

# **Training on Flag State Issues**

## **The DMA and its Quality System (structure resources, management of the system, main procedures, practical experience, relations to VIMSAS and III Code).**

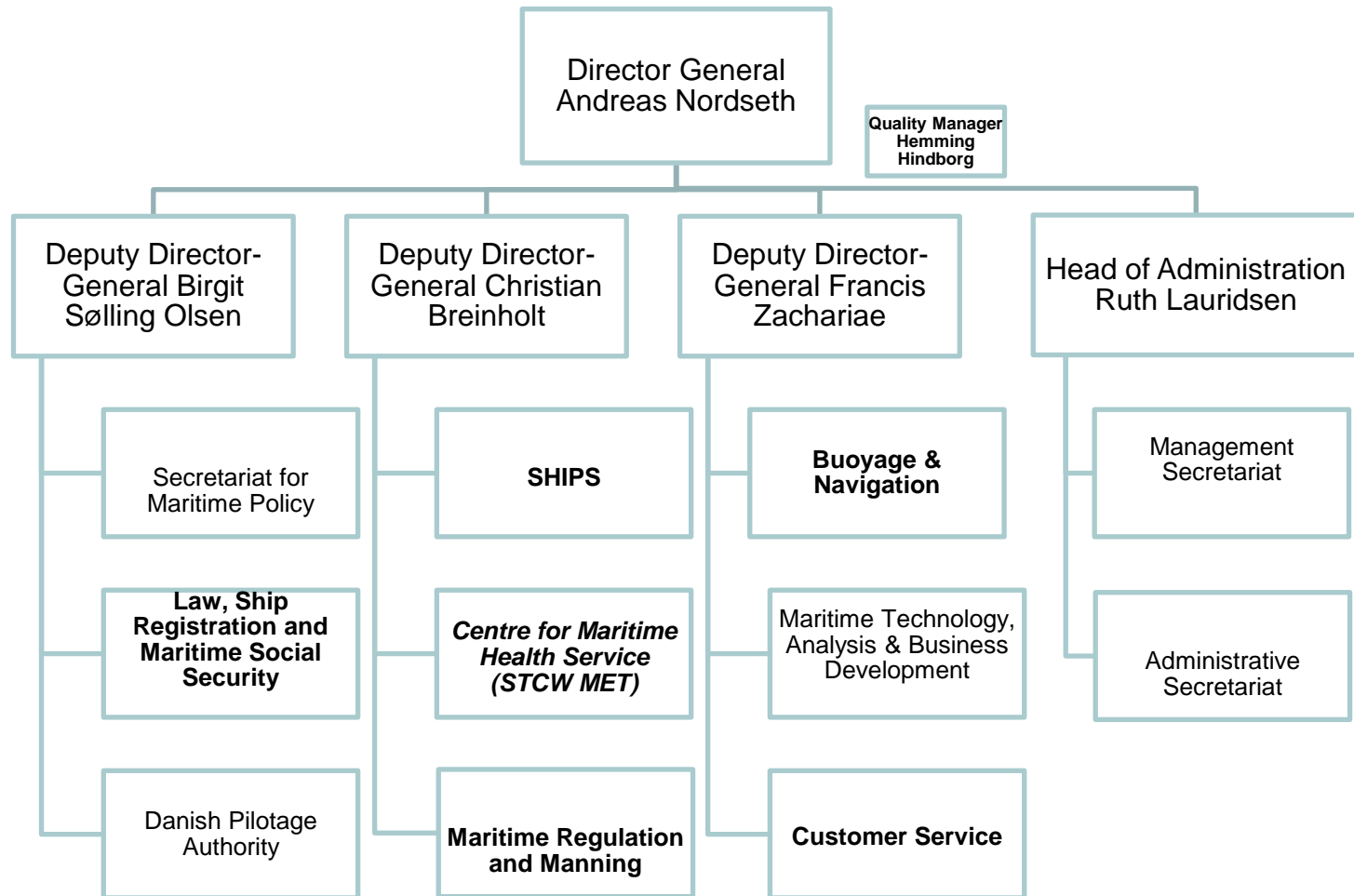
**Quality Manager Hemming Hindborg**  
**Danish Maritime Authority**



## **CV of Hemming Hindborg, Danish Maritime Authority**

<b>1975 - 1979</b>	<b>Deck Apprentice - Shipmaster's Examination</b>
<b>1980 – 1982</b>	<b>Deck Officer on tankers in AP Moller - Maersk</b>
<b>1983 - 1989</b>	<b>DMA, Copenhagen Nautical College, Maritime Lecturer</b>
<b>1989 - 1990</b>	<b>Shipping Company, Manning and MET</b>
<b>1990 – 1996</b>	<b>Shipping companies, Nautical Superintendent/Quality Coordinator, DPA.</b>
<b>1997 - 2001</b>	<b>DMA. Educational consultant, Examiner (Masters and Mates), Special adviser/Quality Coordinator in MET Division.</b>
<b>2001 - 2003</b>	<b>DMA, Quality Coordinator in Technical Division.</b>
<b>2006 -</b>	<b>DK Central Point of Contact, VMSAS Auditor</b>
<b>2003 – 2011</b>	<b>DMA, Head of Maritime Training, Education and Manning Division (Centre of Seafarers and Fishermen)</b>
<b>2012 -</b>	<b>Quality Manager of DMA</b>

