



Italian Coast Guard

EMSA

Training on ISM Code – IRELAND 2018

Audit techniques - Examples of cross-checks

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Prepare the audit since you are in the office..

Find information about the Company and/or the ship you are going to audit;

Check your own database, Equasis, Tethis (if you are also a PSCO..);

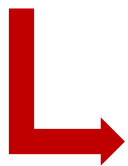
Determine the purpose of the audit (initial, renewal, additional..);

Prepare simply check lists with reference to what you want to do, what docs you expect to find..

An audit is NOT a safety inspection!



Audit methods



OBSERVING



INTERVIEWING



REVIEWING DOCS





OBSERVING....

- ✓ If they are wearing proper safety clothes;
- ✓ How they perform routine activities;
- ✓ How they conduct drills, functional tests, ...;
- ✓ How they keep working places (Bridge, E/R, Galley,..)
- ✓ If they are aware of position and relevant content of DOCS, Forms, Check lists,...





INTERVIEWING....

- ✓ Try to create a friendly atmosphere;
- ✓ Use of **OPEN** and **CLOSED** questions;
- ✓ Ask for their duties (daily, during emergencies);
- ✓ Ask their opinion about the SMS..
(motivation....)





OPEN questions keep your auditees talking

OPEN questions are used when you are looking for changes, unknown procedures, etc..

Examples of **OPEN** questions:

- ☐ Why do you use this equipment?
- ☐ How do you perform LSA weekly inspections?
- ☐ Where are the obsolete documents stored? How you manage it?
- ☐ Tell me about your duties during your watch in E/R.

CLOSED questions give you YES or NOT answers

CLOSED questions are used to obtain confirmation on items that you already knows

Examples of **CLOSED** questions:

- ☐ Is this form the latest edition?
- ☐ Have you complete in due time the familiarization form?
- ☐ Did you attend the last safety meeting?

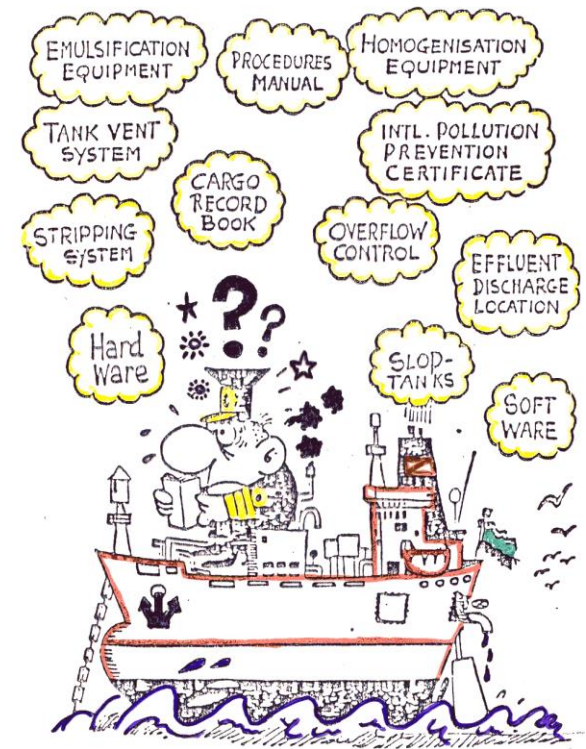




REVIEWING DOCUMENTS

- ✓ Ask for a list of SMS forms (revision and date)
- ✓ Check if Forms used are in compliance with relevant international requirements
(R. 1050 Enclosed Space Entry, A. 893 (21) Voyage Plan...)
- ✓ Check for familiarization forms
(equipment, docs, manuals..)

THE SHIP MUST HAVE .





Some Examples of cross - checks



How to gather simple information about SMS



The Company is responsible for ensuring that adequate resources and shore-based support are provided to enable the designated person or persons to carry out their functions.

- Records of internal audits, management review, master's review, ship's condition and performance records, etc.;

- How the Company deals with the request for resources.



Designated Person (S), having direct access to the highest level of management. The responsibility and authority of the designated person or persons should include monitoring the safety and pollution prevention aspects of the operation of each ship and to ensure that adequate resources and shore based support are applied, as required.

