

Certificate Renewal Planning 4

Report for:

Jabatan Laut Semenanjung Malaysia

LRQA reference:	KLR 0403591/ 0041
Assessment dates:	23-25 July 2012
Assessment location:	Port Klang, Selangor, Malaysia
Assessment criteria:	ISO 9001:2008
Assessment team:	Ir. Chong Kam Fook (Team Leader) Mashod Azhan
LRQA office:	Kuala Lumpur



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Attachments

This report was presented to and accepted by:	
Name:	Mr. Hj Baharin Bin Dato Abdul Hamid
Job title:	Deputy Director General

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1. Executive report

Assessment outcome:

Processes related to theme surveillance at headquarters (IPL) and seamen certification at selected Regional Port Offices have been successfully assessed. No major except 2 minor non conformities (NC) and few area of concerns were raised basing on sampling and record evidences sighted.

Jabatan Laut Semenanjung Malaysia's quality management system meet the requirements of ISO 9001:2008 standard and ready for certificate renewal and change to approval (CTA) in next visit

System effectiveness and continual improvement:

Overall, the current system provided adequate control over the quality management processes within the organisation.

Continual improvement are achieved through internal audit process and management review which were held at defined interval. This organisation QMS is satisfactorily maintained throughout certification periods. There was no major NC raised during cetification

Areas for management attention:

Sg. Udang Port Office has stopped verifying modular course participant's attendance as required under procedure 'Pengeluaran sijil kursus modular (Doc No: PT-HEPP-09)' clause 6.1.3. There was no record available to justify the local port office is longer involve in above activity.

[Details of findings as shown in the Assessment Findings Log.](#)



2. Assessment summary

Introduction:

Outstanding issues were followed-up. Ir. Chong Kam Fook (Team Leader) and Mashod Azhan had assessed areas as shown on Assessment Schedule and Visit Theme Selection (SV 4 cum certificate renewal planning 4 visit) were covered. Management team headed by Mr. Hj Baharin Bin Dato Abdul Hamid (Deputy Director General / QMR) had attended opening and closing meeting. Team leader briefed confirmed audit scope, criteria (ISO 9001:2008), LRQA grading of audit finding, methodology and reporting.

Activities audited in this visit were as follows:

- a) Jab Laut Wilayah Tengah - Port Dickson & Sg Udang, Melaka; JL Wilayah Sabah - Sandakan - seamen certification
- b) Jabatan Laut Wilayah Sabah – Ibu Pejabat – Ship registration & Seamen Certification
- c) Wilayah Tengah - Port Klang, - Ship Registration (Head Office), Conduct of Hydrographic Survey (H/O), Mgmt. of Dredging Work (H/O)
- d) Head Office (Ibu Pejabat Laut) at Port Klang, Selangor – Review, preview and planning; CoC and CoR

Assessor: Ir. Chong Kam Fook (ID: 02738) guided Yusnan

Assessment of:	Outstanding Issue	Auditee(s):	Yusnan (Marine Officer) Norhayati Ibrahim (Marine Officer)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">Corrective actions for minor NC and Observations / Area of Concerns raised during Certificate Renewal cum Transition Assessment			
Evaluation and conclusions:			
<ul style="list-style-type: none">Corrective actions were taken and it addressed outstanding findings			



Day 01: Wilayah Tengah – Port Dickson Port Office

Assessment of:	Port Dickson Port Office: <ul style="list-style-type: none">• Organisation & Management Responsibility• Business Activities	Auditee(s):	Nor Hafiza (Marine Officer)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">• Organisation chart, staff responsibilities and reporting, quality policy and objectives, business activities• Relevant records: "Borang II – Pemantauan Objektif Kualiti Berpusat"			
Evaluation and conclusions:			
<ul style="list-style-type: none">• The Port Dickson Port Office is headed by Nor Hafiza and 8 staff are involved in seafarer certification activities.• Organisation chart of Jabatan Laut Malaysia and local port office are sighted.• 'Senarai Tugas' stated staff's responsibilities, authority and competency) was sighted in of staff 'Fail Meja'• A copy of the quality policy was displayed at front office and it was understood by the staff.• Local port office has consistently monitored actual performance of related quality objectives. Performance data are consistently recorded in formats provided by IPL, Port Klang.• Local port office only processes application of seamen certification which included seamen registration and receive application of certificate of competency (CoC) and certificate of recognition (CoR); received and process CoC and CoR for Watchkeeping rating . Most of the applications are related to seaman card.			



Assessment of:	Port Dickson Port Office: <ul style="list-style-type: none">• Internal Quality Audit• Management Review• ISO documents & records control	Auditee(s):	Nor Hafiza (Marine Officer)
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Audit trails and sources of evidence:

- Records of Internal audit carried out on 30 Nov 2011 and 16Feb 2012: "Pelan Audit Kualiti Dalam", "Laporan Audit Kualiti Dalam", "Laporan Ketakakuran", "Senarai Kehadiran", "Jadual Audit"
- Management review held on 13 July 2012, control of ISO 9001 documents / records

Evaluation and conclusions:

- Seamen certification applications and related activities were audited by 2 internal auditors from other port offices in Nov 2011 and Feb 2012 as shown on notification issued by Lead Auditor. No major / minor non conformity (NC) / Observations was raised in Nov 2011, but 1 minor NC and 1 Observation were raised in Feb 2012 (as recorded in 'Laporan Ketakakuran'). **Noticed that 'Laporan Ketakakuran' No: 16/2/12/YAR/01 (graded as minor NC) was closed out on 1 Mar 2012 however, the change made on procedure PT-HEPP-04 has yet approve by the defined authority. JLM is can only close out NC when corrective action is implemented and review on effectiveness (CKF-01, 07/2012).** Internal audit records were maintained at local office. Record evidences of 4 Observations have been submitted to Team Leader for verification. However, all Observations are remained open.
- Minutes of management review was available in Malaysia Marine Department website (JALIN system). Director General Marine, Deputy Director General Marine, Regional Marine Department Director and Secretariats had attended above management review. The management review team had discussed all necessary agendas included LRQA audit findings. **Management review team reported that Issuance of CoC within 14 working days achieved 85.12% for the periods Jan – Apr 2012 mainly due to interruption of SDPX system line. Noticed that there was no representative from IT Unit to address above matter (CKF-02, 07/2012)**
- ISO 9001 documents consist of quality manual, main procedures and all supporting procedures were saved in Jabatan Laut Malaysia intranet (JALIN). Local port office is able to view ISO 9001 documentation. Local office has generated a hard copy of ISO 9001 document for reference only.
- This port office use Sistem Dokumen Pelaut (SDPX) system for capturing seafarer certifications application. Since implementation of SDPX system, all applications are processed on line. Seafarer's particulars are stored in SDPX system and it is regularly backed up by the IT Unit at headquarters (Ibu Pejabat Laut).
- Receipt books pertaining to seafarer certification activities received / processed by the local port office were satisfactorily maintained in this office.