## The organisation of the DMA (2012)



# The organisation of the DMA

## Staff:

1 General Director

4 Deputy Directors

330 employees

# DMA places of work

**Main office**  
Danish Maritime Authority, Copenhagen

**Operational centres**  
Grenå  
Korsør

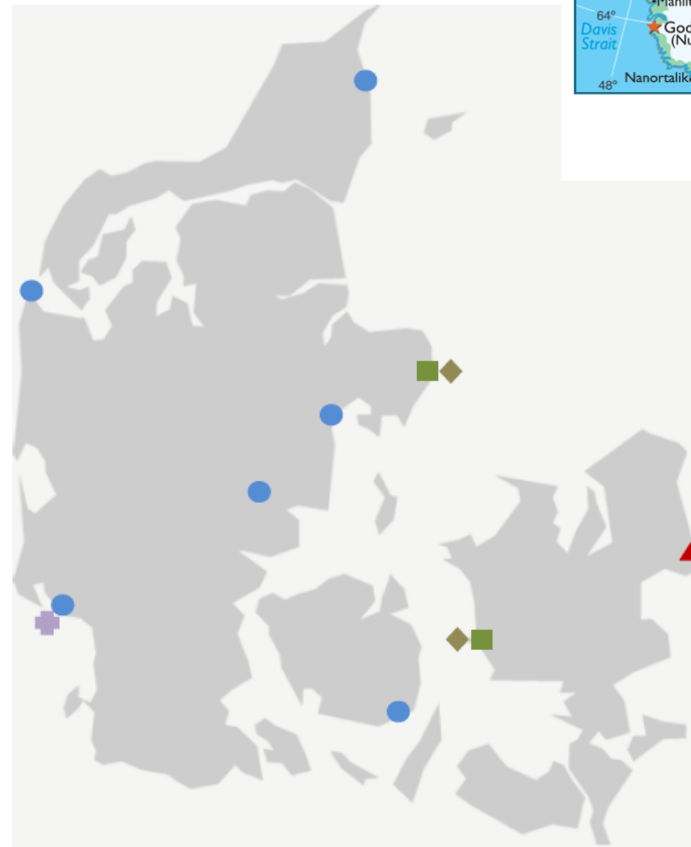
**Inspection vessels**  
JENS SØRENSEN, Grenå  
POUL LØWENØRN, Korsør

**Survey offices**  
Aarhus  
Esbjerg  
Fredericia  
Frederikshavn  
Svendborg  
Thyborøn

Nuuk, Greenland

**Health training**  
Maritime Health Service, Fanø

Danish Maritime Authority, Faroe Islands  
Loran-C station, DGPS station, operation of lighthouse





Safe ships, health and the environment  
Safe waters, buoyage and navigation  
Social conditions, seafarers and fishermen  
Framework conditions, competition and growth  
Basic supportive functions are performed by  
"Resources and management"

**Mission**

To promote health and safety on clean seas and to effectively strengthen the competitiveness of and employment in the maritime industries.

**Vision**

Denmark is to be a leading maritime nation, setting the direction for future quality shipping.

## Key figures

- Danish shipowners own 3 % of the world tonnage
- Danish shipowners operate 5 % of the world's contracts
- 7% of the world tonnage is controlled and operated from Denmark
- Danish shipowners are transporting 10 % of the world trade
- Danish shipowners employ 30.000 out of a total of 100.000 employed in the Blue Cluster of Denmark
- DIS: BT 11.402.316 (a total of 631 ships)
- 9.582 seafarers on board DIS vessels on 30. September 2011:  
*2.987 from Denmark, 1.448 EU/EEA and 4.971 from other countries*
- DAS/FTJ: BT 470.000 (a total of 11.300 vessels including smaller vessels, domestic passenger vessels, fishing vessels etc)

Source: Danish Shipowners' Association

## Number of Danish ships

	DIS	DAS	FTJ	Total
Passenger ships	27	141	38	206
Cargo ships over 3000 GT	306	-	-	306
Cargo ships between 500 and 3000 GT	110	3	-	113
Cargo ships between 300 and 500 GT	11	4	-	15
Cargo ships under 300 GT	77	771	381	1.229
Fishing vessels over 45 meter	-	32	-	32
Fishing vessels between 24 and 45 meter	-	77	-	77
Fishing vessels between 15 and 24 meter	-	223	-	223
Fishing vessels under 15 meter	-	1.223	2.220	3.443
Other ships	95	6.128	204	6.427
In total	626	8.602	2.843	12.071

Source: DMA's database



## The merchant fleet – in total (1,000 GT)

	Danish registered (DIS)	Danish owned
2003	7.247	12.797
2004	7.285	13.205
2005	7.790	15.186
2006	8.179	17.088
2007	8.967	21.152
2008	10.094	24.197
2009	10.804	25.297
2010	11.530	26.435

Source: Lloyd's World Fleet Statistics

# Delegation of authority:

## Authorised Recognised Organisations (RO)

American Bureau of Shipping (ABS)

Bureau Veritas (BV)

Class NK (Nippon Kaiji Kyokai)

Det Norske Veritas (DNV)

Germanischer Lloyd (GL)

Lloyd's Register (LR)

Polish Register of Shipping (PRS)

RINA

**Authorized companies (>200)**

# **Quality Management System of the Danish Maritime Authority**

# Requirements for QMS

- EU directive 2009/21/EC on compliance with flag State requirements ("Flag State Directive")

## *Article 7 - Flag State auditing process (IMO audit)*

Member States shall take the necessary measures for an IMO audit of their administration at least once every seven years, subject to a positive reply of the IMO to a timely request of the Member State concerned, and shall publish the outcome of the audit in accordance with relevant national legislation on confidentiality.

