

Objective evidence

Crew members observed not using PPE (helmets) during storage work and operating lifting equipment



Possible root cause?

- a) Lack of safety awareness / culture of crew
- b) Possibly no helmets available
- c) Lack of supervision

Possible N/C

- a) ISM 6
- b) ISM 3
- c) ISM 3, 4, 5

Non-Conformities on Board – Examples (3)

Objective evidence

SOPEP Kit in an absolute mess, wooden box rotten



Possible root cause?

- a) System of maintenance and inspection not working
- b) Possibly lack of financial resources for maintenance
- c) Lack of safety awareness / culture
- d) Lack of supervision

Possible N/C

- a) ISM 10
- b) ISM 3
- c) ISM 6
- d) ISM 3, 4, 5

Non-Conformities on Board – Examples (4)

Objective evidence

Several Fire doors blocked



Possible root cause?

- a) System of safety inspections not working on board
- b) Lack of safety awareness / culture
- c) Possibly air condition not working properly
- d) Lack of supervision

Possible N/C

- a) ISM 10
- b) ISM 6
- c) MLC (ISM 1.2.3) ISM 10
- d) ISM 3, 4, 5

Non-Conformities on Board – Examples (5)

Objective evidence

No garbage separation for food waste (mixed garbage in bin)



Possible root cause?

- a) Garbage Management System not working
- b) Lack of environmental awareness of crew
- c) Lack of crew's familiarization
- d) Lack of supervision on all levels

Possible N/C

- a) ISM 1.2.3
- b) ISM 6
- c) ISM 6
- d) ISM 3, 4, 5

Non-Conformities on Board – Examples (6)

Objective evidence

Maintenance checklist showing overdue dates

No.	ITEM	Reference to Maintenance Instructions	CHECK	Period	Job done (dd.mm.yy)	Next due date (dd.mm.yy)
1. SAFETY GENERAL						
1-1	Maintenance Instruction Sheets and Inventory Checklists completed and updated			1 month		OVERDUE
1-2	Muster List (Station Bill) updated and in good condition			upon each crew change		N/A
1-3	Muster List, Cabin Cards and Fire Plans checked	SAF01011		1 month		OVERDUE
1-4	Safety signs and lighting (other than emergency)	SAF08011		1 month		OVERDUE
1-4-1	General Alarm and PA System tested	Week 1	SAF03001		weekly	OVERDUE
1-4-2		Week 2	SAF03001		weekly	OVERDUE
1-4-3		Week 3	SAF03001		weekly	OVERDUE
1-4-4		Week 4	SAF03001		weekly	OVERDUE

Possible root cause?

- a) Planned maintenance not performed as required
- b) Maintenance done but not recorded
- c) Lack of introduction in PMS
- d) PMS software not suitable / bugs in the system
- e) Lack of supervision

Possible N/C

- a) ISM 10
- b) ISM 10
- c) ISM 6
- d) ISM 9 (Reported ?)
- e) ISM 3, 4, 5

...and Some More Objective Evidence

Decoration fixed on sprinkler nozzle



Helmet placed on water tight doors



Fire extinguisher fixed with rope



Switch box not lockable, spoiled with various items



A/C room in an absolute mess



Possible root cause?