Assessment of:	Port Dickson Port Office: Seamen Certification	Auditee(s):	Nor Hafiza (Marine Officer) Raesyalawati (Admin Asst) Mohd Wazir (Admin Asst) Justizan (Admin Asst)
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Audit trails and sources of evidence:

- Permohonan Dokumen Pelaut (PT-HEPP-05) and records related to Seamen Cards & seaman Document received from local seafarers: seaman card No: 201124000952, 201124000612; Foreign seafarer: seaman card no: 201124000313; Malaysia Seafarer Card, 'Buku rekod'; and related procedure Crew Agreement (No: 2400042) & Official Log book for BRO Foremost (No: 09243, ship official no: 328404)
- Change to List of Crews i.e. crews sign-on & sign off for M.V. Redang (Ship official no: 332318, renewal) and T.B. Alliance 77 (Ship official no: 329615, renewal)
- Reviewed application and issuance of certificate of competency (CoC): Watchkeeping rating – deck (seaman no: 201053000519, Watchkeeping – engine (seaman no: 200851000329) and related procedure Pengeluaran Perakuan Kekompetenan (PT-HEPP-02)
- Certificate of recognition (CoR) and related procedure Permohonan Perakuan Pengiktirafan (PT-HEPP-04) and sample of application: seaman card no: 200923004676 (Master) and seaman card no: 201224001264 (Chief Engineer Officer)
- Customer satisfaction feedback / customer complaint received for the periods 1 Jan 2012 onwards and related records: 'Analisa boring kepuasan pelanggan'

Evaluation and conclusions:

- Port Dickson port office has processed seafarer card and seafarer document for both local and foreign seafarers. All applications have been processed via SDPX system within 1 working day which has meet target set for quality objective.
- A unique reference number is assigned to each application by SDPX and verified prior to the acceptance. Malaysia Seafarer card in smart card design was issued to local seafarers when application found acceptable and in compliance with local procedure (PT) requirements.
- Reviewed the rest of seafarer certification services. Crew Agreement application is processed on line in SDPX system Crew agreement / contract could be printed from SDPX system. Official Log Book remain in printed copy. However, applicant's particulars have been captured in SDPX system. Crew sign on / sign off had been carried out successfully. The local office does not verify modular course attendance
- Customer kiosk is available at front counter. Application form is available in SDPX and applicant could access it and key in details as required under each type of application. Port office could help applicant to scan / convert supporting documents in hard copy into electronic copy in the event applicant does not own scanner.
- Local port office has processed application of certificate of competency (CoC) for Watchkeeping Rating (Deck and Engine). Application requirements as stated in check list in local procedure (PT) have been reviewed with the aids of SDPX. CoC were issued to applicants when ready for collection.
- Application of and certificate of recognition (CoR) for Officers had been processed according to Permohonan Perakuan Pengiktirafan (PT-HEPP-04). Necessary support documents are uploaded in SDPX system. found in order.
- Crew agreement and Official Log Book received by the Regional Port Office would be accumulated and returned to IPL upon completion. 'Borang Penyerahan' for previous submission were sighted.
- Customer satisfaction feedbacks were compiled and analysed monthly. A total of 13 customer feedbacks were received since Jan 2012. Overall, customer satisfaction was rated from very satisfactorily to excellent.
- There are few customer complaints received to date with regards to air-cond not cool and breakdown and difficult to access customer kiosk on line. Cause of customer complaints had been identified and corrective action proposed.

Note:

Perjanjian Anak Kapal (procedures: PT-HEPP-06) and Log Rasmi procedure (PT-HEPP-07) had been removed from QMS during transition to ISO 9001:2008



Day 02: Jabatan Laut Wilayah Tengah – Sg. Udang Port Office

Assessment of:	Sg. Udang Port Office: <ul style="list-style-type: none"> • Organisation & Management Responsibility • Business Activities 	Auditee(s):	Bachok Banan (Asst. Marine Officer) Jesudas (Marine Asst.)
Audit trails and sources of evidence:			
<ul style="list-style-type: none"> • Organisation chart, staff responsibilities and reporting, quality policy and objectives, business activities and related records: 'Senarai tugas Dan Tanggungjawab' "Borang II – Pemantauan Objektif Kualiti Berpusat" 			
Evaluation and conclusions:			
<ul style="list-style-type: none"> • Sg. Udang Port Office is headed by Muhammad Zuhdi (Marine Officer) and 4 staff involved in seafarer certification activities. • Jabatan Laut Malaysia organisation chart was in the quality manual. Wilayah Tengah – Melaka organization chart was sighted. Staff reporting is clear. • 'Senarai Tugas' stated staff's responsibilities, authority and competency) was sighted in of staff 'Fail Meja'. It is advisable for staff / employee and superior to sign individual 'Senarai Tugas Harian' as an acknowledgement of understanding of staff responsibility and authority. • Although effective date has been added into organization chart of Sg. Udang, Melaka Port Office which was corrected after internal audit in Feb 2012, however, the latest organization chart was not updated in staff fail meja (CKF-03, 07/2012) • A copy of the quality policy was displayed at front office and it was understood by the staff. • Local port office has stopped tracking / monitoring the actual performance of related quality objectives. 'Borang II - Pemantauan Objektif Kualiti Berpusat' provided by IPL, Port Klang was not maintained since Aug 2009 – See Minor NC for further details. • Local port office processes application of seamen certification which included seamen registration, management of seamen service (crew agreement and article sign on / sign off), official ship logbook, certificate of competency (CoC) and certificate of recognition (CoR). Noticed that Sg. Udang Port Office has stopped verifying modular course participant's attendance as required under procedure 'Pengeluaran sijil kursus modular (Doc No: PT-HEPP-09)' clause 6.1.3 – See Minor NC for further details. 			



Assessment of:	Sg. Udang Port Office: <ul style="list-style-type: none">• Internal Quality Audit• Management Review• ISO documents & records control	Auditee(s):	Bachok Banan (Asst. Marine Officer) Jesudas (Marine Asst.)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">• Records of Internal audit carried out on 29 Nov 2011 and 17Feb 2012: "Pelan Audit Kualiti Dalam", "Laporan Audit Kualiti Dalam", "Laporan Ketakakuran", "Senarai Kehadiran", "Jadual Audit"• Management review held on 13 July 2012, control of ISO 9001 documents / records			
Evaluation and conclusions:			
<ul style="list-style-type: none">• Seafarer certification applications and related activities were audited by 2 internal auditors from other port office on date as shown on notification issued by Lead Auditor. Two minor NC and two Observations (as recorded in 'Laporan Ketakakuran') were raised. All 'Laporan Ketakakuran' had been closed out. Internal audit records were maintained at local office• Minutes of management review was available in Malaysia Marine Department website (JALIN system). Director General Marine, Deputy Director General Marine, Regional Marine Department Director and Secretariats had attended above management review. The management review team had discussed all necessary agendas included LRQA audit findings. Management review team reported that Issuance of CoC within 14 working days achieved 85.12% for the periods Jan – Apr 2012 mainly due to interruption of SDPX system line. Noticed that there was no representative from IT Unit to address above matter (See CKF-02, 07/2012)• ISO 9001 documents consist of quality manual, main procedures and all supporting procedures were saved in Jabatan Laut Malaysia intranet (JALIN). Local port office is able to view ISO 9001 documentation. Local office has generated a hard copy of ISO 9001 document for reference only.• This port office use Sistem Dokumen Pelaut (SDPX) system for capturing seafarer certifications application. Since implementation of SDPX system, all applications are processed on line. Seafarer's particulars are stored in SDPX system and it is regularly backed up by the IT Unit at headquarters (Ibu Pejabat Laut).• Receipt books pertaining to seafarer certification activities received / processed by the local port office were satisfactorily maintained in this office.			