## *Article 8 - Quality management system and internal evaluation*

By 17 June 2012 each Member State shall develop, implement and maintain a quality management system for the operational parts of the flag State related activities of its administration. Such quality management system shall be certified in accordance with the applicable international quality standards.

## ***Operational parts?***

**... Commission clarification from 2009 on the operational parts of the flag State related activities of its administration:**

***....the operational parts of the flag State related activities of the national administrations subject to quality management system in accordance with article 8 of the Directive cover all the activities of the administrations related to inspection, survey and certification of ships and staff, given to Flag State by the relevant IMO Conventions.***

***Regarding these Conventions, it has been specified that they include in particular the STCW and the Tonnage Conventions neither the Bunkers Convention nor the CLS Convention.***

***....certification must be at least in accordance with applicable international quality standards, in particular the ISO 9001:2001.***

# Other requirements for QMS

**STCW Convention Regulation I/8, STCW Code Section A-I/8: Quality Standards.**

**EU directive 2008/106/EC on the minimum level of training of seafarers**

***Article 10 - Quality standards***

**all training, assessment of competence, certification, endorsement and revalidation activities carried out by nongovernmental agencies or entities under its authority are continuously monitored through a quality standards system to ensure the achievement of defined objectives, including those concerning the qualifications and experience of instructors and assessors;**

**ISM Code (DMA inspection vessels including shorebased activities)**

**III Code mandatory from 2015**



## DMA Quality Management – the proces....

1995 - 1997	Development of a corporate DMA Quality Management System
1997 - 1998	Development of the Q MET STCW 1995 system in Denmark - Quality Management System covering all STCW and MET activities
1999 - 2001	Education and training of DMA QMS auditors EFQM Business Excellence self evaluation
2003 – 2008	Development of local QMS covering the inspection, audit and survey system in Denmark including Flag and Port state Control activities, rules and regulations
2008	2 local Quality Management Systems covering the operational parts of the flag State-related activities
2012 – 2013	1 corporate and several local Quality Management System covering the operational parts of the flag State-related activities

## Audits of the DMA.....

1997 -	Internal auditing of the DMA STCW system
1997 -	External auditing of MET institutions
1998 - 2008	External ISO 9001 certification of STCW by Force
2001	Business Excellence self evaluation
2004	Independent evaluation of Danish MET (STCW I/7)
2006	VIMSAS audit of Denmark
2006	EMSA audit of Port State Control (2009/16/EC)
2008	ISO 9001:2008 certification by Danish Standard – the operational parts of the flag State related activities - 2 certificates
2009	Independent evaluation of Danish MET (STCW I/7)
2011	EU Commission ISPS inspection of National Administration and Port of Copenhagen
2011	EMSA audit of STCW/MET activities (2008/106/EC)
2011	EMSA audit of monitoring and information system
2012 – 2013	ISO 9001:2008 certification by Danish Standard – the operational parts of the flag State-related activities - 1 corporate DMA certificate
2012	EMSA audit of Port State Control (2009/16/EC)
2013	Independent evaluation of Danish MET (STCW I/7)
2013	<i>Internal national VIMSAS Audit</i>
Maybe 2019?	<i>Mandatory IMO Audit (III Code)</i>
Yearly	Audit by the State Account (Rigsrevisionen) – Accounts, procedures, IT etc.

## DMA Quality Management today

- A corporate Certified Quality Management Systems (ISO 9001:2008 certification by Danish Standard)
- Business Excellence (EFQM Excellence Model 2010)
- EU Flag State Directive 2009/21/EC
- Voluntary IMO Member state Audit Scheme (VIMSAS)
- Mandatory IMO Member state Audit Scheme (III Code)
- ISM Code (2 inspection ships and shorebased)

# DMA QMS ISO 9001:2008

- **Quality organisation**
  - Director (1)
  - Quality Manager (1)
  - Heads of operational divisions (5)
  - Local Quality Coordinators (4)
  - Employees (approx. 300)

# **DMA QMS ISO 9001:2008**

- **Quality System Documentation**
  - Quality Manual
  - 8 corporate procedures
  - Local Quality Management Systems
  - Corporate access to all QMS system
- **Quality activities**
  - Corporate internal and external audits
  - Document review
  - Corporate Management Review

# **DMA QMS ISO 9001:2008**

## **8 corporate procedures (ISO 9001 requirement)**

- Preventive Action
- Internal Audits
- Corrective action and continual improvement
- Customer satisfaction and complaints
- Management Review
- Control of nonconforming products and complaints
- Control of Documents
- Control of Records



