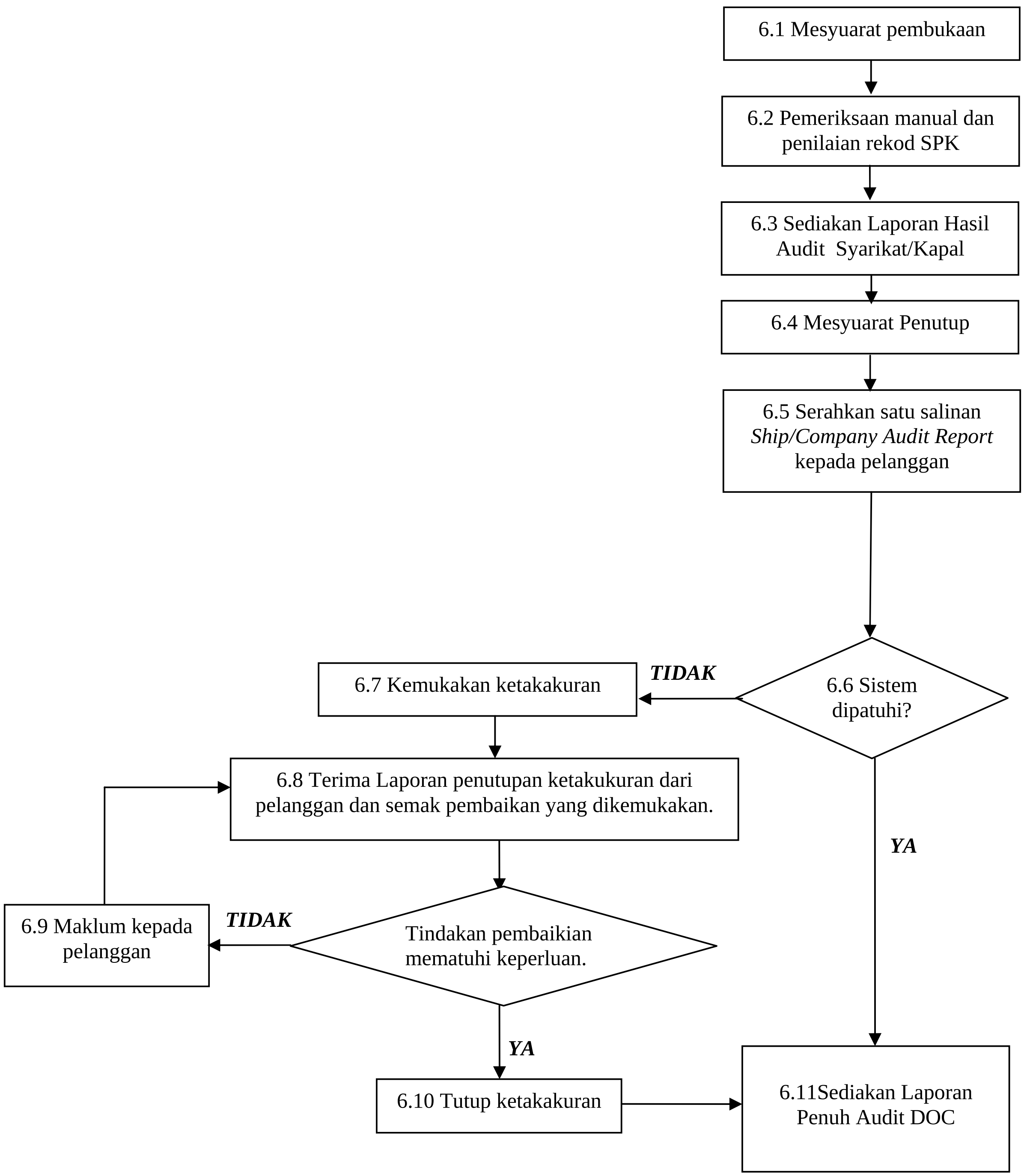
PELAKSANAAN AUDIT DAN PENGURUSAN KETAKAKURAN

PT-BKI-13

Rekod Pindaan.

Pindaan	Tarikh	Huraian Pindaan
-	01/07/2009	Keluaran baru berdasarkan kepada MS ISO 9001:2008

Carta Alir
Pelaksanaan Audit dan Pengurusan Ketakakuran



1. OBJEKTIF.

Prosedur ini menerangkan tatacara pengauditan ISM yang perlu dipatuhi oleh pegawai-pegawai yang terlibat di dalam proses pengauditan dan pengurusan ketakakuran (*Non Conformity*) yang telah dikeluarkan.