Assessment of:	Sg. Udang Port Office: Seamen Certification	Auditee(s):	Jesudas (Marine Asst) Ardi Rafizi (Marine Asst.) Julia (Marine Asst.)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">• Permohonan Dokumen Pelaut (PT-HEPP-05) and records related to Seamen Cards & seaman Document received from local seafarers: seaman card No: 201221002136, 201221001788; Foreign seafarer: seaman card no: 200823000054; Seaman book (Seaman No: 201221001788); Malaysia Seafarer Card, 'Buku rekod'; and related procedure Crew Agreement (Orkim Reliance, Agreement book no: 2100130) & Official Log book for M.T.. Nautical Pontian (Official No: 325618, renewal)• Change to List of Crews i.e. crews sign-on & sign off for M.T. Nur Qamarina (Ship official no: 334080,) and T.B. Alliance 77 (Ship official no: 329615, renewal); M.T. Orkim Merit (No: 6100583, crew sign on);• Reviewed application and issuance of certificate of competency (CoC): Mate domestic (seaman no: 201121001371); Watchkeeping Engine Officer (seaman no: 201041003752) and related procedure Pengeluaran Perakuan Kekompetenan (PT-HEPP-02)• Certificate of recognition (CoR) and related procedure Permohonan Perakuan Pengiktirafan (PT-HEPP-04) and sample of application: seaman card no: 201121001549 (Engineer Officer) and seaman card no: 201031004032 (Master)• Customer satisfaction feedback / customer complaint received for the periods 1 Jan 2012 onwards and related records: 'Analisa borang kepuasan pelanggan'			
Evaluation and conclusions:			



- There are 2 units of computer kiosk provided at this office. However, as there are not many applicants, only 1 kiosk is in used.
- Sungai Udang, Melaka Port Office has processed seafarer card and seafarer document for both local and foreign seafarers. All applications have been processed via SDPX system within 1 working day which has meet target set for quality objective.
- A unique reference number is assigned to each application by SDPX and verified prior to the acceptance. Malaysia Seafarer card in smart card design was issued to local seafarers when application found acceptable and in compliance with local procedure (PT) requirements.
- Reviewed the rest of seafarer certification services. Crew Agreement application is processed on line in SDPX system Crew agreement / contract could be printed from SDPX system. Official Log Book remain in printed copy. However, applicant's particulars have been captured in SDPX system. Crew sign on / sign off had been carried out successfully. The local office does not verify modular course attendance
- Customer kiosk is available at front counter. Application form is available in SDPX and applicant could access it and key in details as required under each type of application. Port office could help applicant to scan / convert supporting documents in hard copy into electronic copy in the event applicant does not own scanner.
- Local port office has processed application of certificate of competency (CoC) for Watchkeeping Rating (Deck and Engine). Application requirements as stated in check list in local procedure (PT) have been reviewed with the aids of SDPX. CoC were issued to applicants when ready for collection.
- Application of and certificate of recognition (CoR) for Officers had been processed according to Permohonan Perakuan Pengiktirafan (PT-HEPP-04). Necessary support documents are uploaded in SDPX system. found in order. **Noticed that CoC which was uploaded into SDPX is not able be retrieved at Port Dickson Port Office and Sungai Udang, Melaka Port Office. CoC for applicants of CoR is not accessible at the time of LRQA audit i.e. All 3 samples selected at Sungai Udang Port Office i.e. Seafarer No: 201121001549 (Engineer Officer), 201031004032 (Master), 201121001564 (Master), another sample from Port Dickson Port Office i.e. Seafarer No: 200923004676 (Master) (CKF-04, 07/2012)**
- Crew agreement and Official Log Book received by the Regional Port Office would be accumulated and returned to IPL upon completion. 'Borang Penyerahan' for previous submission were sighted.
- Customer satisfaction feedbacks obtained were reverted to Jabatan Laut Malaysia – Wilayah Tengah, Port Klang monthly. A total of 28 customer feedbacks were received since Jan – June 2012. Overall, customer satisfaction was rated from very satisfactorily to excellent.
- There was one customer complaint received to date with regards to no enough manpower. The local port office has recruited one Marine Asst (A17) in June 2012.

Note:

Perjanjian Anak Kapal (procedures: PT-HEPP-06) and Log Rasmi procedure (PT-HEPP-07) had been removed from QMS during transition to ISO 9001:2008



Day 03: Ibu Pejabat Laut (Headquarters)

Assessment of:	Ibu Pejabat Laut, Port Klang - Management System Elements	Auditee(s):	Yusnan (Marine Officer) Norhayati Ibrahim (Marine Officer)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">• Quality policy and objectives• Change to the QMS (if any) and related documents: 'Manual kualiti'; New Procedures (PT-ILPPPL-01 to PT-ILPPPL -05); 'Borang Cadangan Pindaan'• Organization chart; staff responsibility & authority;• Records of Internal audit held in Jan and May 2012: Audit Schedule, 'Status Audit Kualiti Dalam MS ISO 9001:2008 Bagi Tahun 2012'; 'Perlantikan sebagai Juruaudit Kualiti Dalam', 'Laporan Audit Kualiti Dalam'• Management review held on 13 July 2012 and minutes• Corrective action (Internal audit Findings (so called "Laporan Ketakakuran") issued to 'Unit Bantuan Pelayaran Proses Pemaliman on 12 Apr 2011; CAR No: 1 /2, 2/2; Pasi Gudang Port Office on 20 April 2011: CAR No: 04/11/MSAR/1, 04/11/MSAR/2 and 04/11/MSAR/3; Kuching Port Office – Ship Registration on 24 Mar 2011 CAR No: 24/03/11/FLRA01 to 24/03/11/FLRA06); customer complaint• Preventive action• Data analysis & continual improvement records: "Laporan Pencapaian Objective Kualiti"• Customer satisfaction for Aids to navigation, "Hal Ehwal Pelaut & Pelabuhan (HEPP)", Ship registration; Hydrographic Unit (dredging), Internal Safety Management (ISM) and Ship Registration• Change to legislative issue			



Evaluation and conclusions:

- No further change to quality policy since previous audit. New quality objectives (3x) were set for Institut Latihan Pentadbiran Dan Pengurusanm Pengangkutan Laut (ILPPPL) Jabatan Laut Malaysia, Pulau Indah, Selangor, Malaysia in May 2012. Quality objectives performance for IPL and Regional Port Offices were monitored were recorded except Sg Udang Port Office
- Quality manual (Doc No: Nil) has been revised in May 2012. The document changes involves new quality objectives for ILPPPL, change of organization chart; change of this organization name from Jabatan Laut Semenanjung Malaysia to Jabatan Laut Malaysia and inclusion of conduct of training / course. Document changes had been approved by the Director General of Marine Department.
- Jabatan Laut Malaysia organization structure was changed effective from May 2012. Jabatan Laut Sarawak and Jabatan Laut Sabah renamed as Wilayah Sarawak and Wilayah Sabah. ILPPPL has been included into JLM organization chart.
- IQA plan 2012 has covers IPL (headquarters) and all Regional Port Offices. IQA as planned until May 2012 have been carried out based on ISO 9001:2008 standard. Impartially and independent of Internal Auditors were noted. Internal audit findings (so called "Laporan Ketakakuran") issued to each office / site were recorded and updated with Auditor's follow up comments. Internal audit records were satisfactorily maintained at IPL (headquarters).
- Top management and representative from IPL, Process Owners from IPL (Headquarters) and Director of Regional port offices had attended management review meeting. Director General of Marine Dept invited Process Owner from IPL to attend management review meeting as recorded in the management review meeting minutes dated 21 Apr 2011. Management review inputs were discussed and recorded in minutes.
- Corrective action process for Laporan Ketakakuran raised during IQA held from Nov 2011 onwards had been taken timely and closed out.
- There was no specific customer complaint reported except areas of concern as highlighted by customers in customer feedbacks.
- There was no preventive action identified since last visit.
- Data pertaining to quality objectives performance of individual Units were summarised monthly / quarterly. Data were analysed and presented in table format. **Jabatan Laut Malaysia yet to revise the target of ship registration < 7 working days, conduct COC examination twice yearly as highlighted by LRQA Assessor in surveillance SV3 (Ref: CKF-07, 06/2011). JLM should revise above quality objectives for continual improvement purpose. These quality objectives have been consistently achieved over last few years**
- Marine Department of Malaysia had progressively distributed out Customer satisfaction feedback / complaint forms to obtain feedback of its seamen certification (consists of seamen registration, crew sign on / sign off, on-line port clearance, CoC, CoR, CoC examination, modular course certificates issuance), ship registration, Issuance of DoC of ISM code, Aids to navigation system. Rating of customer feedback was 79.9%, 89.4%, 87.7% (feedback received 235, 34, 43, 56 respectively). Unsatisfactorily area as brought up by customer have been reported during management review.
- Attending Assessor has reviewed letterhead for IPL and various Regional Port Offices. Usage of LRQA / UKAS logo was found in order. New UKAS logo has yet to use. **Attending Assessor has informed the enforcement date for new UKAS logo is. Dec 2013 (CKF-06, 07/2012).**
- All statutory / regulatory which the organisation needs to comply such as Standard of Training, Certification and Watchkeeping of Seafarers 1995, Merchant Shipping Ordinance 1952, etc. had been identified and documented in quality manual.



