



## **EMSA**

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

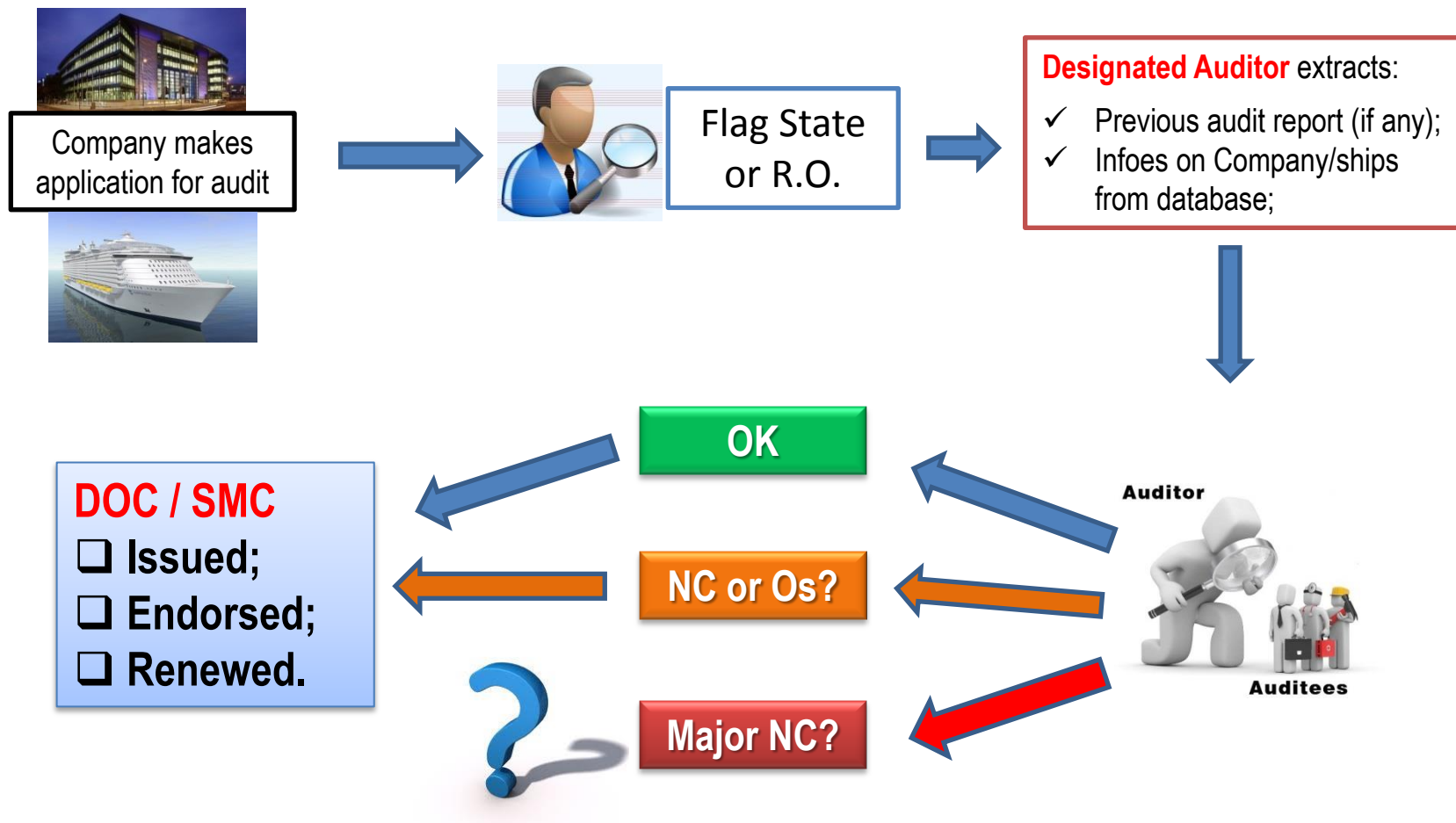
## **Certification, Non Conformities and actions to be taken**

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Italian Coast Guard

*Lisbon, 14 - 15 January 2014*



## The ISM Certification process





# Italian Coast Guard

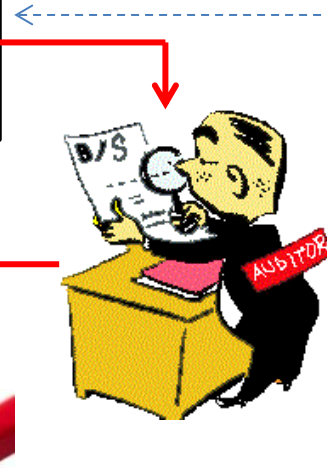
NC or Os?