- ✓ Description of responsibilities, authorities and reporting lines
- ✓ Evidence of monitoring of the safety and pollution prevention aspects of the operation of the ship such as review of audit reports, accidents, hazardous occurrences and nonconformities
- ✓ Interview of DP





The Company should clearly define and document the Master's responsibility with regard to:

1. Implementing the safety and environmental protection policy of the Company;

— Accident, near miss and NC reports for injury/pollution and follow up by the Company;

— Evidence that Safety Committee Meetings, Emergency Drills, training on safety related matters are carried out effectively as per schedule



5. Periodically reviewing the SMS and reporting its deficiencies to the shore-based management.

✓ Evidence that Master's Review of SMS have been received from ships at defined interval (SMM);

✓ Evidence that observations of the Master's Review received from ships have been studied, analysed and necessary follow up action taken if necessary

✓ That all items of the Master's Review have been reported



The Company should ensure that the Master is:

1. properly qualified for command



Master's Certificate of Competence copy appropriately endorsed according to STCW requirements

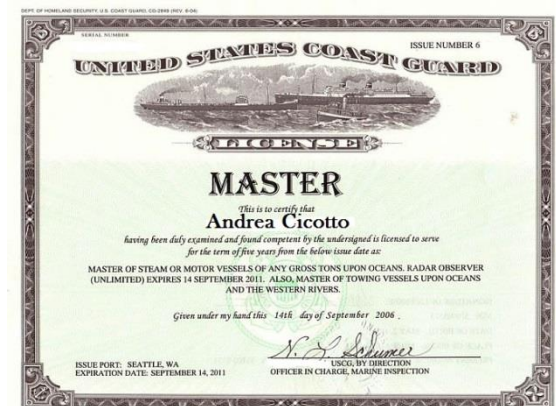


Master's CV stating previous experience on the same type of ship



Company's written minimum requirements for the Master's qualification and experience

6.1



2. fully conversant with the Company's SMS

- ✓ Master's appraisal records and evidence of their monitoring and evaluation by the Company
- ✓ Records of regular briefings on the SMS in the Company with the Masters
- ✓ The Master's periodical SMS review for the Company





The Company should ensure that the ship's personnel are able to communicate effectively in the execution of their duties related to the SMS.

- What is the established working language of SMS
- Company's minimum requirements in relation to language knowledge of crew members
- Sample of crew list

**MESSAGE SENT
≠
MESSAGE RECEIVED**





The Company should carry out internal safety audits on board and ashore at intervals not exceeding twelve months to verify whether safety and pollution prevention activities comply with the SMS.

- Documented procedures for internal audits and reviews, including specification of competence for internal auditors

- Copies of internal audit reports and master's and management reviews

- Schedule of planned internal audits, ashore onboard vessels

- Sampling of corrective action taken verification of effectiveness





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.

- Documented procedures for 2nd part audits and reviews, including specification of competence for internal auditors
- Copies of 2nd part audit reports
- Schedule of planned audits to sub-contractors.



The Company should periodically evaluate the effectiveness of the SMS in accordance with procedures established by the Company.

- ✓ Established procedures for internal audits, management review of the SMS and Master's review of the SMS
- ✓ Copies of management review meeting, Master's review and internal audit reports

12.3



Personnel carrying out audits should be independent of the areas being audited unless this is impracticable due to the size and nature of the Company.

- Procedures detailing audit process and the assignment of independent auditors;
- Evidence that internal audits have been carried out by independent auditors



12.5



Enclosed Spaces Entry Permit Form

- ✓ Check class survey status (last WBTs – Tanks inspection);
- ✓ Check last PSC Expanded inspection;
- ✓ Check periodicity of void spaces inspection;



The image shows two yellow forms hanging from a metal ring. The form on the left is titled "CONFINED SPACE ENTRY PERMIT" and contains fields for "DATE OF ISSUE", "TIME OF ISSUE", "EQUIPMENT I.D.", "EQUIPMENT LOCATION", "EXPIRATION", "WORK TO BE DONE", "AUTHORIZED ENTRANT(S)", "AUTHORIZED ATTENDANT(S)", "ENTRY SUPERVISOR APPROVAL", and "CANCELED BY". It also includes a note at the bottom: "CHECKLIST ON OTHER SIDE MUST BE COMPLETED BEFORE APPROVAL". The form on the right is titled "CONFINED SPACE ENTRY CHECKLIST" and contains a detailed list of safety checks and equipment requirements, including sections for "Secondary Safety Equipment Procedures as Applicable", "Secondary Checks as Applicable", "Secondary Pre-Entry Checks as Applicable", and "Secondary Post-Entry Checks as Applicable".



Internal (Safety/SMS/ISPS) Audit Form

- ✓ Check visitor's log book on the relevant date/time;
- ✓ Do an OPEN question to crew members;
- ✓ Check PSC reports (last 3 months).