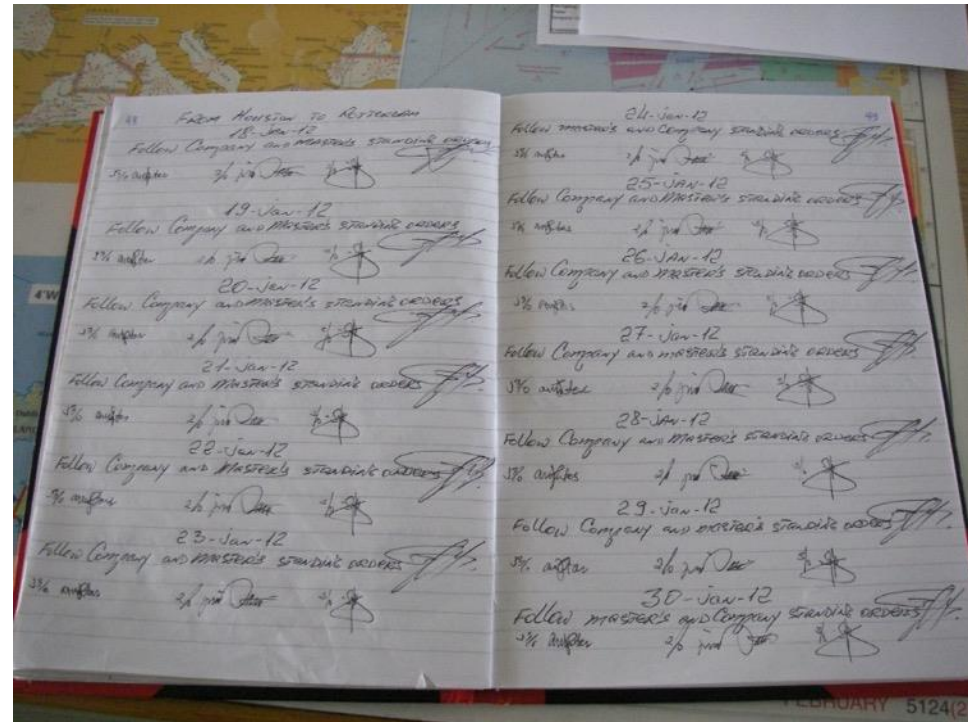
- Lack of organization
- Lack of procedures
- Lack of training
- Lack of awareness
- Lack of resources
- Lack of support
- Lack of supervision

Possible N/C

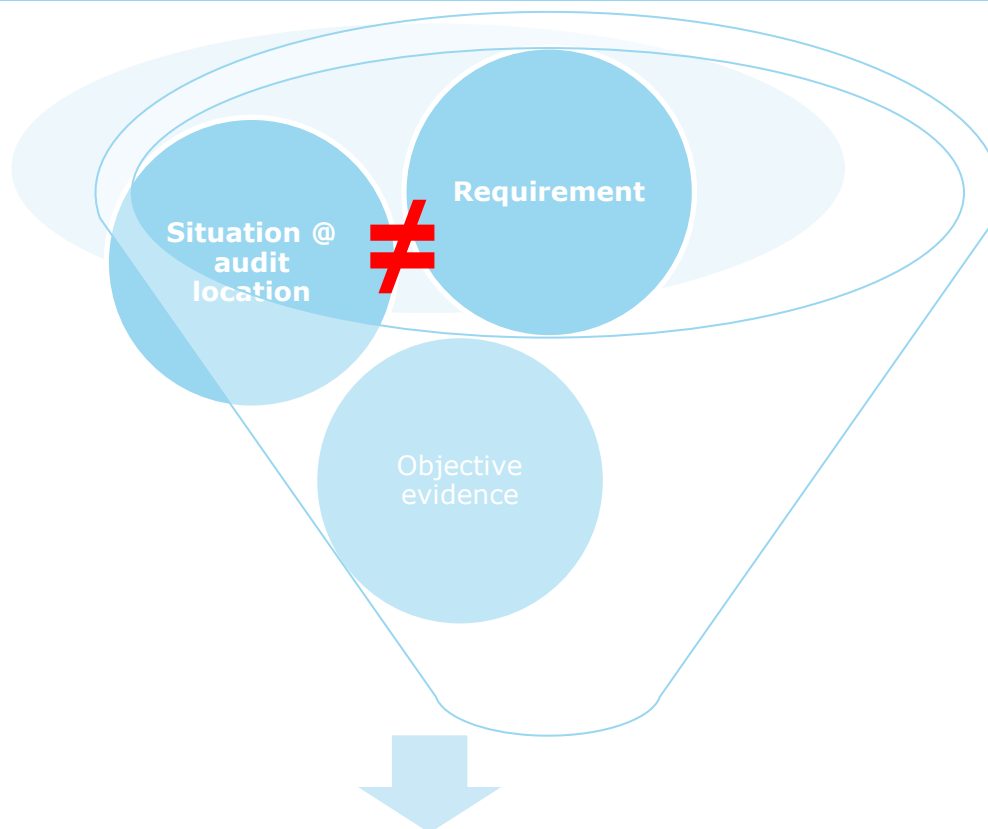
- ISM 3
- ISM 7
- ISM 6
- ISM 6
- ISM 3
- ISM 3
- ISM 3, 4, 5

