



EMSA

Training on ISM Simulated Audit for Passenger Ships

Examples of objective evidence found in Office or ashore

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Auditing a Company or a Ship, looking for objective evidencies.

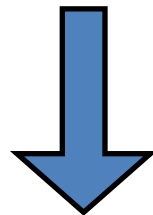
Audit is a **sampling process**

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





What are we looking for?



Objective evidencies



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



Safety Management objectives of the Company should, *inter alia*:

.2 identified risks to its ships, personnel and the environment and establish appropriate safeguards



Verification of how the Company makes an assessment of all risks related to ships they manage.



Verification of random cases reported from the Master



Verification of the application of measures to reduce all intolerable risks



Verification of how they monitoring the effectiveness of measures



The Safety Management System should ensure:

1. Compliance with mandatory rules and regulations



- ✓ Verification of how the Company controls class and statutory documentation, including validity, recommendations endorsed, surveys, audits, etc.
- ✓ Interview with the DP(s) and some key personnel to verify familiarization with class and statutory requirements and rules;

For IMO non compulsory rules, attention is drawn on
Flag State requirements

The Company should establish a safety and environmental protection policy, which describes how the objectives given in paragraph 1.2 will be achieved.

- A copy of the policy document;
- Established safety and pollution prevention objectives (SMM)



2.1





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

- Interviews with relevant personnel to establish the level of awareness and understanding;

- Records of preventive and corrective actions and their evaluation;

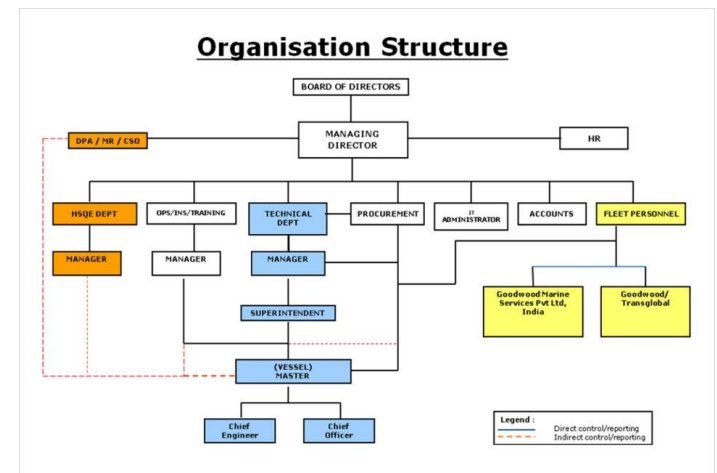
- Maintenance plan and records of maintenance of the ship and equipment.

- Records of internal and external audits;



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 Company has developed organization chart and defined job descriptions defining the responsibility and authority of the personnel involved in the SMS;
- ✓ How the Company exercises effective control of the responsibilities of its subcontractors involved in the SMS;
- ✓ Verification that the subcontractor fully meets the requirements set out in the 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

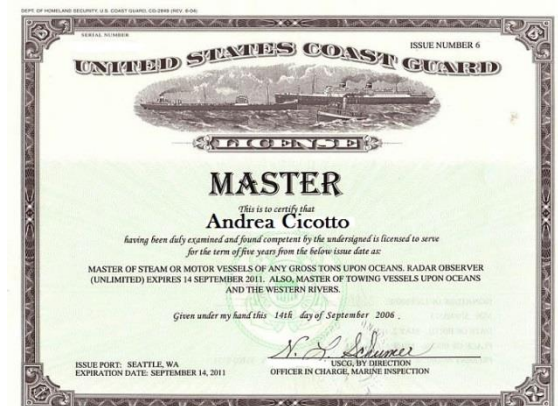


Master's CV stating previous experience on the same type of ship



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





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

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

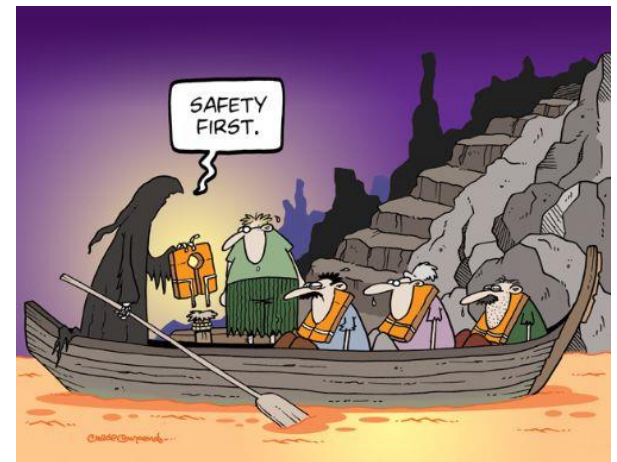


The Company should ensure that each ship is manned with qualified, certificated and medically fit seafarers in accordance with national and international requirements.

