



## **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!);

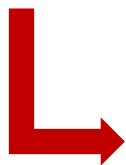
Determine the purpose of the audit (initial, renewal, additional..);

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





### 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:

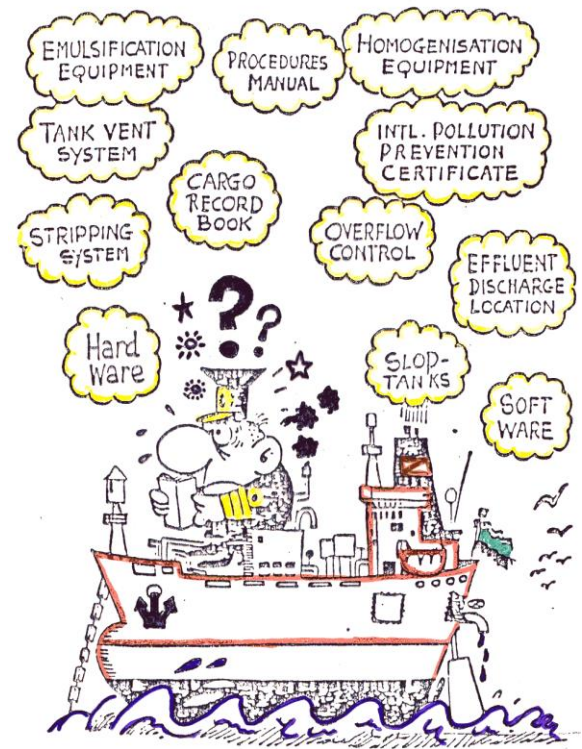
- ☐ Is this form the latest edition?
- ☐ Have you complete in due time the familiarization form?
- ☐ Did you attend the last safety meeting?



## REVIEWING DOCUMENTS

- ✓ Ask for a list of SMS forms used (revision and date)
- ✓ Check if Forms used are in compliance with relevant international requirements  
(R. 1050 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 simple 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 semi-closed space and present for continuous watch companies which to be entered. Entry operations must be the subject of a work order authorized by the permit area 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 and labeled?
- 2. Is the space properly isolated from all sources of energy?
- 3. Is the space properly ventilated?
- 4. Is the space properly tested for atmospheric hazards?
- 5. Is the space properly tested for toxic gases?
- 6. Is the space properly tested for flammable gases?
- 7. Is the space properly tested for oxygen deficiency?
- 8. Is the space properly tested for structural integrity?
- 9. Is the space properly tested for electrical hazards?
- 10. Is the space properly tested for other hazards?

Secondary Safety Equipment Procedures are followed:

- 1. Is the space properly isolated from all sources of energy?
- 2. Is the space properly ventilated?
- 3. Is the space properly tested for atmospheric hazards?
- 4. Is the space properly tested for toxic gases?
- 5. Is the space properly tested for flammable gases?
- 6. Is the space properly tested for oxygen deficiency?
- 7. Is the space properly tested for structural integrity?
- 8. Is the space properly tested for electrical hazards?
- 9. Is the space properly tested for other hazards?

Secondary Checks as Evidence as Applicable:

- 1. Is the space properly isolated from all sources of energy?
- 2. Is the space properly ventilated?
- 3. Is the space properly tested for atmospheric hazards?
- 4. Is the space properly tested for toxic gases?
- 5. Is the space properly tested for flammable gases?
- 6. Is the space properly tested for oxygen deficiency?
- 7. Is the space properly tested for structural integrity?
- 8. Is the space properly tested for electrical hazards?
- 9. Is the space properly tested for other hazards?

Secondary Protective Equipment as Applicable:

- 1. Is the space properly isolated from all sources of energy?
- 2. Is the space properly ventilated?
- 3. Is the space properly tested for atmospheric hazards?
- 4. Is the space properly tested for toxic gases?
- 5. Is the space properly tested for flammable gases?
- 6. Is the space properly tested for oxygen deficiency?
- 7. Is the space properly tested for structural integrity?
- 8. Is the space properly tested for electrical hazards?
- 9. Is the space properly tested for other hazards?

Emergency Procedures Equipment to be Used during Entry:

- 1. Is the space properly isolated from all sources of energy?
- 2. Is the space properly ventilated?
- 3. Is the space properly tested for atmospheric hazards?
- 4. Is the space properly tested for toxic gases?
- 5. Is the space properly tested for flammable gases?
- 6. Is the space properly tested for oxygen deficiency?
- 7. Is the space properly tested for structural integrity?
- 8. Is the space properly tested for electrical hazards?
- 9. Is the space properly tested for other hazards?

Class of Emergency Response to be used:

- 1. Is the space properly isolated from all sources of energy?
- 2. Is the space properly ventilated?
- 3. Is the space properly tested for atmospheric hazards?
- 4. Is the space properly tested for toxic gases?
- 5. Is the space properly tested for flammable gases?
- 6. Is the space properly tested for oxygen deficiency?
- 7. Is the space properly tested for structural integrity?
- 8. Is the space properly tested for electrical hazards?
- 9. Is the space properly tested for other hazards?