Objective Evidence

- Physical evidence
- Formal statements from responsible personnel
- Performance as shown
- Execution of duties
- Records and other documentation
- Facts, not opinions



Wording of Non-Conformities



Clear, precise, no speculation “**Clarity before brevity**”
Mention against which element of the code or regulation
and the SMS the NC is issued

Systematic Handling of Non-Conformity Notes

**Auditing
towards
SMM !!!**

Finding / Deficiency (Objective Evidence)

Check requirement acc. to SMM

Description of non-fulfilment of the requirement

Grading the NC

Issuing NC Note

Assessment and Acceptance of Corrective Action

Verification of Corrective Action
(usually during next audit only)

Closing of NC (or upgrading if not rectified)

**Check
preventive
aspect !!!**

Module 10 / Activity 1

Reporting of Non-Conformities

Corrective Actions (CA) – Philosophy of Acceptance

CA's should ensure that the systematic deviation from the SMS is prevented from recurring

It is not sufficient to simply replace / correct a deficient item !

E.g. only replacing obsolete forms is not a CA - additionally, the procedures for document control, monitoring or training will need to be revised / improved / initiated

CA's should ensure continuous improvement of the system (preventive and proactive measures)

- CA's must be proposed by the master or Company (DP) within the agreed time
- The auditor should assess the proposed CA and decide if the criteria for acceptance are fulfilled
- If not, the auditor should discuss with the Company (DP) and agree on a suitable amendment to the proposed CA

Corrective Actions (CA) – Verifying Implementation



Company



Ship

Non-Conformity:

- **Implementation of accepted CA within agreed time (max. 3 months)**
- **Verification by auditor at next external audit**

Non-Conformity:

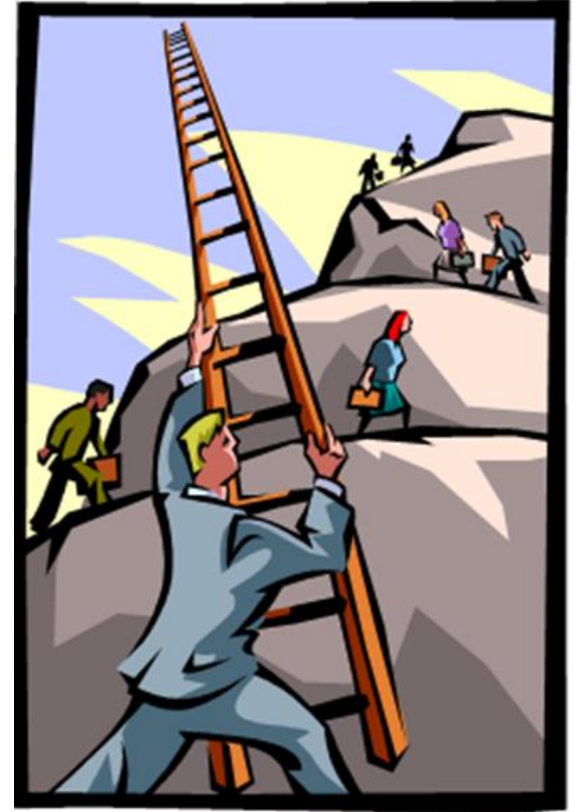
- **Implementation of accepted CA within agreed time (max. 3 months)**
- **Verification by auditor at next external audit or by random sample at the Company periodical audit**