Assessment of:	Theme 1: Improving processing time for certificate of competence (COC) and certificate of recognition (COR)	Auditee(s):	Adam Ronny (Marine Officer) Khairin (Marine Office)
Audit trails and sources of evidence:			
1a) Review of continual improvement activities for reduction of process time for COC and COR 1b) Review performance data for COC and COR: Quarterly performance for year 2011 and 2012; Issuance of CoR within 1 work day.			
Evaluation and conclusions:			
<ul style="list-style-type: none"> Generally, there is no change to procedure. HEPP ('Bahagian Hal Ehwal Pelaut Pelabuhan') Division has managed to shorten processing time for approval, printing and delivery of COC by improving the efficiency of the existing manpowers (6 persons). There was improvement of processing time for CoC from quarter to another quarter year. Process time of CoC < 14 work days for first 2 quarters was 78.16% compared with same duration of year 2011 (70%). Whilst for CoR, Ibu Pejabat Laut (Headquarters) has issued out Malaysia Shipping Notice (NPM 2/2012) and it was placed in website. It is clearly stated that Regional Port Office which receive the application shall process and issue a new CoR within 1 day from receipt. COR is processed at Regional Port Office instead of sending to IPL with effect from 1 Feb 2012. A significant improvement was sighted on reduction of processing time and issuance of CoR within 45 days. The first 2 quarter of year 2012 performance shown about 85% compared with 3rd & 4th quarter year 2011 (43.78%) It is noticed that the first 2 quarter of year 2012, CoR certificate issuance within 1 day has achieved 33.32%. HEPP is required to study the actual time taken for issuance of CoR as Malaysia Shipping Notice (NPM 2/2012) stated issuance of CoR within 1 day from receipt (CKF-07, 07/2012) 			



Assessment of:	Theme 2: Review, Preview, Planning	Auditee(s):	Norhayati Ibrahim (Marine Officer)
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Audit trails and sources of evidence:

- Review QMS performance over last 2 ½ year (documentation, Quality manual and procedures changes; issues reported; Document change notice)
- LRQA Audit findings (year 2010, 2011 and 2012)
- Customer feedbacks / complaint 2011 and 2012
- Business activity and current ISO 9001 approval scope
- Site visit
- Planning for upcoming certificate renewal

Evaluation and conclusions:

- There was no significant change to the approved activities except inclusion of provision of seafarer training programme into current QMS system. There were editorial change to the quality manual (clause 5.6) to include new process and 5 new procedures had been established. Sighted Document change notices. Document change approval found in order. There was no Hard copy distribution to relevant departments was sighted. Electronic data are backed up at defined interval and storage of backup devices (pen drive) are acceptable. The current QMS excludes 3 clauses of ISO 9001:2008 i.e. design and development (7.3), validation of production and service provision (7.5.2) and control of measuring & monitoring equipment (7.6). **Clause 7.6 is not allowed be excluded from the current QMS as hydrographic survey equipment are required calibration each time before use, also measuring equipment used at aids to navigational system such as multimeter for checking the solar and battery power (CKF-08, 07/2012)**
- **Necessary corrective actions have been taken on 'Laporan Ketakakuran' raised during internal audit. A total of 32 and 6 customer feedback / complaint / suggestion received in year 2011 and 2012. Necessary action had been taken on customer complaints / feedback obtained by Regional Port Office in year 2012 and recorded in the management review meeting July 2012. However, follow up on customer complaint / feedback for year 2011 were not updated / recorded. Noticed certain complaints / feedbacks reported by customers in year 2011 were not executed due to several reasons e.g. office space restriction, feedback not clear e.g. improve service efficiency, (CKF-09, 07/2012)**
- This organization has carried out activities in the current approval scope over last 2 ½ years. Record evidence Generally, there are no further change to the approved scope of activities
- JLS has decided to add training institute (ILPPPL) into current approval scope for ISO 9001 certification
- As such there is no change to products and activities as stated in current certificate. Generally, total employees are consistent since 2 years ago. Upcoming visit would be certificate renewal cum change to approval (CTA) visit. Total audit are 10 mandays.

Assessor:	Azhan Mashod (ID: 06728) guided by Ms. Norhayati Ibrahim (IPL)
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Assessment of:	Sandakan Port Office: <ul style="list-style-type: none">• Organisation & Management Responsibility• Business Activities	Auditee(s):	Abd. Rauf B. Bulkin (Pembantu Laut); Abd. Kamil B. Mail (Pembantu Laut)
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Audit trails and sources of evidence:

- Organisation chart, staff responsibilities and reporting, quality policy and objectives, business activities
- Relevant records: "Borang II – Pemantauan Objektif Kualiti Berpusat"

Evaluation and conclusions:

- The Sandakan Port Office is headed by Mr. Maurice Juliee Ansim (Marine Officer) and all together, there are 23 staff working in this branch. 3 staff involved in seafarer certification activities.
- Organisation chart of Sandakan Port Office is available and up-dated at the point of audit.
- Responsibility and authority for all staff are reflected in 'Senarai Tugas' from 'Fail Meja'
- The Quality Policy is displayed at front office and staff comprehension on Quality Objectives found to be evident.
- The port office consistently monitored performances related to quality objectives. Performance data are recorded and sent to the state office on monthly basis.
- Sandakan port office processes applications of seamen certification. This include receiving the applications, scrutinize the supporting / training documents, key-in the information into the system and issuance of Certificate of Competency (CoC) In average, there are about 5 application received per month.

