



EMSA

Training on ISM Simulated Audit

Examples of objective evidence found on board

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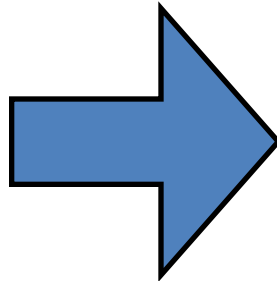
Auditing a Ship
Looking for objective
evidencies.

Extract from IACS Rec. 41 (R.4)

Audit is a sampling process

Issuance of certification is based
upon verification that the sample is in
compliance with the ISM Code

What we can find on board?



objective evidence!!

2.2

The Company should ensure that the policy is implemented and maintained at all levels of the organization both ship based as well as shore based.

- ✓ Interviews with relevant personnel to establish the level of awareness and understanding;
- ✓ Records of preventive and corrective actions and their evaluation;
- ✓ Maintenance plan and records of maintenance of the ship and equipment.
- ✓ Records of internal and external audits;



3.2

The Company should define and document the responsibility, authority and interrelation of all personnel who manage, perform and verify work relating to and affecting safety and pollution prevention.

- ✓ The details of the owner/operator are given in the SMS and agree with the details contained in valid DOCs and SMCs.
- ✓ The auditor is to verify that the Company details given in DOC and SMC are identical to the information given in the CSR (Continuous Synopsis Record).

3.3

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.

- ✓ The ship's condition shows that necessary resources were allotted and relevant shorebased support was provided.
- ✓ - records of training and drills
- ✓ - records of spare parts and equipment supplied to the vessel
- ✓ - Evidence that the Master's requests for shore-based support have been fulfilled



4

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.

- ✓ interviews to establish awareness of DP's role and identity
- ✓ - contact details



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

5.1

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

- ✓ - Display of the policy at common places
- ✓ - Understanding of the policy by officers and crew during interview
- ✓ - Accident and near miss reports for injury / pollution
- ✓ - Evidence of safe working environment and safe practices



5.1



implementation of ISM on board.....

5.1

.2 motivating the crew in the observation of that policy;

- ✓ Evidence that Safety Committee Meetings, Emergency Drills, training on safety related matters, screening of safety films carried out effectively as per schedule
- ✓ Evidence that with an aim to promote motivation following are being carried out organising safety debates, lectures, competitions, presentation of safety awards etc.



5.1

.3 issuing appropriate orders and instructions in a clear and simple manner;

Examples of objective evidence on board ship may include Master's standing orders and bridge night order book.





5.1

.4 verifying that specified requirements are observed; and

- ✓ a verification checklist used by the master
- ✓ verifying during master's audit that various requirements of the Safety Management System are complied with such as deck log book, stability calculations, oil record book, voyage plan, drill records.

5.1

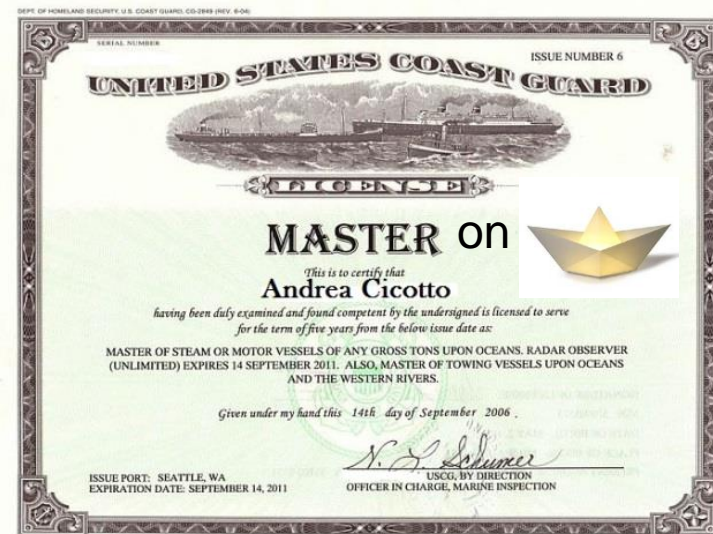
.5 periodically reviewing the safety management system and reporting its deficiencies to the shore-based management.