# DMA QMS ISO 9001:2008

## Local Quality Management Systems

- Survey and Inspection (Synsservice)
- Rules and Regulations (Regeldatabasen)
- MET Instructions and guidance (Vejledninger)
- Instructions regarding issue of Certificates (Hjælp til Sønæring)
- Instruction regarding Registry of Ships
- Guidance to IT systems
- Safety Management System (Ship and shorebased)
- Records including records of all personnel



Som ansat A-Z

Sådan arbejder vi

Kommunikation og presse

Søfartsstyrelsens ordbog

Ministerbetjening

Regelarbejde

Aktindsigtsbegæringer

Tiltalesager

Ide-postkasse

Politikker, strategier,  
processer og handlingsplaner

Hjælp til Sønæring

Vejledning om ligestilling

Sagsfordeling i DIS

**Kvalitetsledelse**

Journalisering i 360

Organisation

Resultatkontrakter og  
årsrapporter

Projekter og strategier

Mellem os

Hjælp til IT

Effektivisering

Denne side indeholder Søfartsstyrelsens kvalitetsdokumenter (under opbygning)

Kvalitetsdokumenter

[Ny](#) | [Send](#) | [Handlinger](#) | [Indstillinger](#)

Type

Navn

Ændret

+ [Emne](#) : **00 Certifikater** (2)

+ [Emne](#) : **01 Kvalitetsmanual** (2)

+ [Emne](#) : **02 Procedurer** (8)

+ [Emne](#) : **03 ledelsens evaluering** (16)

+ [Emne](#) : **06 Eksterne Audits af SFS** (14)

+ [Emne](#) : **07 Interne Audits hos SFS** (18)

+ [Emne](#) : **09 Flagstats inspection programme** (3)

Genveje

**Værktøjer**

NYHEDER

SynsService

Løbende forbedringer

Hjælp til Sønæring

Auditplan - SFS intern -  
2012

Skabelon til ledelsens  
evaluering

Oversigt over interne  
auditorer

Auditplan - SFS  
eksternt- 2012

**Enheder**

SKIBE

FAN

KC

MRB

JUS

Forsiden  
Installation  
CFS's kvalitetsstyring  
SynsService  
Vejledninger  
Skibsregistret  
Regeldatabasen  
Afgørelser/dispensationer  
Links  
Skibsdata  
Rejsetaske  
Mine synssager

#### kvik links:

1. [Affaldsskema](#)
2. [Rapporter \(syn, ism, mv.\)](#)
3. [klassernes hjemmesider](#)
4. [Stop skib](#)
5. [frigiv skib](#)
6. [Depositum](#)
7. [afgørelsesskema DK](#)
8. [afgørelsesskema UK](#)
9. [Standardtekster](#)
10. [PSC rapport](#)

Dette er en del af et certificeret ISO9001:2008 kvalitetsstyringssystem for SKIBE

**Forbedringer er vigtige, derfor: Støder du på fejl eller opstår der ønsker om rettelser, så klik her og skriv til os!**

**Der sker ingen ændring mht. behandlingen af skemaer og rapporter ved overgangen til det nye ESDH system !!**

**KVIK links er flyttet over i venstre side !**

**Husk der er vagt i Skibsregisteret tlf: 3917 4534**

#### Sådan ses ændringer i QMS

Nye dokumenter og ændringer til disse markeres i ca. 3 måneder som følger:

På alle oversigter markeres datoen med rødt (01-01-2010) , "nyt" eller "ændret"

Inde i alle dokumenter markeres den ændrede tekst **med gul baggrund** .

Opdateret:24-07-2012

#### NYHEDER

**PSC manual  
opdateret**  
(01-07-2012)

**AIS årlig syn**  
(01-07-2012)

**Certifikat udløb**  
(19-06-2012)

**om EBIRB  
tests**  
(18-06-2012)

**om forsikring  
mod søretlige  
krav**  
(07-06-2012)

**Nye  
instruktioner  
om ISPS**  
(13-03-2012)

**Nye  
instruktioner  
om asbest**  
(13-03-2012)

**Om målebrev**  
(16-02-2012)

**ændret  
affaldsskema**

# Inspection support tool – local QMS



- Forsiden
- Installation
- CFS's kvalitetsstyring
- SynsService
- Vejledninger
- Skibsregistret
- Regeldatabasen
- Afgørelser/dispensationer
- Links
- Skibsdata
- Rejsetaske
- Mine synssager

- kvik links:
- [Affaldsskema](#)
  - [Rapporter \(syn, ism, mv.\)](#)
  - [klassernes hjemmesider](#)
  - [Stop skib](#)
  - [frigiv skib](#)
  - [Depositum](#)
  - [afgørelsesskema DK](#)
  - [afgørelsesskema UK](#)
  - [Standardtekster](#)
  - [PSC rapport](#)