Assessment of:	Sandakan Port Office: Internal Quality Audit Management Review ISO documents & records control	Auditee(s):	Abd. Rauf B. Bulkin (Pembantu Laut); Abd. Kamil B. Mail (Pembantu Laut)
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Audit trails and sources of evidence:

- Records of Internal audit carried out on 18-4-2012. "Pelan Audit Kualiti Dalam", "Laporan Audit Kualiti Dalam", "Laporan Ketakakuran", "Senarai Kehadiran",
- Management review meeting minute, dated 13-7-2012
- Control of ISO 9001 documents / records
- Kaunterfoil Sijil perakuan Pengiktirafan (COR), Kaunterfoil Buku Perkhidmatan Pelaut, Kaunterfoil Kad pelaut Tempatan & Kad Pelaut Kakitangan Kerajaan



Evaluation and conclusions:

- Seamen certification applications and related activities were audited by 2 internal auditors from Ibu Pejabat Laut (IPL) on 18-4-2012. No major / minor non conformity (NC) raised, except 3 Observations were encountered by the audit team. The Observations were timely closed out and corrective action taken found to be adequate to prevent the same issue from repeating.
- Minutes of management review is yet to be up-loaded into the website (JALIN). The review clearly discussed all significant elements as required by the standard. It was chaired by the Director General Marine and attendances include Deputy Director General Marine, Regional Marine Department Director and Secretariats. Achievements on quality objectives were scrutinized to identify room for improvements. **Follow-up meeting with ICT department should be arranged immediately to avoid repetitive issues from deterring the organization from meeting its target (MAY-01, 07/2012)**
- From the website (JALIN), it is clear that the ISO 9001 documentation consist of quality manual, compulsory / supporting procedures and forms. Uncontrolled copies of the document were also available for staff reference, and is monitored the revision by the Marine officer. **Exclusion on clause 7.6 from Quality Manual need further justifications as some equipment used in hydrographic surveys deem to be calibrated (MAY-02, 07/2012)**
- The port office is exercising 'Sistem Dokumen Pelaut (SDPX)' system to capture the seafarer certifications application. Upon physical application from the seamen, applications were processed (on- line) recommendations are made. The headquarters (Ibu Pejabat Laut) will send CoC / CoR to regional port office upon approval.
- For continual improvement, the organization is in progress of changing the system of processing CoR, from 90 working days of turn-around-time (TAT) to only 1 day. This can be done once the local port office is equipped with necessary equipments and device in producing the certificate..
- Receipt books pertaining to seafarer certification activities received / processed by the local port office were satisfactorily maintained in this office.

Assessment of:	Sandakan Port Office: Seamen Certification	Auditee(s):	Abd. Rauf B. Bulkin (Pembantu Laut); Abd. Kamil B. Mail (Pembantu Laut)
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Audit trails and sources of evidence:

- Procedure: Permohonan Dokumen Pelaut (PT-HEPP-05), Pengeluaran Perakuan Kekompetenan (PT-HEPP-02), Permohonan Perakuan Pengiktirafan (PT-HEPP-04)
- Records related to Seamen Cards / Document received from local seafarers: seaman card No: 201283004708; Malaysia Seafarer Card
- Reviewed and verified application of Certificate of Competency (CoC): dated 13-7-2012
- Certificate of Recognition (CoR), application dated 26-6-2012 from a Myanmar seaman
- Customer satisfaction feedback / customer complaint received from 2011.
- Other records: 'Rekod Penyerahan & Pemakluman Bertulis & COR

**Evaluation and conclusions:**

- Sandakan port office processed applications for seafarer card / document for local, government and foreigner's seafarer. All applications have been processed via SDPX system within 1 working day which has meet target set for quality objective.
- A unique reference number is assigned to each application by SDPX and verified prior to the acceptance. Malaysia Seafarer card is issued to local seafarers when application found acceptable and in compliance with in-house requirements. Among others, based on grades, the seamen need to prove (via training certificates) the competencies on fire fighting skill, survival crafts, first aider and shipboard management.
- Self-Application via SDPX is 'user friendly' and the officers are willing to help out the applicants in processing the applications.
- Customer satisfaction feedbacks were compiled and analysed monthly. Overall, customer satisfactions were rated as satisfactory. There is no customer complaint reported to date

Assessment of:	Kota Kinabalu Port Office / Head Office: <ul style="list-style-type: none"> • Organisation & Management Responsibility • Business Activities 	Auditee(s):	Azrul Izwan, Hairul Anwar (Pen. Peg.laut), Amir, Shahrudin, (Pembantu Laut)
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Audit trails and sources of evidence:

- Organisation chart, staff responsibilities and reporting, quality policy and objectives, business activities
- Relevant records: "Borang II – Pemantauan Objektif Kualiti Berpusat"

Evaluation and conclusions:

- The Kota Kinabalu Port Office is headed by Mr. Fazaly bin Hj. Latip (Marine Officer). 4 staff are directly involved in seafarer certification activities.
- Organisation chart of Kota Kinabalu Port Office and Regional Office are available and up-dated at the point of audit.
- Staff responsibility and authority is clearly reflected in 'Senarai Tugas' in 'Fail Meja' which issued for each individual. 'Fail Meja' for Mr. Suharuddin Ibrahim, Pembantu Laut was sampled and found to be up-dated as of 2-7-2012.
- Sound comprehension on Quality Policy and Quality Objectives noted from short interview conducted to the front-desk staff.
- The port office consistently monitored performances related to quality objectives. Performance data are recorded and sent to the state office on monthly basis.
- Kota Kinabalu port office processes applications of seafarers' certifications and registrations. Processes were sampled and found the practice are as per stated in the procedure.



Assessment of:	Kota Kinabalu Port Office / Head Office: Internal Quality Audit Management Review ISO documents & records control	Auditee(s):	Azrul Izwan, Hairul Anwar (Pen. Peg.laut), Amir, Shahrudin, (Pembantu Laut)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">Records of Internal audit carried out on 21 & 22 Dec. 2011. "Status Audit Kualiti Dalamam 2012", "Laporan Audit Kualiti Dalamam", "Laporan Ketakakuran", "Rekod Kehadiran",Management review meeting minute, dated 13-7-2012Control of ISO 9001 documents / records			
Evaluation and conclusions:			
<ul style="list-style-type: none">Seamen certification applications and related activities were audited by 2 internal auditors from other port offices. Result, 1 Observation raised on inadequate training of SDPX system for 3 new staff. The observation was however closed by the auditor without adequately supported by evidences, like training attendance records or interview to the respective staff. (MAY-03, 07/2012).Planning of Internal Audits need improvement as some areas / departments will only be audited after the Management Review meeting (MAY-04, 07/2012).Minutes of management review is yet to be up-loaded into the website (JALIN). The review clearly discussed all significant elements as required by the standard. It was chaired by the Director General Marine and attendance include Deputy Director General Marine, Regional Marine Department Director and Secretariats. Achievements on quality objectives were scrutinized to identify room for improvements.ISO 9001 documents consist of quality manual, main procedures and all supporting procedures were saved in JALIN. Local port office is able to view ISO 9001 documentation. Local office has generated a hard copy of ISO 9001 document for reference only.			



Assessment of:	Kota Kinabalu Port Office: Seamen Certification	Auditee(s):	Azrul Izwan, Hairul Anwar (Pen. Peg.laut), Amir, Shahrudin, (Pembantu Laut)
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Audit trails and sources of evidence:

- Procedure: Permohonan Dokumen Pelaut (PT-HEPP-05), Pengeluaran Perakuan Kekompetenan (PT-HEPP-02), Permohonan Perakuan Pengiktirafan (PT-HEPP-04)
- Reviewed and verified application of Certificate of Competency (CoC): Ref.: CC10671 dated 16-7-2012 for seaman number – 200981000243.
- Renewal of CoC: Seaman number - 201081003869, 201081003842 and 201061004362
- Certificate of Recognition (CoR), application dated 26-6-2012 for seafarer 200981000239 (Indonesian seaman)
- Customer satisfaction feedback / customer complaint received from 2011.
- Buku Log Rasmi – MV Jenwin II
- 'Spot-check' records on training provider – Pelita Akademi and Pusat Latihan Pelaut Dagang, on 9-7-2012 ~ 13-7-2012 on 'Basic Safety Training' and 'Advance Fire Fighting'

Evaluation and conclusions:

- Kota Kinabalu port office processed applications for seafarer card / document for local, government and foreigner's seafarer. All applications were sighted as been processed within 1 working day via SDPX system.
- Malaysia Seafarer card is issued to local seafarers when application found to be acceptable and comply to the requirements. Checklist is used to detect any missing information / documentation while processing.
- Customer satisfaction feedbacks were compiled and analysed monthly. Overall, customer satisfactions were rated as satisfactorily. There is no customer complaint reported to date.
- The organization performed spot-check on training facilities to ensure training modules meet the in-house requirements. The spot-check reports were submitted to the state director for perusal and actions, when required.