## 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 <sup>1)</sup>	Convention ref. <sup>2)</sup>	Ground for detention	Action taken	Additional Comments	ISM Related	RO resp. <sup>2)</sup>	Accidental Damage <sup>3)</sup>

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)

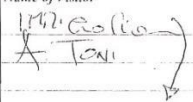
Vessel:	Date:	Place:
MV "	03.05.2013	Genova

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

<b>Auditor:</b>	<b>Master:</b>
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

**HOT WORK PERMIT**  
PERMesso di Lavoro a Calore

Il presente Permesso di Lavoro a Calore è rilasciato per le attività di lavoro a caldo che comportano l'uso di fiamme libere, come la saldatura, il taglio, la brasatura, ecc. e per le attività di lavoro a caldo che comportano l'uso di fiamme libere, come la saldatura, il taglio, la brasatura, ecc. e per le attività di lavoro a caldo che comportano l'uso di fiamme libere, come la saldatura, il taglio, la brasatura, ecc.

**PROSECUTION**

A. Nome e cognome del richiedente: \_\_\_\_\_  
B. Nome e cognome del responsabile: \_\_\_\_\_  
C. Nome e cognome del supervisore: \_\_\_\_\_  
D. Nome e cognome del controllore: \_\_\_\_\_  
E. Nome e cognome del verificatore: \_\_\_\_\_  
F. Nome e cognome del responsabile della sicurezza: \_\_\_\_\_  
G. Nome e cognome del responsabile della manutenzione: \_\_\_\_\_  
H. Nome e cognome del responsabile della pulizia: \_\_\_\_\_  
I. Nome e cognome del responsabile della logistica: \_\_\_\_\_  
J. Nome e cognome del responsabile della comunicazione: \_\_\_\_\_  
K. Nome e cognome del responsabile della formazione: \_\_\_\_\_  
L. Nome e cognome del responsabile della valutazione dei rischi: \_\_\_\_\_  
M. Nome e cognome del responsabile della gestione delle emergenze: \_\_\_\_\_  
N. Nome e cognome del responsabile della gestione della qualità: \_\_\_\_\_  
O. Nome e cognome del responsabile della gestione dell'ambiente: \_\_\_\_\_  
P. Nome e cognome del responsabile della gestione della salute e sicurezza: \_\_\_\_\_  
Q. Nome e cognome del responsabile della gestione della privacy: \_\_\_\_\_  
R. Nome e cognome del responsabile della gestione della contabilità: \_\_\_\_\_  
S. Nome e cognome del responsabile della gestione della fiscalità: \_\_\_\_\_  
T. Nome e cognome del responsabile della gestione della gestione: \_\_\_\_\_  
U. Nome e cognome del responsabile della gestione della gestione: \_\_\_\_\_  
V. Nome e cognome del responsabile della gestione della gestione: \_\_\_\_\_  
W. Nome e cognome del responsabile della gestione della gestione: \_\_\_\_\_  
X. Nome e cognome del responsabile della gestione della gestione: \_\_\_\_\_  
Y. Nome e cognome del responsabile della gestione della gestione: \_\_\_\_\_  
Z. Nome e cognome del responsabile della gestione della gestione: \_\_\_\_\_

**APPROVAL**

A. Nome e cognome del responsabile: \_\_\_\_\_  
B. Nome e cognome del responsabile: \_\_\_\_\_  
C. Nome e cognome del responsabile: \_\_\_\_\_  
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Z. Nome e cognome del responsabile: \_\_\_\_\_

**REMARKS**

A. Nome e cognome del responsabile: \_\_\_\_\_  
B. Nome e cognome del responsabile: \_\_\_\_\_  
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Z. Nome e cognome del responsabile: \_\_\_\_\_

**CAUTION**

Il presente Permesso di Lavoro a Calore è rilasciato per le attività di lavoro a caldo che comportano l'uso di fiamme libere, come la saldatura, il taglio, la brasatura, ecc. e per le attività di lavoro a caldo che comportano l'uso di fiamme libere, come la saldatura, il taglio, la brasatura, ecc. e per le attività di lavoro a caldo che comportano l'uso di fiamme libere, come la saldatura, il taglio, la brasatura, ecc.

**FM (FIRE)**

A. Nome e cognome del responsabile: \_\_\_\_\_  
B. Nome e cognome del responsabile: \_\_\_\_\_  
C. Nome e cognome del responsabile: \_\_\_\_\_  
D. Nome e cognome del responsabile: \_\_\_\_\_  
E. Nome e cognome del responsabile: \_\_\_\_\_  
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Z. Nome e cognome del responsabile: \_\_\_\_\_





## 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

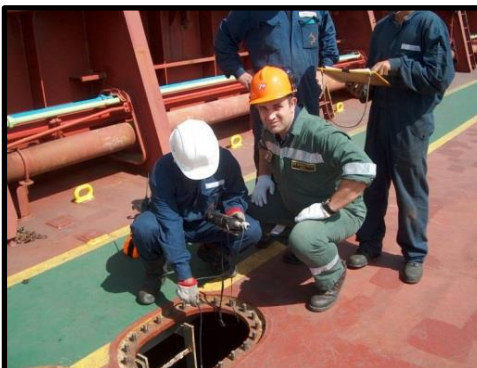
Item of Technical File

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!**

**Andrea CICOTTO**  
**Italian Coast Guard**  
Cagliari District Office

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