Company must presents its follow-up action within a time frame

Auditor may accept or not

☒ Yes  
☐ No

Follow up results to be checked during next audit (annual/intermediate/additional)



Major NC?

Immediate action is requested and must be approved by auditor



Downgraded to NC

DOC / SMC withdraw

Additional Audit within 3 months



### Examples of reasons for which a DOC shall become invalid include:

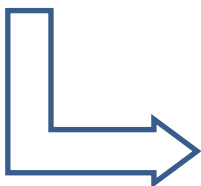
- ☐ corrective actions are not completed within the agreed schedule;
- ☐ amendments to the ISM Code are not taken into account;
- ☐ there is evidence of an unresolved major nonconformity;
- ☐ the company does not request the annual verification.

### Examples of reasons for which a SMC shall become invalid include:

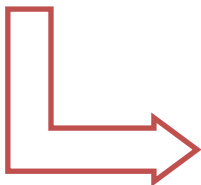
- ☐ DOC is not full term (if SMC is conditional)
- ☐ corrective actions are not completed within the agreed schedule;
- ☐ there is evidence of an unresolved major nonconformity;
- ☐ the company does not request the intermediate verification.
- ☐ amendments to the ISM Code are not taken into account;



**WITHDRAW of**



**DOC**



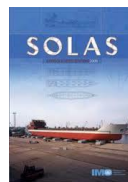
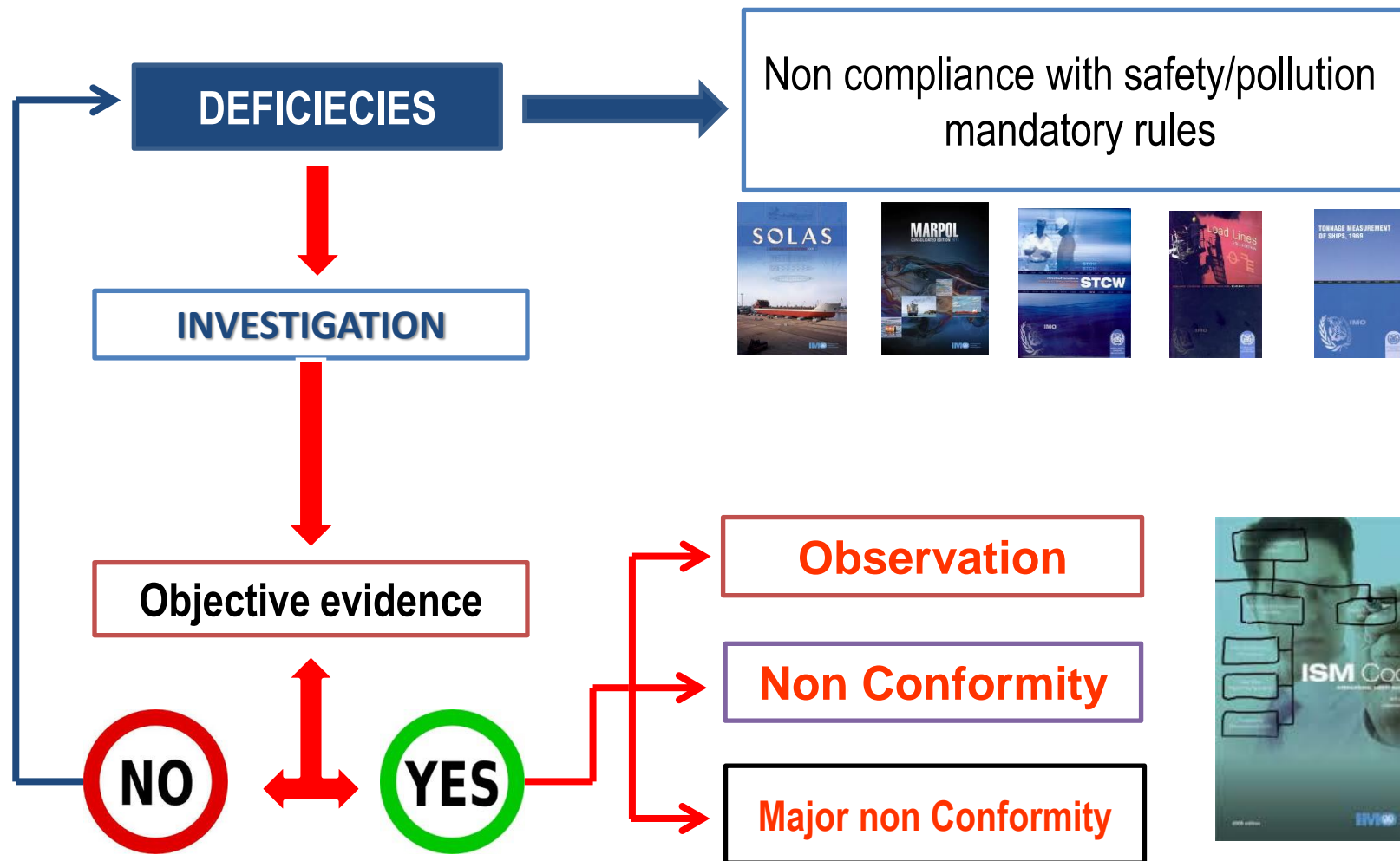
**SMC**