Assessment of:	Kota Kinabalu Head Office: Ship Registration	Auditee(s):	Marvin Chin (Pen. Peg. Laut)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">PT-BKI-01 Prosedur Tunjang Bagi Urusan Permohonan Nama KapalApplication for naming a vessel from Coastal Offshore (Labuan) Pte. Ltd., dated 2-7-2012, Forms: DK/BKI/02 Lantikan / pembatalan pegawai yang dibenar, M270/BKI/04 permohonan nama kapalPT-BKI-02 Prosedur Tunjang Bagi Urusan Pendaftaran KapalApplication to register a ship from Fordeco Sdn. Bhd., dated 7-2-2012, Forms: DK/BKI/03 Lantikan / pembatalan / pertukaran pengurus kapal, Builder Certificate, Photo, American Bureau of Shipping recognition, M240/BKI/02 Declaration of ownership and nationalityPT-BKI-05 Prosedur Tunjang Bagi Urusan Pindaan Maklumat Pendaftaran KapalApplication to change the name and transfer of ownership from Focal Evergreen, on 22-5-2012. Bill of Sale, on-line Sistem Pendaftaran KapalCustomer Satisfaction and Complaints – from Ocean Up Sdn. Bhd., Arena Majukaya Sdn. Bhd.			
Evaluation and conclusions:			
<ul style="list-style-type: none">Process of application for naming a vessel is sighted against the procedure and found to be in order. The vessel is named as Ocean Brave 28555 and 'Sijil Kebenaran Menggunakan Nama Kapal' was issued on 11-7-2012.Application to register a ship was approved upon the entire relevant / supporting document checked and confirmed on the status. Certificate of Malaysian Registry (ref. 332673) was issued on 20-2-2012The above application on change of ownership and name was processed via Sistem pendaftaran Kapal. Final approval was granted on 13-6-2012 and certificate is amended (name from Ever Smooth to Sea Smooth and ownership from Pengangkutan Kekal Sdn. Bhd. to Focal Evergreen)All 26 feedbacks from the customers remarked 'Good' and 'Excellent' for the service that provided from this section.			

Assessment of:	Wilayah Tengah Regional Office: Ship Registration	Auditee(s):	Mr. Adam (Marine Officer) Mr. Nazri
Audit trails and sources of evidence:			
<ul style="list-style-type: none">PT-BKI-01 Prosedur Tunjang Bagi Urusan Permohonan Nama KapalApplication for naming a vessel from Syaaban Atlantic Marine Resources., dated 23-5-2012,PT-BKI-03 Gadaian Kapal dan Pengeluaran Surat 'Free of Encumbrances'Application from Omni Stella (L) Inc. via the advocate – Ariff & Co dated 19-6-2012, Mortgage – signed off by the registrar of Malaysian Ships, Form Marine 257 – copy of transactions subsequent to registry. Permohonan Sijil Deletion untuk kapal bunga MAs II, dated 2-7-2012 from MISC. Reason – selling off the vessel. Deletion Certificate issued on 6-7-2012 with closure reasons – in consequence to sale of vessel to foreign owners.Application to register a ship from Nam Cheong International Ltd., dated 6-6-2012, Certificate of Survey was then issued on 4-6-2012PT-BKI-05 Prosedur Tunjang Bagi Urusan Pindaan Maklumat Pendaftaran KapalApplication to change the name and tonnage from Intra Oil Services, on 23-11-2011. Certificate of Malaysian Registry, amended on 20-02-2011, to reflect new name – Perdana Enterprise and new gross tonnage.			
Evaluation and conclusions:			
<ul style="list-style-type: none">Processes of application for naming a vessel, ship registration, mortgage and issuance of 'Free of Encumbrances' letter, port transfer registration and change of details in ship registration, are found to be in-order.			



Assessment of:	Wilayah Tengah Regional Office: Hydrography Survey / Management of Dredging Works	Auditee(s):	Mr. Rosli, Mr. Nazam (Marine Officer)
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Audit trails and sources of evidence:

- 2012 Planning for Hydrography Survey, for Kuala Sungai Langat and Kuala Sungai Batu Pahat (4 years plan)
- Bathymetric survey for beacon Neville Rock at Kota Tinggi, Memo – Penggunaan peralatan hidrografi, activity checklist, Planning – Mobilization, Survey, Tidal Analysis, evacuate.
- In-situ calibration record for echo Sound and tide gage
- Monitoring of dredging works at Setiawan river, Progress reports dated 19-7-2012, Contractor appointment – MMDC Sdn. Bhd.
- Final Report for Post Dredging, Sg. Udang Melaka, report No.: MW/SUR/JLSM/01, As-built drawing – no: MKA/POST/11-01

Evaluation and conclusions:

- Planning for Hydrography survey in 2012 was established. It was also noted, some ad-hoc projects requires the organization to shift the planned activities. Mr. Rosli is able to explain the steps in performing Hydrography Survey. In-situ calibration was normally made before and after the process, where the difference will be analyzed to define accuracy. The output of this process is in the form of survey drawing.
- The organization was appointed as Supervisory Officers for dredging at Setiawan Project. The HQ is responsible to advise the North regional office on technical matters. HQ is also monitoring the progress and day-to-day monitoring of dumping activities via closed circuit system.
- Final / Joint Inspection was attended by interested parties like IHO Surveyors, consultants and client. Issues were reconciled and as-built drawings developed. Final Inspection process is observed and found to be in-order.

Assessment of:	Wilayah Tengah Regional Office: Ship Registration	Auditee(s):	Mr. Azwari, Mr. Faiz (Marine Officer)
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Audit trails and sources of evidence:

- Laporan Pencapaian Objektif Kualiti Jabatan (Proses Pendaftaran Kapal) June 2012.
- Borang Maklumbalas & Aduan Pelanggan (BKI)
- Sistem pendaftaran Kapal for Saga Tuah application
- Carving and marking inspection survey checklist, dated 1-2-2012, for Armada Tuah 301.
- Certificate of Survey for Armada

Evaluation and conclusions:

- Quality Objectives are continuously monitored by the unit. All 6 customer feedbacks received in the year 2012 shows satisfactions from the customer side.
- Request for ship registration came from the regional office. The Head office officers demonstrated how the request is processed via Sistem Pendaftaran Kapal, until issuance and approval of Certificate of Survey.
- Follow-up activity – inspection on marking was successfully done for Armada Tuah vessel and records shows the officer has observed and accepted the whole process.