- Written recruiting procedures and minimum requirements for the Officers' qualification

- The Officers' CVs satisfying such minimum requirements

- The Company's established and documented procedures for monitoring expiring Certificates, when applicable



The Company should ensure that all personnel involved in the Company's SMS have an adequate understanding of relevant rules, regulations, codes and guidelines.

- Company library complete, controlled and updated
- Control and updating procedure for the company library





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 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*);
-  Evidence that a systematic review of mandatory rules and regulations applicable to each ship type included in the DOC is carried out by the Company
-  Sample check of new items in force

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

- ✓ Records of drills (ship-shore)
- ✓ Records of training ashore
- ✓ Emergency response plans

8.1



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



8.2



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)

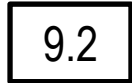


The Company should establish procedures for the implementation of corrective action, including measures intended to prevent recurrence

Personnel aware of procedures ensuring that non-conformities, accidents and hazardous situations are reported, investigated, analyzed and followed up

check against documents such as class, flag and port state reports, medical logs and interviews





Development of **Maintenance Programmes** having regard that:

1. inspections are held at appropriate intervals;
2. any non-conformity is reported with its possible cause, if known;
3. appropriate corrective action is taken; and
4. records of these activities are maintained.

- ✓ 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
- ✓ Shipboard inspection reports from ship staffs and/or company superintendents at intervals as required by the SMM





- ✓ Monitoring of maintenance status
- ✓ Control, monitoring and supply of spare parts;
- ✓ Analysis of defect and identification of causes
- ✓ Receipt of defect reports (damage, inspection reports, etc.) from the ship
- ✓ Root cause analysis, if necessary
- ✓ Evidence of preventive actions taken;
- ✓ Evidence of timely follow-up and effectiveness of corrective action
- ✓ **Evidence of all records**



The Company should 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.

✓ Evidence of identification of such equipment

✓ Records of inspection and testing

10.3



- ☐ Which equipment;
- ☐ Impact on crew, vessel and environment if not working for any reason;
- ☐ Back-up equipment / system;
- ☐ Likelihood of failure.

The Company should establish and maintain procedures to control all documents and data which are relevant to the SMS, ensuring that:

1. valid documents are available at all relevant locations;
2. changes to documents are reviewed and approved by authorised personnel; and
3. obsolete documents are promptly removed.

- ✓ Availability of documents up to date;
- ✓ Removal & destruction or storage of obsolete documents
- ✓ Proper review & approval of documents & amds
- ✓ Accurate identification of documents & revision status
- ✓ Procedures for the management of uncontrolled docs

11.2





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





Company

Crew

Master



DP (s)

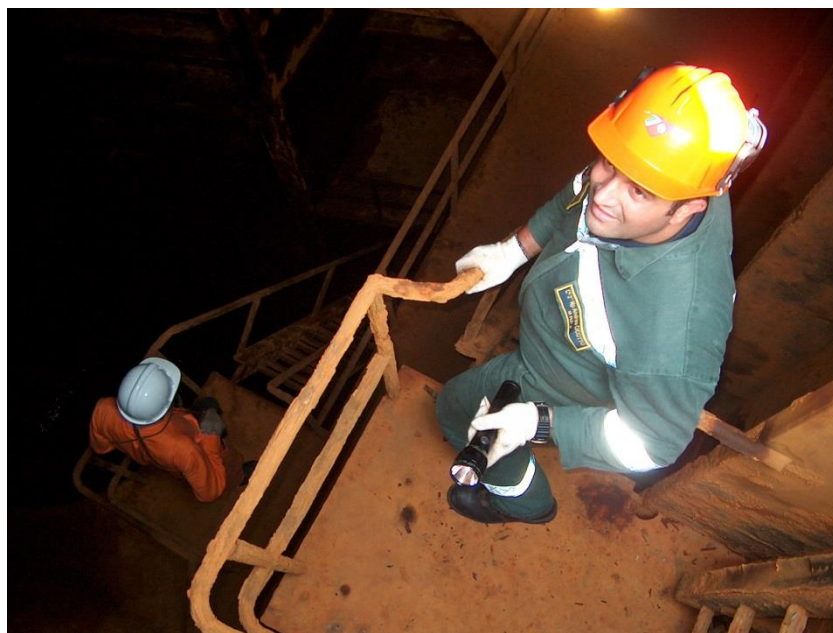




Italian Coast Guard



**Thank you for
listening!**



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