



EMSA

Training on ISM Simulated Audit For Passenger Ships

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 ships 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 does you expect to find..

An audit is NOT a safety inspection!



When you are on site...don't forget to:

- ✓ Opening meeting introducing yourself and the auditors to the Company or ship management;
- ✓ Explain the scope and objectives of the audit;
- ✓ Provide a short summary of the audit methods (walk through the ship, interview with the crew..);
- ✓ Establish the link between auditors and Company / ship personnel;
- ✓ Confirm the date and time of the closing meeting.



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..





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:

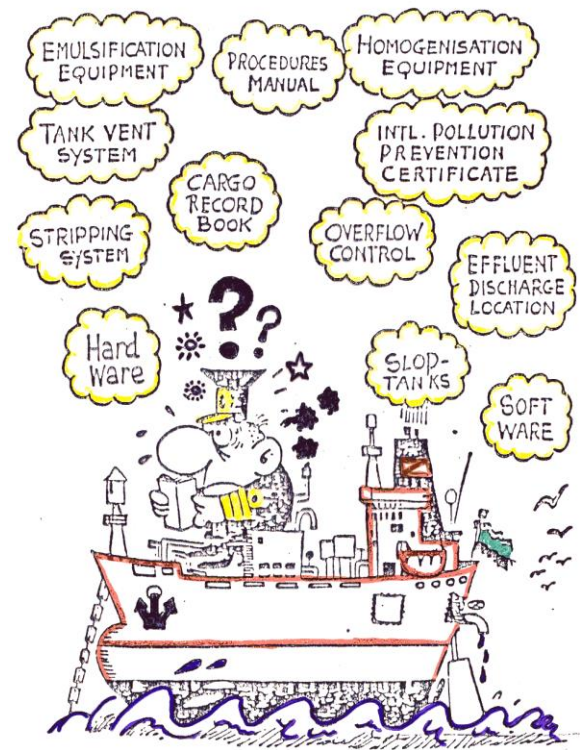
- ☐ Is this form the latest edition?
- ☐ Have you complete in due time the familiarization form?
- ☐ Did you attend the last safety meeting?



REVIEWING DOCUMENTS

- ✓ Ask for a list of SMS forms used (revision and date)
- ✓ Check if Forms used are in compliance with relevant international requirements
(A.864 (20) Enclosed Space Entry, A. 893 (21) Voyage Plan...)
- ✓ Check for familiarization forms
(equipment, docs, manuals..)

THE SHIP MUST HAVE .





From «Lessons learnt from the ISM-CIC 2002 “ PMOU Publication



Some Examples of cross - checks



How to gather in simply information about SMS



Enclosed Spaces Entry Permit Form

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

CONFINED SPACE ENTRY PERMIT

Attach this permit to the closed or sealed space and present for continuous watch company which is to be entered. Entry operations must be in the proper sequence as indicated by this permit and program.

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
Signature _____
Date _____ Time _____

CANCELED BY
Signature _____
Date _____ Time _____

CHECKLIST ON OTHER SIDE
MUST BE COMPLETED
BEFORE APPROVAL

CONFINED SPACE ENTRY CHECKLIST

Check the following items before entry:

- 1. Is the space properly identified, labeled, and tagged?
- 2. Is the space properly isolated from all sources of energy?
- 3. Is the space properly ventilated?
- 4. Is the space properly tested for atmosphere?
- 5. Is the space properly guarded?
- 6. Is the space properly monitored?
- 7. Is the space properly attended?
- 8. Is the space properly secured?
- 9. Is the space properly locked?
- 10. Is the space properly tagged?

Secondary Safety Equipment Procedures are followed:

- 1. Is the space properly guarded?
- 2. Is the space properly monitored?
- 3. Is the space properly attended?
- 4. Is the space properly secured?
- 5. Is the space properly tagged?

Secondary Checks as Indicated on Applicable:

- 1. Is the space properly guarded?
- 2. Is the space properly monitored?
- 3. Is the space properly attended?
- 4. Is the space properly secured?
- 5. Is the space properly tagged?

Secondary Precautionary Equipment as Applicable:

- 1. Is the space properly guarded?
- 2. Is the space properly monitored?
- 3. Is the space properly attended?
- 4. Is the space properly secured?
- 5. Is the space properly tagged?

Emergency Procedures to be Used during Entry:

- 1. Is the space properly guarded?
- 2. Is the space properly monitored?
- 3. Is the space properly attended?
- 4. Is the space properly secured?
- 5. Is the space properly tagged?

Class of Emergency Response to be used:

- 1. Is the space properly guarded?
- 2. Is the space properly monitored?
- 3. Is the space properly attended?
- 4. Is the space properly secured?
- 5. Is the space properly tagged?



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:


Date: 03.05.2013

Signature: 

Name:

Master:

Date: 03.05.2013

Signature: 

Name:

Visitor / Gangway Log Book

Date: MAY 3, 2013			Port / Road of / Location / Terminal: GENOA, ITALY		
Name of Visitor	Document ID No. *	Purpose of visit (e.g. name of company, stevedore, agent, supplier, etc.)			
IMMIGRATION Agent		AGENT			
IMMIGRATION CUSTOMS OFF x 2 CUSTOMS / INSPECTION	007	PC CUSTOMS 215 0521			



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



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



PMS – M/E and Auxiliaries Maintenance

- ✓ 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

42-2 F.O. injection

Item of Technical File

Transcribe either from Technical File or from Engine Parameter Inspection Record

Allowed ID – Number

Date	Cyl. No.	Installed ID-Number	Signature of person responsible for ship/engine	Remarks
#REF!	#REF!	*** * * D *****140**3010** *		Shop Test or Initial Survey on board
2000.00	2	*** * * D *****140**3010** *	Y. Tanaka	
Enter dates of replacement in order from the oldest.		Make an entry after confirming that the ID number of the replaced part conforms to the allowed number.		Chief engineer's signature
Enter grounds for the replacement. In the case of a Classification Survey, enter the grounds for the inspection and signature of the ship classification surveyor. Also enter association with the technical information.				





**Thank you for
listening!**

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