3. Assessment findings log - ISO 9001:2008

Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
Minor NC	Closed	<ul style="list-style-type: none"> Sibu Port Office has yet to obtain customer feedback from 2 local training institutes who conduct modular courses i.e. Pelita Maslaut Sdn. Bhd. and Sastra Maritime Academy Sdn. Bhd. ISO 9001 clause 8.2.1. stated the organization (here refers Sibu Port Office) shall determine customer perception on the product / service. As informed, Sibu Port Office conduct unannounced visit to verify participant attendance, course facilitator's qualification, course syllabus, etc. It is essential for Port Office to find out whether customer satisfy with the current way of verification and to area for improvement. 	<p>Review Corrective Action on 23 June 2012:</p> <ul style="list-style-type: none"> Both training institutes has returned customer satisfaction survey form in March 2012. Most of areas are rated from good to very good 	Customer satisfaction	23 Jun 11	1106CKF01	8.2.1

1. Grading of the finding *	2. New, Open, Closed	3. Description of the LRQA finding	4. Review by LRQA	5. Process, aspect, department or theme
6. Date of the finding	7. YYMM<Initials>seq.#	8. Clause of the applicable standard		
* Major NC = Major nonconformity	Minor NC = Minor nonconformity	RC = Requires correction	SFI = Scope for improvement	xLRQA = Issue for follow-up by LRQA at next visit



Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
Minor NC	Closed	<p>Corrective action process for some of non conformity ('Laporan Ketakakuran') was not carried out timely e.g. 'Unit Bantuan Pelayaran Proses Pemaliman on 12 Apr 2011; CAR No: 1 /2, 2/2; Pasi Gudang Port Office on 20 April 2011: CAR No: 04/11/MSAR/1, 04/11/MSAR/2 and 04/11/MSAR/3; Kuching Port Office – Ship Registration on 24 Mar 2011 CAR No: 24/03/11/FLRA01 to 24/03/11/FLRA06). Investigation of root cause and corrective action process for CAR ('Laporan Ketakakuran') shall be carried out without undue delay (See ISO 9001 clause 8.2.2 for details). It is clearly stated in the 'Perlantikan sebagai Juruaudit Kualiti Dalaman' sent out to Internal Auditor on 4 March 2011 and 29 April 2011 that 'Laporan Ketakakuran' shall be closed out within 2 weeks from audit date. In view of similar non conformity has been highlighted in previous assessment, Jabatan Laut Semenanjung Malaysia is advised to review this LRQA finding and to initiate more effective action to ensure all corrective actions are taken without undue delay. 'Laporan Ketakakuran' shall be closed out within timeframe given.</p>	<p>Review Corrective Action on 23 June 2012: Corrective actions (CA) had been initiated. CA processes for 'Laporan Ketakakuran' raised during IQA held in Nov 2011 and Feb 2012 were found undue delay. Sighted 'Perlantikan sebagai Juruaudit Kualiti Dalaman' sent out to Internal Auditor on 26 March 2012 and it is found in order</p>	Corrective action (Laporan Ketakakuran)	24 Jun 11	1106CKF02	8.2.2, 8.5.2

1. Grading of the finding *	2. New, Open, Closed	3. Description of the LRQA finding	4. Review by LRQA	5. Process, aspect, department or theme
6. Date of the finding	7. YMM<Initials>seq.#	8. Clause of the applicable standard		
* Major NC = Major nonconformity	Minor NC = Minor nonconformity	RC = Requires correction	SFI = Scope for improvement	xLRQA = Issue for follow-up by LRQA at next visit



Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
Minor NC	New	Sg. Udang, Melaka Port Office has stopped tracking / monitoring the actual performance of related quality objectives. 'Borang II - Pemantauan Objektif Kualiti Berpusat' provided by IPL, Port Klang was not maintained since Aug 2009. Local Port Office suppose to extract the actual performance of each quality objective from SPDX system and submit 'Borang II - Pemantauan Objektif Kualiti Berpusat' to Pejabat Laut Malaysia – Wilayah Tengah, Port Klang monthly.		Quality objective performance Sg Udang Port Office	24 Jul 12	1207CKF01	5.4.1
Minor NC	New	Sg. Udang Port Office has stopped verifying modular course participant's attendance as required under procedure 'Pengeluaran sijil kursus modular (Doc No: PT-HEPP-09)' clause 6.1.3 since Jabatan Laut Malaysia authorised Malaysian Maritime Academy Sdn. Bhd. (ALAM) to print modular course certificate via intranet. The last 'Borang pemeriksaan senarai peserta kursus' dated 18 Oct 2010 (Oil tanker training) was sighted in the file.		Modular course attendance- Sg Udang Port Office	24 Jul 12	1207CKF02	8.2.3

1. Grading of the finding *	2. New, Open, Closed	3. Description of the LRQA finding	4. Review by LRQA	5. Process, aspect, department or theme
6. Date of the finding	7. YYMM<Initials>seq.#	8. Clause of the applicable standard		
* Major NC = Major nonconformity	Minor NC = Minor nonconformity	RC = Requires correction	SFI = Scope for improvement	xLRQA = Issue for follow-up by LRQA at next visit



4. Closed Findings - ISO 9001:2008

Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
Minor NC	Closed	Noticed that eight of internal auditors who involved in internal audit held in Aug and Sept 09 yet to attend awareness course of ISO 9001:2008. All internal auditors shall attend ISO 9001:2008 course in order that they are aware of changes as introduced in new standard hence to determine compliance of current QMS towards ISO 9001:2008 requirements.	Deputy QMR will arrange another round of Transition Course for affected Internal Auditors in one month time Reviewed on 28 April 2010: The rest of Internal Auditors have attended awareness course on 26 Jan 2010 and certificate of attendance are sighted.	Internal auditor (All)	30 Sep 09	0909CKF02	8.2.2
Minor NC	Closed	LRQA / UKAS logos are printed on Seafarer Identity Document for Foreigner (Seafarer No: 200953000081, 200823004340, etc.), Written Acknowledgement of Application for Cert of Recognition (CoR), Provisional Approval and Full Approval Certificate to Maritime Training Institute and Modular Course certificate. Assessor has found out LRQA / UKAS logo was only included into above certificates since implementation of ISO 9001:2008 standard. As stated in Usage of logo / mark guideline issued out to certified organizations, LRQA / UKAS logo is not allowed to be shown on product, product packaging and certificate issued to customer of certified organization.	IPL (HEPP) will notify all port offices regarding prohibition of LRQA / UKAS logo on certificate issued to applicant with immediate effect Reviewed on 28 April 2010: Director of Seaman Affair & Port Division has issued out Notification letter regarding incorrect usage of LRQA & UKAS logo on 13 Oct 2009. Sample of certificate have evidenced LRQA & UKAS logo have been removed.	Usage of LRQA / UKAS logo (All)	30 Sep 09	0909CKF03	Guideline of LRQA

1. Grading of the finding *	2. New, Open, Closed	3. Description of the LRQA finding	4. Review by LRQA	5. Process, aspect, department or theme
6. Date of the finding	7. YYMM<Initials>seq.#	8. Clause of the applicable standard		
* Major NC = Major nonconformity		Minor NC = Minor nonconformity		



Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
Minor NC	Closed	<p>For the CoC (200923000514) issued to Mohammad Afiq Firis, it was found that the item “sea time as Engine Cadet (6 months) with approved Diploma in Marine Engineering” in the Checklist “Senarai Semak Permohonan Kekompetenan Bahagian Injin” was not ticked as required by the personnel, Nor Azwana bt. Mohd Noor, who processed the application for the CoC. Also, the copy of the transcript was incomplete (without the results for semester 3 and 4 out of the 6 semesters).</p> <p>For the CoC (200923005728) issued to Zainal Desa b, Samad, it was found that the item “sea time (36 months) as Mate of less than 500 GT Domestic Trade Voyages” in the Checklist “Senarai Semak Permohonan Kekompetenan Bahagian Dek” was not ticked as required by the personnel, Farahawa bt. Mahat, who processed the application for the CoC.</p>	<p>To issue memo to remind all process owner to complete check list and to ensure all support documents for application are complete. Target: one week time</p> <p><u>Reviewed on 28 April 2010:</u> Director of Seaman Affair & Port Division has issued out Notification letter regarding incorrect LRQA audit finding on 13 Oct 2009 to all Director of Regional Port Office.</p>	Monitoring and measurement of processes	01 Oct 09	0910OCL01	8.2.3
Minor NC	Closed	<p>Borang Penyerahan (JL/HEPP/B/15) as required by procedure PT-HEPP-05 Revision 0, clause 6.1.10, PT-HEPP-02 Revision 0, clause 8, PT-HEPP-08 Revision 0, clause 8 upon completion of seaman document, certificate of competency (CoC) and certificate of recognition (CoR) application was not implemented and send to IPL (HEPP). Based on SDPX software system, Regional port office may not require to fill up and return Borang Penyerahan (JL/HEPP/B/15) together with support documents to IPL (HEPP) as application is done online and scanned support documents are attached with SDPX.</p>	<p><u>Process Owner from IPL (HEPP) review current HEPP procedure latest by 31 Oct 09. Will inform Regional Port Office to put up a notice about interruption to some applications caused by SDPX system.</u></p> <p><u>Reviewed on 28 April 2010:</u> Notice is not longer required as all the ISO 9001 certified Port Offices are accessible to SDPX system</p>	Application of Seaman Doc, CoC, CoR (Wilayah Selatan)	29 Sep 09	0909CKF01	4.2.4