Major Non-Conformity:

- **Implementation of accepted immediate CA's to MAJOR NC's must be verified prior to completion of the Audit**
- **Then MAJOR-NCN can be downgraded to an NC in order that the DOC (company) / SMC (ship) remain valid**
- **Long-term CA to be defined to avoid recurrence (within agreed time)**
- **Additional audit required (within 3 months time)**

Implementation of Corrective Actions by Company

- Root cause analysis
- Definition of corrective action and proposal to RO / flag State
- Adequate control of timely implementation (within given / agreed time frame)
- Notification of completed implementation to Designated Person (DPA)
- Follow-Up Audit at the discretion of the DPA,
- Verification during the following audit or a regular visit on board by superintendent



Closing Out Non-Conformities

NC's **must be available** including the accepted CA's **for close-out by the auditor**

NC's can only be closed-out when the **auditor verifies that the accepted CA's have been implemented effectively** within the **3 months** time period from the audit date

Objective evidence must be produced to support the implementation of the CA's

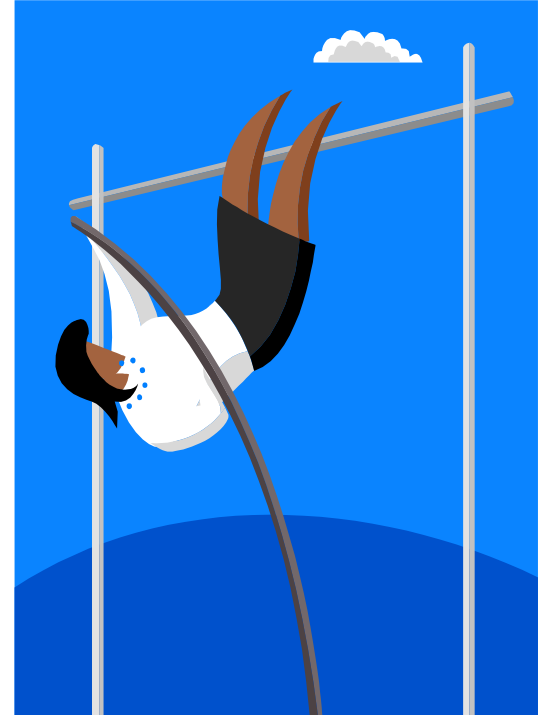
In case the auditor finds the CA not properly implemented:

➤ **Upgrading of non-conformity note**



Typical problems

- Root cause not identified
- Inaccurate description of non-conformity or deficiencies
- Incorrect or ineffective corrective actions agreed / accepted
- Lack of time frame for corrective actions
- Delay of audit report



Closing Meeting



- To be present: DP and senior management of Company and department heads (ISM related departments)
- Purpose: Findings to be presented in such a manner that the result of the audit is clearly understood.
- Prior to presenting NC(s), observations: summarize the positive findings.
- Express your thanks for hospitality / good co-operation.
- State (again): confidential treatment, sampling process.
- Leave copies of documentation, interim / short term DOCs (original) and explain further processing.

Closing Meeting

- With ship management personnel
- Presenting the verification results
- Signing/acceptance of verification documents *