## Lastskibe - Indflagning - GT over 500

vejledning til dette syn <i>ny</i>	genvej til vejledninger	
Sagsbehandling	Certifikater	Skemaer
Kvitteringsbrev DK	Fartstilladelse	Første syn forside til skemaer UK
Kvitteringsbrev UK	CLC-certifikat	Opholdsrum UK
Anmeldelsesskema	Solas cert. radio	Officiel effekt
Bilag 1 til førstegangsbrev DK	Record til Solas cert. radio	Bunkersskibe
Bilag 1 til førstegangsbrev UK	Hjælpefartøjstilladelse	Syn på vegne af Miljøstyrelsen
Første brev UK	Farlig gods (Østersøaftalen)	Syn på arbejdsmiljø
Første brev DK	Exemption Certificate	Arbejdsmiljø skema DK
To whom it concern CLC	Elevatorcertifikat	Arbejdsmiljø skema UK
	Egnethed til bunkring	Tillæg - containerskibe UK
Depositum og bankkonto mv. DK og UK	INF certifikat	Tillæg - ro ro skibe UK
Asbest erklæring	Cargo Ship safety Certificate	Tillæg - kreaturskibe UK
Afgørelsesskema findes i kvik-links oppe til højre	Record (form C)	Tillæg - vagtskibe UK
	UMS - Unattended Machinery Spaces	Tillæg - sundt tankskib UK
A1 - Liste (fra 21-07-2009)		Tillæg - supplyskibe UK
Huskeliste til syn		Tillæg - kabelskibe UK
List of drawings	Bunkerscertifikat (Alle skibe o 1000 BT)	
Case work		Hjælpefartøjer
Minimum indhold af syn		Standby vessel master
		Standby vessel annex 1
		Standby vessel annex 2
		Standby vessel test skema annex 4
Erklæring om asbestfrit skib <i>ændret</i>		Tillæg - arbejdsmiljø standby vessel UK

### NYHEDER

PSC manual  
opdateret  
01-07-2012

AIS årlig syn  
(01-07-2012)

Certifikat udløb  
(19-06-2012)

om EBIRB  
tests  
(18-06-2012)

om forsikring  
mod søretlige  
krav  
(07-06-2012)

Nye  
instruktioner  
om ISPS  
(13-03-2012)

Nye  
instruktioner  
om asbest  
(13-03-2012)

Om målebrev  
(16-02-2012)

ændret  
affaldsskema  
og miljøaftale  
18-01-2012

IAPP record -  
kun

# Inspection support tool – local QMS

ANNEX I – CREW ACCOMMODATION REQUIREMENTS (ILO)				CHECKLIST
Rules: Notice from Danish Maritime Authority B		Fil: skm_lasto500_opholdsrum_UK		
Written by: MMO	Approved: CL	In force: 11-02-2002	Version no: 4.0 of 28-03-2006(MMO).	

Data of the Ship:	File: <input type="text"/>	Date of keel: <input type="text"/>	Date of survey: <input type="text"/>
Official Number: <input type="text"/>	Name of Ship: <input type="text"/>	MMSI Number: <input type="text"/>	
IMO-number: <input type="text"/>	Port of registry: <input type="text"/>	Gross tonnage: <input type="text"/>	
Output in kW: <input type="text"/>	Type of ship: <input type="text"/>	Distinctive numbers or letter: <input type="text"/>	
Type of survey: <input type="text"/>			
Owner: <input type="text"/>			
Remarks: <input type="text"/>			

REGULATION 5 - LOCATION, CONSTRUCTION AND LAYOUT						
	Requirements	OK	REQ	A/C	N/A	Remarks
PA	Location, means of access, structure and arrangement in relation to other spaces of crew accommodation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0380
PA	Placement of living quarters.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0380
PA	Openings into sleeping rooms.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0380
	Bulkheads and insulation of an approved material	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0380
PA	Main steam and exhaust pipes not allowed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0360
	Inside panelling or sheeting easy to clean.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0399
	Tongued and grooved boarding not allowed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0310
PA	At least two exits from each accommodation section.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0380
	Wall surfaces and deck heads.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0399
	Materials on decks in all crew accommodation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0399
	Joining of bulkheads.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0399
	Sufficient drainage.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0399

REGULATION 6 – VENTILATION						
	Requirements	OK	REQ	A/C	N/A	Remarks
	Sufficient change of air when doors, portholes, skylights etc. are closed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320
	The air injection system corresponding to 6 air changes per hour.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320
	The air outlets to hallways or outdoors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320
	Placement of the air injection vents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320
PA	Ventilation of toilets and bathrooms. (10 air changes per hour)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320
	Function of the ventilation system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320
	Spare parts on board	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320
PA	Ventilation of the hospital.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320
	Air conditioning (ship is engaged in trade between 30° north 30° south).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320
	Dimension of the air conditioning plant.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320
	Filters on the ventilation system. / mosquito nets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	0320