**is a matter of the Flag State, or R.O. if  
officially authorized to do that**

**After a DOC/SMC withdrawn, interim certificates should  
not be issued (taking into account Flag State Instructions)**



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## ...from ISM Code...

**Objective evidence** means quantitative or qualitative information, records or statements of fact pertaining to safety or to the existence and implementation of a safety management system element, which is based on observation, measurement or test and which can be verified.

**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.

**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.



## In managing corrective actions, TAKE care of:



✓ root cause analysis

9.1



✓ corrective action

9.1



✓ measures to avoid recurrence.

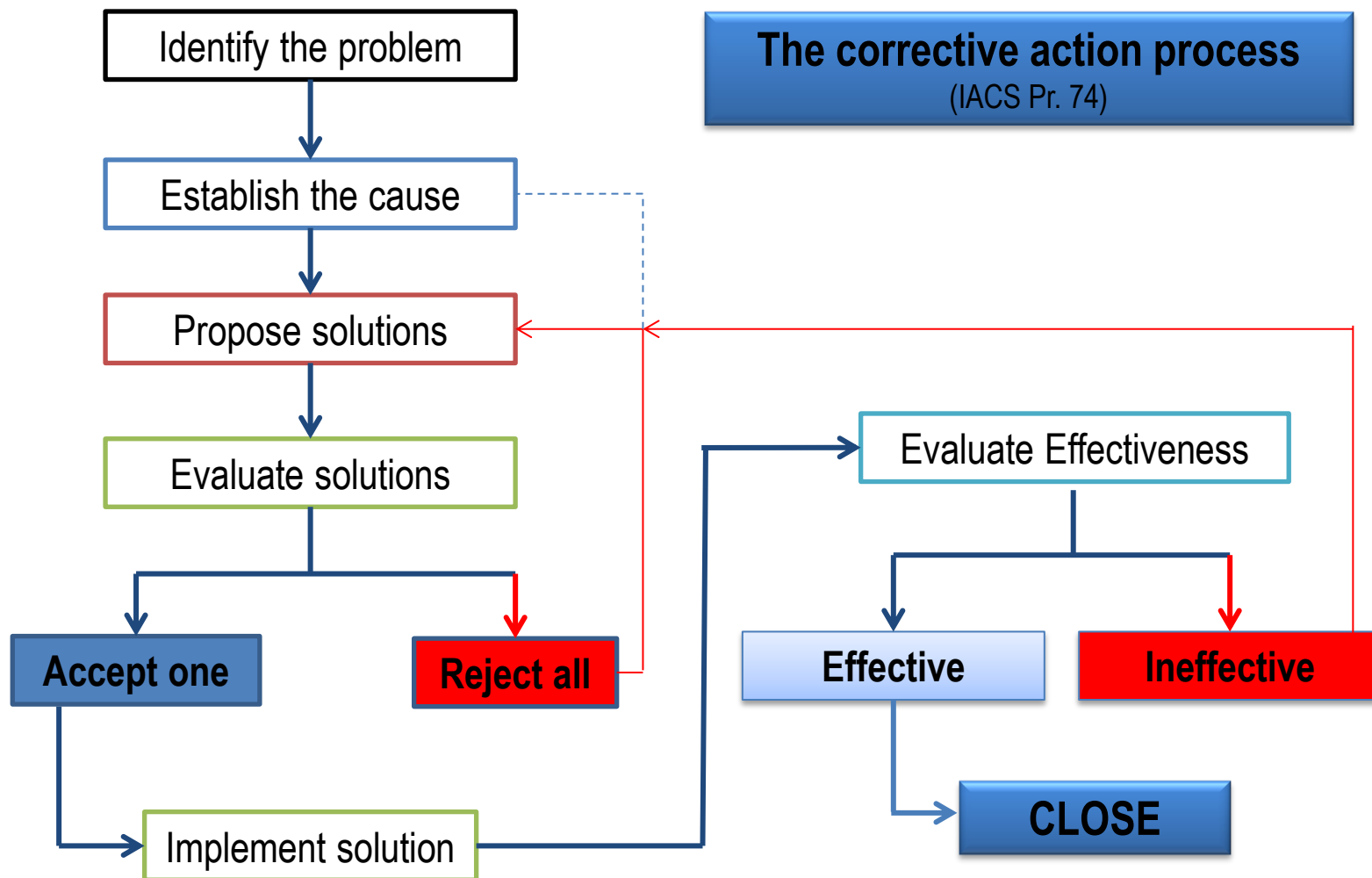
9.2








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## Example...

	<b>MNC/NC/F n. 1</b>	<b>Type<sup>1</sup> NC</b>
Department involved <b>DECK</b>	Reference Document <b>ISM Code Chap. 7</b>	Reference Rules <b>SOLAS Chap. III/17 LSA Code 5.1</b>
<b>Description</b> The rescue boat fuel tank was found only 1/3 full with fuel.		
Date <b>11.06.2013</b>	Auditor <b>John Check</b>	Company Representative <b>Frank Grabb</b>
<b>Company's reply:</b> The low level in the rescue boat fuel tank was determined to be caused by a small leakage from the pipeline, which was immediately renewed. Fuel tank was promptly refilled. The Life-saving appliance weekly check list has been amended to include an item to "verify level of rescue boat fuel tank".		

### root cause analysis

The low level in the rescue boat fuel tank was determined to be caused by a small leakage from the pipeline