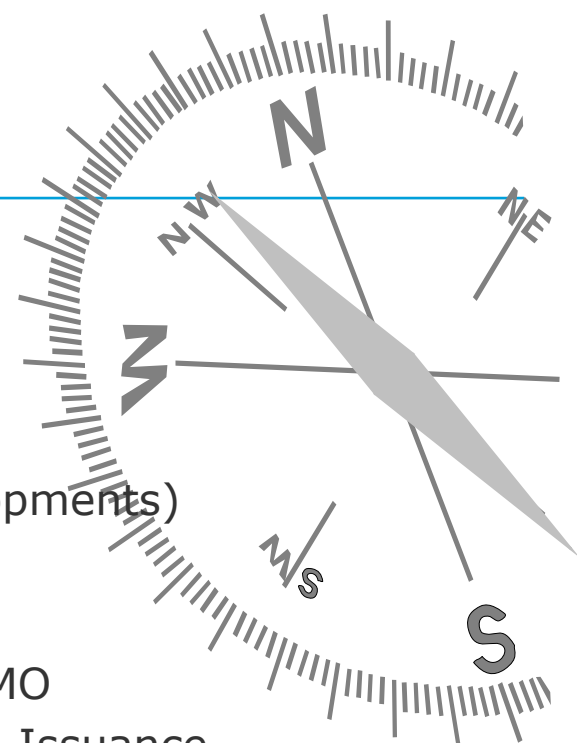
*** With the introduction of electronic systems for audit reporting, it is not so common with auditee signature anymore. In case of disagreement on deviation, auditor has to provide evidence for non compliance and auditee evidence for compliance. If disagreement not settled solution could be found by requesting advice to the flag state administration e.g.**

Closing – Module 10

Do you have any further questions?



Navigator



- Module 1 – Evolution of Management Systems and the ISM Code
- Module 2 – ISM Code Requirements (incl. latest developments)
- Module 3 – Stakeholders in Shipboard Operations
- Module 4 – Knowledge of Shipboard Operations
- Module 5 – The ISM Code and the EC Regulations & IMO
- Module 6 – Types and Scopes of Flag State Audits and Issuance of Certificates
- Module 7 – The Auditor
- Module 8 – Audit Planning and Organization
- Module 9 – Audit Conduction
- Module 10 – Audit Reporting & Follow-up

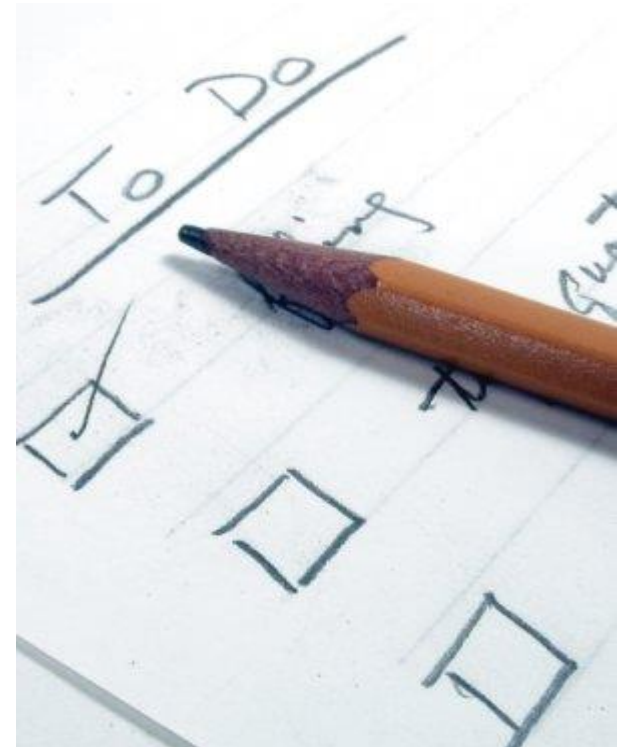
➡ **Module 11 – Role Play**

Module 11 - Practical Part

Role Play

Examination

- You have **30 minutes** to answer the questions
- 70% correct answers are necessary to pass the test
- Multiple choice procedure
- You may refer to course materials but **be aware of the time available**



Seminar closing

- How did you like the seminar?
 - Please tell us your opinion on the seminar assessment forms
 - One for EMSA and one for DNV-GL
- Distributing course certificates



Seminar closing

- Do you have any further questions?





Thank you for your attention!