2. SKOP.

Prosedur ini hanya digunapakai bagi pelaksanaan audit dan pengurusan ketakakuran (*Non Conformity*) yang berkaitan dengan Pensijilan Dokumen Kepatuhan di bawah Kod ISM.

3. TANGGUNGJAWAB.

Pengarah Bahagian Kawalan Industri bertanggungjawab secara keseluruhan dalam pelaksanaan audit dan pengurusan ketakakuran di bawah Kod ISM.

4. RUJUKAN.

4.1 Manual Kualiti.

4.2 Notis Pekapalan Malaysia.

4.3 Ordinan Perkapalan Saudagar 1952.

4.4 *The International Management Code for the Safe Operation of Ships and for Pollution Prevention (International Safety Management (ISM) Code. Resolution A741(18).*

4.5 *Guidelines On Implementation of The International Safety Management (ISM) Code by Administration. Resolution A788(19).*

4.6 *Chapter IX of SOLAS Convention '74 as amended.*

4.7 Guidelines On Implementation of The International Safety Management (ISM) Code by Administration. Resolution A788(19), as amended.

5. DEFINASI/SINGKATAN.

5.1	KJ	- Ketua Juruaudit yang dilantik.
5.2	Juruaudit	- Juruaudit yang dilantik.
5.3	Pelanggan	- Syarikat atau Kapal.
5.4	DOC	- Dokumen Kepatuhan.
5.5	Kod ISM	- *The International Management Code for the Safe Operation of Ships and for Pollution Prevention (International Safety Management (ISM) Code.*
5.6	SPK	- Sistem Pengurusan Keselamatan.

6. PROSEDUR.

TANGGUNGJAWAB	TINDAKAN
	Pelaksanaan Audit dan Pengurusan Ketakuran.
KJ/Juruaudit	6.1 Mengadakan satu mesyuarat pembukaan dengan pelanggan. Mesyuarat pembukaan tersebut merangkumi dan tidak terhad kepada perkara-perkara seperti berikut: i) memperkenalkan ahli kumpulan. ii) penerangan mengenai program pengauditan yang akan dilakukan. iii) sesi soal jawab.
	6.2 Memeriksa dokumen dan menilai rekod SPK untuk mengetahui tahap keberkesanan pelaksanaan sistem.
	6.3 Catatan audit hendaklah direkodkan di dalam *Audit Note*. Ketakakuran dan pemerhatian pula dilaporkan di dalam *Non Conformity Report* dan *Observation Report.*
KJ/Juruaudit	6.4 Mengadakan mesyuarat penutup dengan pelanggan, di mana kesimpulan penemuan audit akan dibuat. Mesyuarat penutup merangkumi dan tidak terhad kepada perkara-perkara seperti berikut:- i) Penemuan audit, termasuk ketakakuran dan pemerhatian. ii) Sesi soal – jawab.
	6.5 Pelanggan akan menerima satu salinan laporan audit untuk tindakan mereka.
	6.6 Sekiranya terdapat elemen-elemen Kod ISM yang tidak dipatuhi, KJ/Juruuaudit akan memberi status ketakakuran (*Non Conformity*) pada elemen yang berkaitan

KJ/ Juruaudit	6.7 Setiap ketakakuran yang dikeluarkan oleh juruaudit perlulah dikaitkan/disabitkan dengan elemen-elemen Kod ISM itu sendiri. i) Tempoh masa yang bersesuaian diberikan bagi setiap ketakakuran kecil (*Minor Non Conformity*) yang telah dikeluarkan (maksimum 3 bulan selepas tarikh ulang tahun). Ini bagi membolehkan pelanggan mengambil langkah-langkah perlu bagi menutup ketakakuran tersebut. ii) Bagi ketakakuran utama, (*Major Non Conformity*), hendaklah ditutup dengan segera dalam masa yang telah dipersetujui.
KJ	6.8 Terima penutupan ketakakuran daripada pelanggan dan menyemak tindakan pembaikan yang telah diambil oleh pelanggan. 6.9 Sekiranya tindakan pembaikan tidak memenuhi keperluan, maklumkan kepada pelanggan mengenai kekurangan dan minta pelanggan membuat tindakan pembaikan untuk penyemakan semula. 6.10 Jika tindakan pembaikan telah memenuhi keperluan, ketidakakuran akan ditutup. 6.11 Sediakan laporan penuh audit DOC

7. RUJUKAN.

Bil.	Rekod	Lokasi	Tempoh Simpanan
7.1	Ship/ Company Audit Report	Fail Pelanggan	Dua (2) tahun selepas syarikat tidak aktif.
7.2	Attendance Record	Fail Pelanggan	Dua (2) tahun selepas syarikat tidak aktif.
7.3	Non Conformity Report	Fail Pelanggan	Dua (2) tahun selepas syarikat tidak aktif.
7.4	Observation Report	Fail Pelanggan	Dua (2) tahun selepas syarikat tidak aktif.
7.5	Audit Note	Fail Pelanggan	Dua (2) tahun selepas syarikat tidak aktif.
7.6	DOC Audit Report	Fail Pelanggan	Dua (2) tahun selepas syarikat tidak aktif.
7.7	Ship Audit Plan	Fail Pelanggan	Dua (2) tahun selepas syarikat tidak aktif.