- ✓ Evidence that Master's Review of SMS have been forwarded to company office at defined interval (not more than a year).
- ✓ That all agenda items of the Master's Review have been reported.
- ✓ That the Master's Review gives a clear picture of the status of implementation of SMS on board and that necessary suggestions/modifications to SMS have been reflected In the review.
- ✓ Timely follow up and response by the Company to issues raised in the Master's review

6.1

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
- ✓ Standing orders and night orders



6.1

2. fully conversant with the Company's SMS

- ✓ Knowledge, assessed by means of interviews, of the Company's SMS related procedures safety and safety management system meetings as applicable



3. given the necessary support so that the Master's duties can be safely performed.

6.1

- ✓ written review and feedback from the Company of the safety meetings
- ✓ Company timely feedback to the Master's requests for technical support, spare parts, elimination of deficiencies, additional training of personnel, response to emergencies,
- ✓ Deficiencies identified in Master's handover forms have been taken care of by the Company



6.2

The Company should ensure that each ship is manned with qualified, certificated and medically fit seafarers in accordance with national and international requirements.

- ✓ the vessels are manned accordingly to the minimum safe manning required by the flag
- ✓ the watchkeeping Officers' Certificates of Competence appropriately endorsed by the flag
- ✓ valid certificates according to specific ship types as required by STCW convention
- ✓ valid medical fitness certificates and medical examination reports as required





6.3

The Company should establish procedures to ensure that new personnel and personnel transferred to new assignments related to safety and protection of the environment are given proper familiarization with their duties. Instructions which are essential to be provided prior to sailing should be identified, documented and given.

- ✓ evidence, obtained by means of interviews and observation of behavior, when possible, that crewmembers have appropriate knowledge of SMS onboard procedures (ex working permits, bunkering checklists, etc)
- ✓ correct performance of drills as required by SOLAS regulations, the SMS manual, the SOPEP Plan, etc.
- ✓ familiarization checklists duly signed by trainer and trainee

6.7

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

- ✓ capability, assessed by means of observation of behavior, of crewmembers to understand each other during simulation of emergencies and during shipboard procedures
- ✓ crewmembers' understanding, assessed by means of interviews, of emergency and operative signs onboard and safety guidelines.



The Company should establish procedures, plans and instructions, including checklists, as appropriate, for key shipboard operations concerning the safety of the personnel, ship and protection of environment. The various tasks should be defined and assigned to qualified personnel.

- ✓ Procedures, plans and instructions for key shipboard operations concerning the safety of the ship and the prevention of pollution (*taking into account risk assessment 1.2.2.2*);
- ✓ verification that key operations are under control by random sampling of those operations. This would involve the need to witness operations and confirm that the operation is conducted in accordance with procedures and instructions and will include discussion with crew members on their specific responsibilities associated with the key operation.
- ✓ verification that an appropriate library of applicable rules and regulations, guidelines, codes and standards exists.

8.1

The Company should identify potential emergency shipboard situations, and establish procedures to respond to them.

- ✓ Records of drills
- ✓ Records of training
- ✓ Emergency response plans



8.2

The Company should establish programmes for drills and exercises to prepare for emergency actions.

- ✓ drill schedule for ships, shore-side and joint exercises
- ✓ records of drills and training
- ✓ analysis or evaluation of drills and exercises



8.3

The SMS should provide for measures ensuring that the Company's organization can respond at any time to hazards, accidents and emergency situations involving its ships.

- ✓ Emergency response plans
- ✓ Contact points for all relevant parties (ERT, owners, charterers, insurance, etc.)
- ✓ 24 hr contact number between the ship and the Company
- ✓ Specific drawings for ship types (SOLAS II-1/3.7)
- ✓ Status and location of emergency equipment and oil spill response gear



10.1

The Company should establish procedures to ensure that the ship is **maintained** in conformity with the provisions of the relevant rules and regulations and with any additional requirements which may be established by the Company.

- ✓ documented procedures and instructions for the onboard work routine;
- ✓ verification of their implementation in the day-to-day operation of the ship by the appropriate personnel.



10.2

In meeting these requirements the Company should ensure that:

.1 inspections are held at appropriate intervals;

- ✓ shipboard inspection reports;
- ✓ condition of ship; and
- ✓ results from other surveys and inspections.