### corrective action

.which was immediately renewed.  
Fuel tank was promptly refilled

### measures to avoid recurrence

The Life-saving appliance weekly check list has been amended to include an item to "verify level of rescue boat fuel tank".



## Some replies which should not be accepted:

- “**Rectified.**”
- “when convenient...” (*spend money...NEVER*)
- “at the earliest opportunity...” (*due date...???*)
- “We have reminded the Master/Chief ...”(and the **next** Master/CM?)
- “The parts have been delivered on board...” (*then..?*)
- “He has been cautioned and instructed ...” (*who..?? And next one..?*)





**...bad examples of corrective  
actions!!!**





**Problem: some quick closing valves not working properly....**



Corrective action....

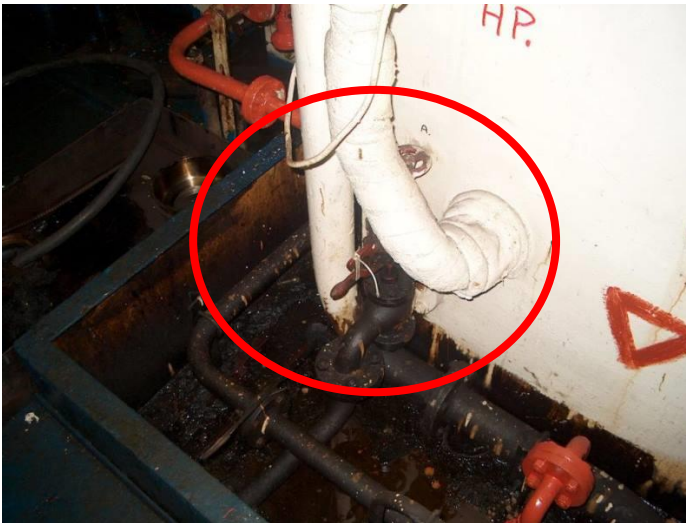




**Problem: some quick closing valves not working properly....**







**I know Mr. Surveyor it is not allowed but, let me say... in case of fire the rope is infiammable so it burns and the valve will be already closed!!!!**



**Problem: fuel leakage from fuel delivery line (not double jacketed type)**



**Temporary corrective action: leakage reduced by means of rags...**





**Problem: fuel leakage from fuel delivery line (not double jacketed type)**



**Unfortunately the bucket becomes full...**



**Problem: fuel leakage from fuel delivery line (not double jacketed type)**



**Corrective action....**

**...but there is  
always the bilge  
well!!**





## Easy NCs management with relevant corrective action - Engine Room -

### Engineering Flowchart





**Thank you for  
listening!**

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