8. LAMPIRAN.

8.1 Lampiran 1 - *Ship/Company Audit Report.*
JLM/ISM/FORM/05 Rev.0.

8.2 Lampiran 2 - *Attendance Record.*
JLM/ISM/FORM/06 Rev. 0.

8.3 Lampiran 3 - *Non Conformity Report.*
JLM/ISM/FORM/07 Rev. 0.

8.4 Lampiran 4 - *Observation Report.*
JLM/ ISM/FORM/08 Rev. 0.

8.5 Lampiran 5 - *Audit Note(s).*
JLM/ISM/FORM/09 Rev. 0.

8.6 Lampiran 6 - *DOC Audit Report.*
JLM/ISM/FORM/10.

8.7 Lampiran 7 - *Ship Audit Plan.*
JLM/ISM/FORM/11

LAMPIRAN 1

INTERNATIONAL SAFETY MANAGEMENT CODE
SHIP/~~COMPANY~~ AUDIT REPORT

AUDIT TYPE:

GENERAL	
NAME OF COMPANY:	
ADD (HQ/BRANCH OFFICE) :	
DPA:	SCOPE:
CLASS OF VESSEL COVERED:	
PLACE/DATE AND TIME OF AUDIT: / /	

AUDITOR'S SUMMARY

No OF MAJOR NC ☐

No OF MINOR NC ☐

No OF OBSERVATION ☐

COMPANY HAS BEEN SATISFACTORILY AUDITED	☐	PLS TICK
COMPANY SHALL RESPONSE TO NCR	☐	
DOCUMENT TO BE RE-SUBMITED	☐	

SIGNATURE OF LEAD AUDITOR	ACKNOWLEDGE BY COMPANY'S REP
……………………………………………… NAME: DATE **:**	……………………………………………………… NAME: DATE:

ENCLOSURES: ☐ **Attendance Record** ☐ **NCR(s)**

INTERNATIONAL SAFETY MANAGEMENT CODE
ATTENDANCE RECORD

COMPANY:	
LOCATION :	
AUDITORS: I. II. III. IV.	DATE: TIME:

OPENING MEETING ☐ CLOSING MEETING ☐

ATTENDANCE		
COMPANY'S CEO:		
COMPANY'S DPA:		
No	NAME	DESIGNATION
1.		
2.		

LAMPIRAN 3

INTERNATIONAL SAFETY MANAGEMENT CODE

NON CONFORMITY REPORT

Name of Company **:**	Lead Auditor : Audit members : 1- 2- 3- 4-
Name of Organization :	ISMC ref : Company procedure ref :
Name of Vessel :	Type of ship : Date of Audit:
Non-Conformity : MAJOR / MINOR	Finding No of

Description of Findings :

Agreed date of corrective action :	
It is agreed that the company shall take the necessary corrective actions to close this non Conformity within (specify) :	
Lead Auditor's Signature :	Company's rep Signature :

Corrective Actions taken (to be filled in by Company)	
I certify that the corrective actions as stated above have been taken and implemented by the Company	
Company Rep : Date :	Signature :

Corrective action Review (Non-Conformity)	
Non-Conformity Closed : YES / No	Date :
Lead Auditor :	Signature :

	INTERNATIONAL SAFETY MANAGEMENT CODE OBSERVATION REPORT

Name of Company :	Lead Auditor : Audit Members : 1. 2- 3-	
Name of Organization :	Observation Sheet	of
Name of Vessel :	Type of ship :	

Description of Observation :	
Company's Rep. Signature:	Date:
Lead Auditor's Signature :	Date :

INTERNATIONAL SAFETY MANAGEMENT CODE

AUDIT NOTE(S)

Name of company:………………………. **Audited Date : …………………..**

Auditor :…………………………….

REFERENCE	REMARKS

LAMPIRAN 6

INTERNATIONAL SAFETY MANAGEMENT CODE

DOC AUDIT REPORT

INITIAL ☐ PERIODICAL ☐ RENEWAL ☐ ADDITIONAL ☐

1. THE COMPANY/~~SHIP~~

NAME:	OFFICE ADDRESS:
BRANCH OFFICE (S) - LOCATION(S) AUDITED:	*DOC ISSUE BY :* *DATE OF EXPIRY :*

MAIN OFFICE FUNCTION(S) ☐ TECHNICAL ☐ MANNING ☐ COMMERCIAL ☐ OTHER (…………………………….)