# DMA QMS ISO 9001:2008

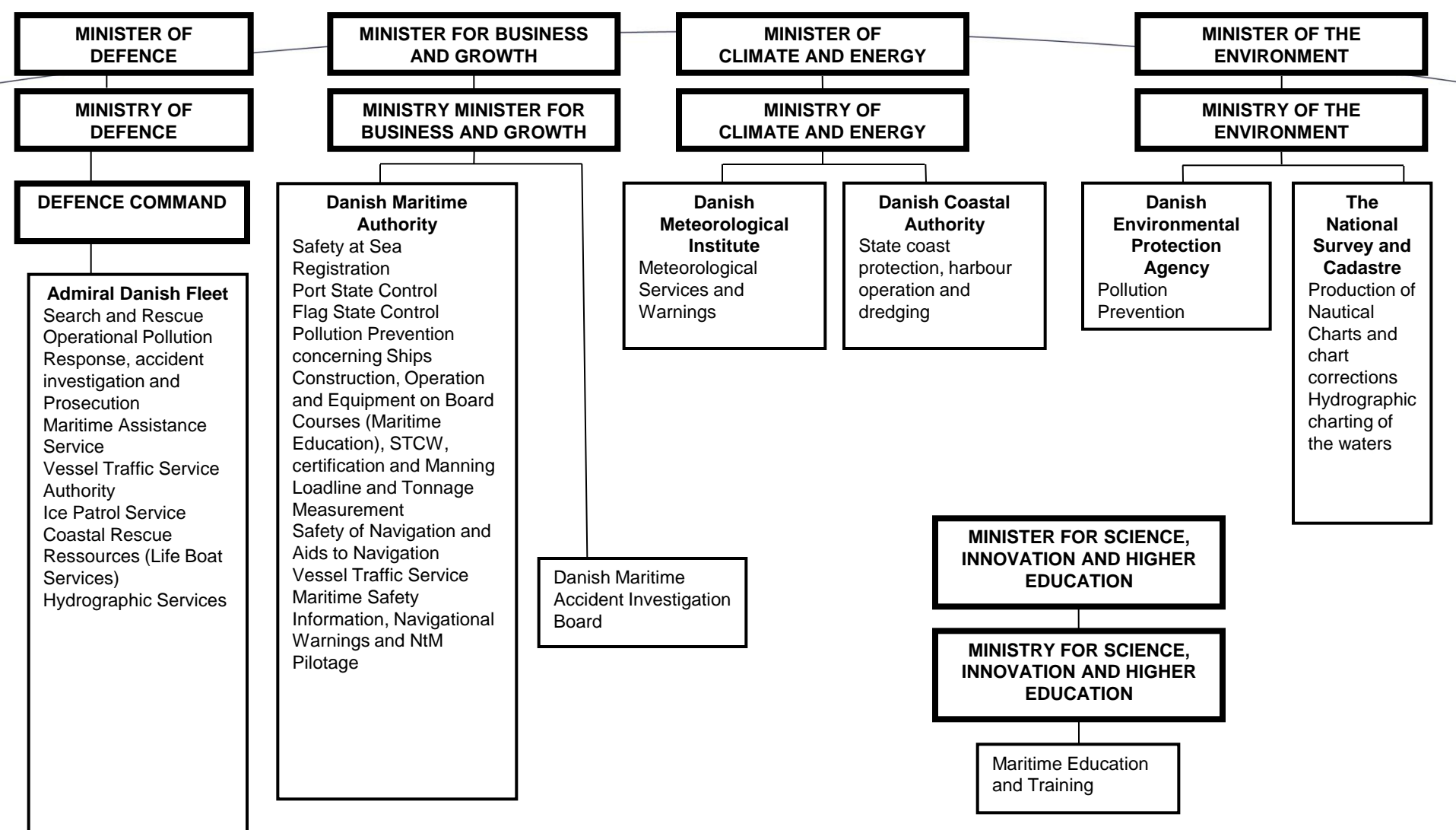
- **Quality activities**

- Corporate internal audits (minimum once a year)
- Special internal audits (ad hoc)
- External audits by Danish Standard (minimum once a year)
- Document review (minimum once a year)
- Local Management Review (minimum once a year)
- Corporate Management Review (minimum once a year)



# **Voluntary IMO MEMBER STATE AUDIT SCHEME**

# Distribution of Areas of Responsibilities between Danish Authorities within the Scope of The IMO Conventions



## The IMO Audit of Denmark – time line

14 December 2005	Denmark request the IMO for a VMSAS audit.
January 2006	A central point of contact is nominated.
January 2006	A national group with participants from all relevant government entities is established to prepare the PAQ.
31 March 2006	The Pre-audit questionnaire is forwarded to the IMO.
March 2006	The audit date is confirmed by the IMO.
May 2006	A VMSAS auditor course was held in Denmark.
14 June 2006	PS and HHI were appointed as IMO auditors.
22 June 2006	The Memorandum of Co-operation between IMO and Denmark is signed.

## The IMO Audit of Denmark – time line

14-18 August 2006	Internal VMSAS audit of Denmark.
September 2006	An updated version of the Pre-audit Questionnaire is forwarded to the IMO and the audit team leader.
<b>18-25 September 2006</b>	<b>VMSAS audit of Denmark.</b>
25 September 2006	A draft Audit Interim Report was presented at the closing meeting.
16 October 2006	The Audit Interim Report was completed (90 days to complete CAP).
January 2007	Corrective Action Plan was completed.
9 February 2007	The Final Audit Report including the Corrective Actions Plan was completed and published on <a href="http://www.dma.dk">www.dma.dk</a> . <i>Audit Summary Report and Audit Mission Report are completed.</i>
<b>30 June 2008</b>	<b>Corrective actions are completed.</b>

# Preparing for the IMO Audit of Denmark

Internal VMSAS audit covering all relevant government entities. Carried out in English with the help of an external auditor.