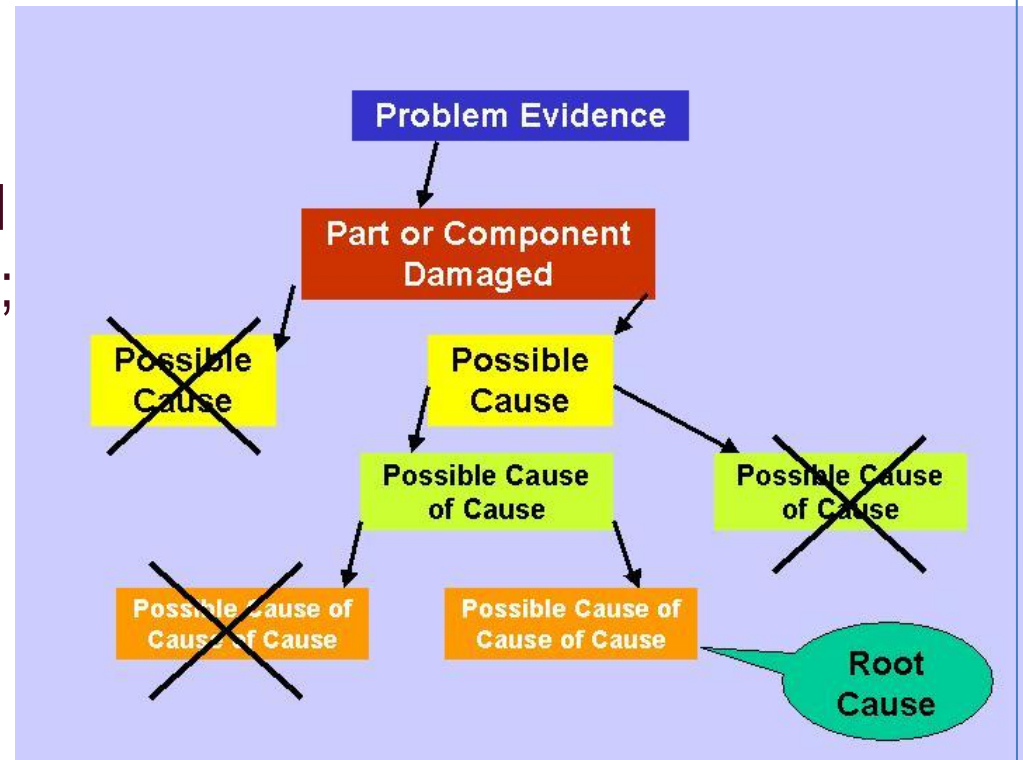




10.2

.2 any non-conformity is reported with its possible cause, if known;

- ✓ reporting of defects;
- ✓ analysis of defect and identification of causes;
- ✓ root cause analysis



10.2

.3 appropriate corrective action is taken;

- ✓ list of maintenance and repair carried out onboard;
- ✓ control, monitoring and receipt of spare parts;
- ✓ evidence of preventive actions taken;
- ✓ evidence of timely follow-up and effectiveness of corrective action



10.2

.4 records of these activities are maintained.

- ✓ Records of inspections, maintenance, damages, defects and relevant corrective actions should be kept as objective evidence of the effective functioning of the SMS.
- ✓ The records may be maintained in electronic format.





10.3

The Company should establish procedures in its SMS to identify equipment and technical systems the sudden operational failure of which may result in hazardous situations. The SMS should provide for specific measures aimed at promoting the reliability of such equipment or systems. These measures should include the regular testing of stand-by arrangements and equipment or technical systems that are not in continuous use.

Examples of such equipment and systems may be:

- (i) alarms and emergency shutdowns,
 - (ii) fuel oil system integrity,
 - (iii) cargo system integrity,
 - (iv) emergency equipment (EPIRB, portable VHF, etc.), (v) safety equipment (portable gas and CO2 detectors, etc.),
 - (vi) pre-arrival and pre-departure tests (of emergency steering gear, generators, emergency fire pumps, telegraphs, etc.)
-
- ✓ records of inspection and testing;
 - ✓ evidence of ability to test, operate and maintain such equipment to promote their reliability;
 - ✓ condition of relevant equipment;



12.1

The Company should carry out internal safety audits on board and ashore at intervals not exceeding 12 months to verify whether safety and pollution prevention activities comply with the SMS. In exceptional circumstances this interval may be exceeded by not more than 3 months

- ✓ documented procedures for internal audits and reviews, including specification of competence for internal auditors
- ✓ verification that internal auditor meets competence requirements
- ✓ copies of internal audit reports and master's and management reviews
- ✓ schedule of planned internal audits onboard vessel
- ✓ sampling of corrective action taken and verification of effectiveness



12.2

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

- ✓ internal audit performed onboard the vessel
- ✓ Master's review of the SMS
- ✓ sampling of corrective action of deficiencies identified and verification of effectiveness of the corrective action taken



Company

Crew

Master



DP (s)

Thank you!



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