BRANCH OFFICE(S) FUNCTION (S) ☐TECHNICAL ☐MANNING ☐ COMMERCIAL ☐ OTHER (…………………………….)

2. TYPES AND NUMBER OF SHIPS MANAGED

TYPE	NO	TYPE	NO	TYPE	NO
(a)PASSENGER SHIP (INC HSC)		(d) CHEMICAL TANKER		(g) CARGO HIGH SPEED CRAFT	
(b)PASSENGER RO-RO FERRY		(e) GAS CARRIER		(h) MODU	
(c) OIL TANKER		(f) BULK CARRIER		(i) OTHER	

3. AUDIT DATE:	**HQ**	**BRANCH**	**SHIP SAMPLED**	

4. AUDIT MEMBERS	**LEAD AUDITOR:**
1. 2.	3. 4.

5. THE AUDIT RESULT	
No. OF MAJOR NON-CONFORMITIES ☐ No. OF MINOR NON-CONFORMITIES ☐ No. OF OBSERVATION ☐	STATUS OF PREVIOUS NCN(s), IF APPLICABLE ☐ CLOSED ☐ NOT CLOSED * NOT APPLICABLE

INTERNATIONAL SAFETY MANAGEMENT CODE

DOC AUDIT REPORT

6. COMMENTS ON THE IMPLEMENTATION OF THE SYSTEM

7. REASON(S) FOR ADDITIONAL AUDIT *(APPLICABLE FOR ADDITIONAL AUDIT ONLY)*

8. RECOMMENDATION

THE ☐ INITIAL ☐ RENEWAL ☐ PERIODICAL ☐ ADDITIONAL AUDIT WAS COMPLETED:

☐ WITHOUT ANY NON CONFORMITIES. ISSUANCE / RENEWAL / ENDORSEMENT OF DOC IS RECOMMENDED

☐ WITH **MINOR NON CONFORMITIES** WHICH HAVE BEEN CLOSED. ISSUANCE /RENEWAL/ ENDORSEMENT OF DOC IS RECOMMENDED.

☐ WITH **MAJOR NON CONFORMITIES**. ISSUANCE /RENEWAL/ ENDORSEMENT OF DOC IS NOT RECOMMENDED. PENDING CORRRECTIVE ACTION BY COMPANY AND VERIFICATION THROUGH ADDITIONAL AUDIT.

☐ WITH **MAJOR NON CONFORMITIES. WITHDRAWAL OF DOC IS RECOMMENDED.**

9. SIGNATURE *(I HAVE CHECKED THAT THE DETAILS ARE CORRECT AND ACCEPTABLE)*

1. LEAD AUDITOR DATE:	2. VERIFY BY DIRECTOR DATE:

10. DISTRIBUTION OF THIS REPORT

ORIGINAL TO CLIENT WITH ORIGINAL NCN(S) ☐

COPY AND ONE COPY NCNs TO JLM ☐

<u>**NOTE:**</u>
PLEASE ENSURE THAT ONE COMPLETE INTERNAL SAFETY MANAGEMENT AUDIT AND MANAGEMENT REVIEW CYCLE IS PERFORMED BEFORE THE INITIAL/ PERIODICAL / RENEWAL AUDIT.

INTERNATIONAL SAFETY MANAGEMENT CODE

DOC (Ship Sampling) ☐ **SMC Audit** ☐

INITIAL ☐ **INTERMEDIATE** ☐ **RENEWAL** ☐ **ADDITIONAL** ☐

NAME OF SHIP: **DISTINCTIVE NUMBER OR LETTERS:**

PORT OF REGISTRY: **TYPE OF SHIP:**

GROSS TONNAGE: **IMO NUMBER**:

MASTER: **SCOPE:**

NAME OF COMPANY: DPA:

DATE OF AUDIT: PLACE OF AUDIT:

Time	Events / Elements of the code	Remarks
	Opening meeting	
	Reporting of NC's, accident & hazardous occurrences - PSC, FSC, Class report, etc.	
	Resource and personnel - Master qualifications; - Training, etc.	
	Documentation - Control of documents - Changes of documents; etc.	
	Verification, review and evaluation - Internal safety audits; - Master review;	
	Break	
	Emergency preparedness - Drills and exercises; etc.	
	Maintenance of the ship and equipment - Planned maintenance system; - Records of survey, etc.	
	Internal assessment	
	Closing meeting	