Name of Ship:		IMO Number:		Date of final report: 04/03/2013		Place of inspection:			
Nr.	Defective Item	Nature of defect ¹⁾	Convention ref. ²⁾	Ground for detention	Action taken	Additional Comments	ISM Related	RO resp. ²⁾	Accidental Damage ³⁾

14	15150 ISM	Not as required	ISM Code	<input type="checkbox"/>	18 - To be rectified within 3 months	INTERNAL SAFETY AUDIT AND CORRECTIVE ACTIONS IS REQUIRED WITHIN 3 MONTHS. DEFICIENCIES MARKED (ISM) ARE OBJECTIVE EVIDENCE OF A FAILURE, OR LACK OF EFFECTIVENESS OF THE IMPLEMENTATION OF THE ISM CODE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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INTERNAL AUDIT REPORT (VESSEL)

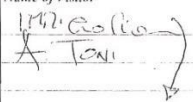
Vessel:	Date:	Place:
MV "	03.05.2013	Genova

Participants: Master, other crewmembers as available

ISM-Code relevant part:

- Checked ISM Shipboard manual and reporting
- Interview crew members about their duties
- Checked forms and check lists

Auditor:	Master:
Date: 03.05.2013	Date: 03.05.2013
Signature: 	Signature: 
Name:	Name:

Visitor / Gangway Log Book		
Date: 03.05.2013	Port / Road of / Location / Terminal: GENOVA, ITALY	
Name of Visitor: 	Document ID No.:	Purpose of visit (e.g. name of company, stevedore, agent, supplier, etc.):
IMMIGRATION		AGENT
IMMIGRATION		IMMIGRATION
CUSTOMS OFF x 2		PC
CUSTOMS / INSPECTION	007	PLAS 007
		215 007



Work and Rest Period Form / Logbook

- ✓ Check Voyage Plan for ATA/ATD;
- ✓ Do an OPEN question to crew members;
- ✓ Check embarkation/disembark of passengers (Mustering..);
- ✓ Check Overtime logbook.
- ✓ Check Bridge/Engine Watch duty Form





Garbage Record Book

- ✓ Check cooking oil disposal;
- ✓ Do an OPEN question to crew members;
- ✓ Check Garbage Management Plan;
- ✓ Check Oil record Book (sometimes entries are made);
- ✓ GMP Familiarization Forms (if any)



Hot Work Permit Form

- ✓ Walking through the ship check for traces of welding (structures, air pipes on open decks);
- ✓ Do an OPEN question to crew members;
- ✓ Check the list of works already done

<h1 style="margin: 0;">HOT WORK PERMIT</h1> <p style="margin: 0; font-weight: normal;"> BEARING INFORMATION WORKSHEET, CAN BE USED BY WORKMEN OR BY THE SUPERVISOR </p>	
<p>Use and Photo Permit: is required for any activity which is involved in producing smoke, sparks or particles that could contain asbestos. This includes, but is not limited to: Hot Tapping, Grinding, Blasting, Grinding, Welding, Appraising, Welding, and Sawing.</p>	
<p>SECTION 1 - WORKER'S RESPONSIBILITY</p> <ol style="list-style-type: none"> 1. Notify supervisor immediately for an assessment of the work. 2. Complete the permit before starting work. 3. Do not carry out the permit until the supervisor has approved it. 4. Return the permit to the supervisor when the work is completed. <p>Section 2 - Supervisor's Responsibility</p> <ol style="list-style-type: none"> 1. Assess the work. 2. Issue the permit. 3. Monitor the work. 4. Cancel the permit if the work is not completed within the time limit. 	<p>SECTION 3 - WORKER'S RESPONSIBILITY</p> <ol style="list-style-type: none"> 1. Notify supervisor immediately for an assessment of the work. 2. Complete the permit before starting work. 3. Do not carry out the permit until the supervisor has approved it. 4. Return the permit to the supervisor when the work is completed. <p>Section 4 - Supervisor's Responsibility</p> <ol style="list-style-type: none"> 1. Assess the work. 2. Issue the permit. 3. Monitor the work. 4. Cancel the permit if the work is not completed within the time limit.

Voyage/Passage Plan

- ✓ Ask for last Voyage Plan
- ✓ Check if nautical publications and nautical charts are the latest edition;
- ✓ Ask for periodicity of nautical documentation check

A Systems Approach to Passage Planning



- ✓ Ask for EIAPPC and relevant Technical Files;
- ✓ Check planned Maintenance System (M/E, A/E..);
- ✓ Check IMO number of spare parts renewed

>400 GT
1.1.2000

[illegible]



OBSERVING around the ship.....

You see the crew working on wires without wearing proper gloves.....

DON'T STOP and WRITE down a NC to the crew



PPI delivery forms;



Risk analysis (*work identified and relevant risk*)



Crew familiarization Form



**Thank you for
listening!**

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