The Audit scope: The IMO Conventions, the Code and the Pre-Audit Questionnaire.

5 days of auditing and 35 findings/resommendations/ observations were noted and presented during the closing meeting (one month before the IMO audit).

## SEQUENCE OF AUDITOR ACTIVITIES BEFORE THE AUDIT

- |                          |  |
|--------------------------|--|
| <b>March 2006</b>        | <ul style="list-style-type: none"><li>• Request from IMO to carry out an audit</li></ul>   |
| <b>April 2006</b>        | <ul style="list-style-type: none"><li>• Receipt of State specific confidential audit file</li></ul>  |
| <b>May 2006 -</b>        | <ul style="list-style-type: none"><li>• Contact to CPC, communication lines, presentation of the audit team and introduction to the way of work.</li><li>• Draft audit timetable forwarded to the MS</li><li>• Review of the audit documentation including the PAQ, Preparation of checklists, clarification of any issues arising</li></ul> |
| <b>June 2006</b>         | <ul style="list-style-type: none"><li>• Memorandum of Co-operation between IMO and MS</li><li>• Travel Arrangements, DSA, Hotel, Insurance, Visa</li><li>• Working on the completion of the Audit Timetable and Outstanding issues</li></ul>   |
| <b>17 September 2006</b> | <ul style="list-style-type: none"><li>• Audit team preparation meeting</li></ul>   |



## The Audit Proces (P – D – C - A)

1. Pre-Audit Questionnaire
2. Memorandum of Co-operation
3. Selection of auditors
4. Preparation of audit
5. Agreement of audit plan and timetable
6. Audit team preparation meeting
7. Opening meeting
8. Interviews, document review
9. Observations and non-conformities
10. Closing meeting
11. Audit Interim report and response
12. Audit Final Report
13. Member State Corrective Action Plan
14. Audit Summary Report
15. Audit Team Leader Mission Report
16. Records and follow-up

## CONDUCTING THE AUDIT – COORDINATING THE WORK

- Opening meeting
- Audit shall proceed on the basis of the timetable
- Audit policy in accordance with the objective, strategy and principles as described in the Framework
- Correct behaviour is essential (remember objective evidence)
- Do not refer to your own country (e.g....I do not understand because we have implemented that requirement in accordance with SOLAS!..)
- Everybody should join in during the interview sessions (ATL should not keep the pot boiling all the time – share the responsibilities)
- Carry out the interviews from top to bottom (or the other way round)
- Try to avoid the “Director/observer” in the corner!
- Remember to have sufficient breaks in the timetable – discuss your observations during the breaks
- Try to have a de-briefing meeting every day (maybe every day from 16.00 – 18.00) in order to discuss the days work and prepare the draft interim report
- **Closing meeting and reporting.....**

# **Observation....and corrective action in DK**

## **Observation:**

- **There is no written authorization for the division heads of the Centre for Maritime Regulation to signing secondary legislation.**

## **Corrective Action:**

**A central policy to be developed for authorizing employees to sign certificates and secondary legislation.**

## **Observation....and corrective action in DK**

### **Observation:**

**It was established during the audit that no independent evaluation of the effectiveness of navigational information provided by RDANH and DMI.**

### **Corrective Action;**

**A review will be commissioned from an independent consultant which in consultation with RDANH, KMS and DMI will seek opinions from SOLAS ships in Danish ports or passing through Danish waters. The review will evaluate the effectiveness of the navigational information provided by Denmark and will make recommendations as appropriate.**

## **Observation....and objective evidence in DK**

**In a few examples it was observed that enforcement action against shipping companies following the detention of their Danish Ships did not appear to have led to a significant improvement in their PSC performance. It was concluded that enforcement provisions did not appear to be sufficiently robust to deal with persistent infringements of mandatory instruments.**

### **Evidenced by:**

- a. Number of detentions for the current year (10) has exceeded target (9)**
- b. Reoccurrence of same companies in detention statistics (e.g. H. Folmar & Co, CEC Ship Management).**
- c. In 2006 -5- companies contributed to 52% of detentions, in 2005 -4- companies contributed to 45% and 2004 -7- companies contributed to 55% of deficiencies.**
- d. Follow up unscheduled inspections appear to have concentrated more on the seaworthiness of the vessels rather than their operational efficiency. It was noted that arrangements are in hand to deal with this**
- e. It was stated that due to legal reasons the withdrawal of the company DOC was potentially difficult.**

## Observation....and corrective action (example)

### Finding:

**It was established that the State has no strategy for meeting its overall obligations and responsibilities contained in the mandatory IMO instruments to which it is a Party.**

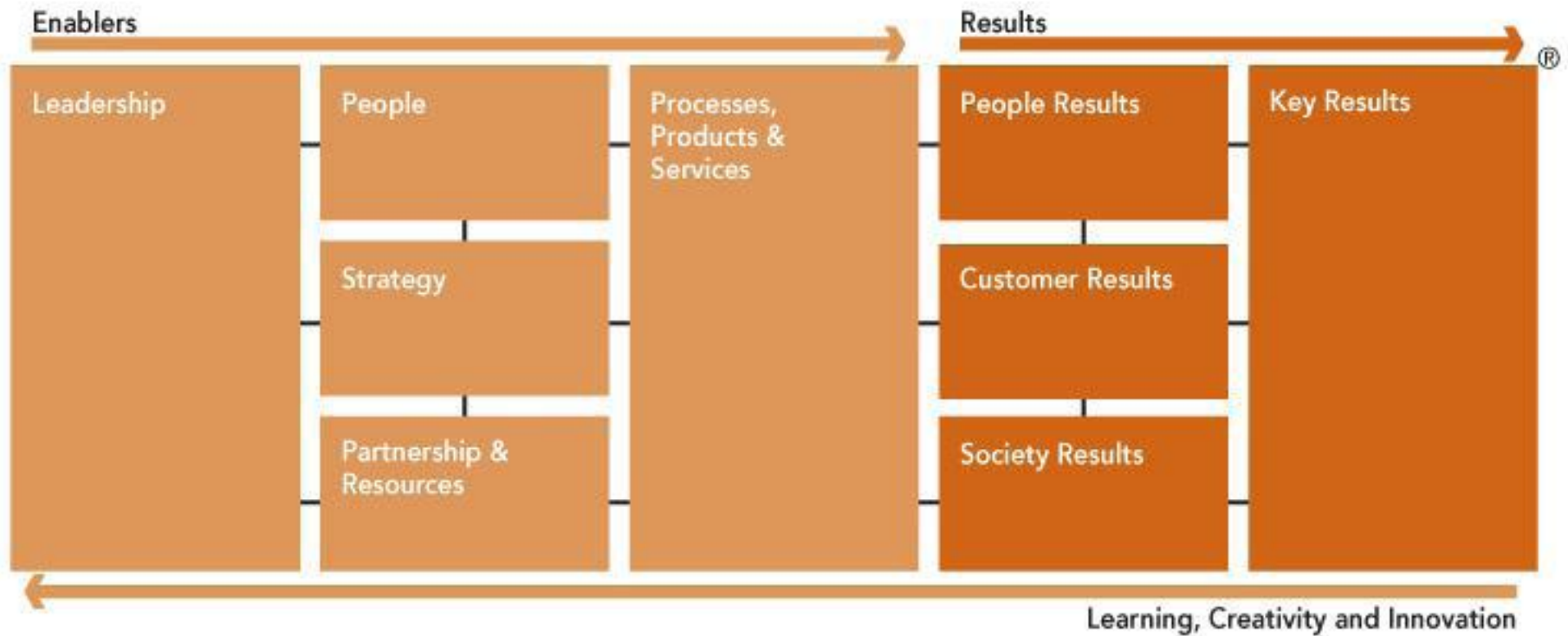
**This was evidenced by the lack of documentation setting out the strategy; absence of continuous review and verification of the effectiveness of the State in respect of its international obligations; and the overall organizational performance and capability had not been accessed.**

**(Code, Part 1, paragraph 3). See Form A-OB-01.**

## **EFQM Model - *European Foundation for Quality Management* - (Business Excellence)**

- **The voluntary EFQM evaluation of the Danish Maritime Authority was carried out by the employees in 2001**

# DMA EFQM model (Business Excellence)





# DMA EFQM model (Business Excellence)

**There are 5 enablers: These are the things an organisation needs to do to develop and implement their strategy.**

## **Leadership**

Excellent organisations have leaders who shape the future and make it happen, acting as role models for its values and ethics and inspiring trust at all times. They are flexible, enabling the organisation to anticipate and react in a timely manner to ensure the on-going success of the organisation.

## **Strategy**

Excellent organisations implement their mission and vision by developing and deploying a stakeholder focused strategy. Policies, plans, objectives and processes are developed and deployed to deliver the strategy.

## **People**

Excellent organisations value their people and create a culture that allows the mutually beneficial achievement of organisational and personal goals. They develop the capabilities of their people and promote fairness and equality. They care for, communicate, reward and recognise, in a way that motivates people, builds commitment and enables them to use their skills and knowledge for the benefit of the organisation. 5

## **Partnership and resources**

Excellent organisations plan and manage external partnerships, suppliers and internal resources in order to support strategy and policies and the effective operation of processes.

## **Processes, Products and Services**

Excellent organisations design, manage and improve processes to generate increasing value for customers and other stakeholders.

# DMA EFQM model (Business Excellence)

**There are 4 result areas: These are the results an organisation achieves, in line with their strategic goals.**

## **Customer Results**

Excellent organisations develop and agree a set of performance indicators and related outcomes to determine the successful deployment of their strategy and supporting policies, based on the needs and expectations of their customers.

## **People Results**

Excellent organisations develop and agree a set of performance indicators and related outcomes to determine the successful deployment of their strategy and supporting policies, based on the needs and expectations of their people.

## **Society Results**

Excellent organisations develop and agree a set of performance indicators and related outcomes to determine the successful deployment of their societal and ecological strategy and related policies, based on the needs and expectations of the relevant external stakeholders.

## **Key Results**

Excellent organisations develop and agree a set of key financial and non-financial results to determine the successful deployment of their strategy, based on the needs and expectations of their key stakeholders.



**Thank you!**