1. Grading of the finding *	2. New, Open, Closed	3. Description of the LRQA finding	4. Review by LRQA	5. Process, aspect, department or theme
6. Date of the finding	7. YYMM<Initials>seq.#	8. Clause of the applicable standard		
* Major NC = Major nonconformity		Minor NC = Minor nonconformity		



Minor NC	Closed	Audit schedule of marine training centres sighted - letter in file (1) dlm IPL 2418-s Jld 1(AUDIT PUSAT LATIHAN MARIN). However, it was found that a majority of the scheduled audits were not conducted with some centres without being audited for more than a year.	Revised current Audit Plan end of Oct 2009. Carry out overdue audits targeted completion end of this year 2009. Reviewed on 28 April 2010: CONSIST, PUO and Innatech audit is scheduled in May 2010 whilst PLPD audit is in progress during LRQA audit. :LRQA auditor will follow up in next audit. Reviewed CA in Oct 2010: Necessary action has been taken and it addressed LRQA audit finding	Monitoring and measurement of processes	01 Oct 09	0910OCL02	8.2.3
Minor NC	Closed	<ul style="list-style-type: none"> Applicant / Agent has keyed in his details into SDPX system via kiosk available at front desk or personal computer. As such, hard copy of Seafarer Registration Form was not longer submitted by applicant. Support documents were scanned in pdf format and and uploaded into SDPX system. Borang Penyerahan and support documents are not returned to HEPP of IPL, Port Klang. Current practices are not shown in Permohonan Dokumen Pelaut (PT-HEPP-05 Revision 00). Borang Penyerahan JL/HEPP/B/15 as stated in Pengeluaran Perakuan Kekompetenan (PT-HEPP-02), clause 8.4 was not maintained since implementation of SDPX Eastern Region Kuala Terengganu Head Office is using e- receipt (KEW.38E) which is different from normal receipt (Kew.38) as stated in (PT-HEPP-05 Revision 00), clause 6.1.4. 	<p>Corrective action plan: Revised affected PT procedures and implement in Aug 2010</p> <p>Reviewed CA in Oct 2010: Necessary action has been taken and it addressed LRQA audit finding</p>	Seaman document	26 Apr 10	1004CKF01	7.1, 4.2.3

1. Grading of the finding *	2. New, Open, Closed	3. Description of the LRQA finding	4. Review by LRQA	5. Process, aspect, department or theme
6. Date of the finding	7. YYMM<Initials>seq.#	8. Clause of the applicable standard		
* Major NC = Major nonconformity		Minor NC = Minor nonconformity		



5. Assessment schedule

Visit type >	SV 1	SV 2	SV 3	SV 4	SV 5		Cert. renewal + Change to Approval (CTA)
Due date >	Apr 10	Oct 10	Apr 11	Oct 11	Apr 12		Oct 12
Start date >	26-28 Apr 2010	13-15 Dec 2010	22-24 June 2011	23/7/12 24/7/12	25/7/12 25/7/12		TBC
End date >							
Assessor days >	3	3	3	3	3		10
Process / aspect							
Final selection will be determined after review of management elements and actual performance							
Seamen Certification (Head Office)		√		√			√
Navigational Aids System (Head Office)							√
Ship Registration (Head Office)					√		
Issuance of DoC of ISM Code (H/O)		√					√
Conduct of Hydrographic Survey (H/O)	√				√		
Mgmt. of Dredging Work (H/O)					√		
Purchasing (H/O)							√
Stores (H/O)							√
UTMKE / ICT (H/O)	√						√
Human Resource Management (H/O)							√
Infrastructure & Work Environment (H/O)							√
Doc. & Records Control & Bilik File (H/O)							√
Ship Registration (JL Wilayah Tengah – H/O and Port Klang)							
Seamen Certification (JL Wilayah Tengah – Port Klang)							
Seamen Certification (JL Wilayah Tengah - Sg. Udang, Melaka)				√			
Seamen Certification (JL Wilayah Tengah - Port Dickson)				√			
Seamen Certification (Wilayah Selatan- Tg Pelepas)							√
Seamen Certification (Wilayah Selatan- Pasir Gudang)							√
Seamen Certification (Wilayah Selatan- Johor Bahru)							√
Seamen Certification (JL Wilayah Utara- Pej Laut Pulau Pinang)							√
Ship Registration (JL Wilayah Utara – Ibu Pejabat) - Gelugor							√
Seamen Certification (JL Wilayah Utara – Kuala Perlis)		√					
Seamen Certification (JL Wilayah Utara – Kuah)		√					



Visit type >	SV 1	SV 2	SV 3	SV 4	SV 5		Cert. renewal + Change to Approval (CTA)
Due date >	Apr 10	Oct 10	Apr 11	Oct 11	Apr 12		Oct 12
Start date >	26-28 Apr 2010	13-15 Dec 2010	22-24 June 2011	23/7/12 24/7/12	25/7/12 25/7/12		TBC
End date >							
Assessor days >	3	3	3	3	3		10
Process / aspect <i>Final selection will be determined after review of management elements and actual performance</i>							
Seamen Certification (JL Wilayah Utara – Lumut)							√
Seamen Certification (Wilayah Timur – Ibu Pejabat)	√						
Seamen Certification (Wilayah Timur – Kuantan)	√						
Seamen Certification (Wilayah Timur – Kemaman)	√						
Ship Registration (JL Wilayah Sarawak – Ibu Pejabat)							√
Seamen Certification (JL W. Sarawak – Muara Tebas)							√
Seamen Certification (JL W. Sarawak – Sibu)			√				
Seamen Certification (JL W. Sarawak – Sarikei)			√				
Seamen Certification (JL W. Sarawak – Tg. Kidurong, Bintulu)							
Seamen Certification (JL W. Sarawak – Kuala Baram, Miri)							
Seamen Certification & Ship Registration (JL W. Sabah -Ibu Pejabat)				√			
Seamen Certification (JL W. Sabah - Sandakan)				√			
Seamen Certification (JL W. Sabah - Tawau)							
JL Wilayah Persekutuan Labuan & Laut China Selatan							√

Next visit details

Visit type	Certificate renewal 4 + Change to Approval (CTA)				
Assessor days	10	Due date	Oct 12	Actual start / end dates	
Locations	Port Klang, Selangor, Malaysia + Other Sites (See Above)				
Activity codes	6322, 8040				
Team	To be assigned				
Criteria	ISO 9001:2008				
Remarks and instructions					
Note: Opening meetings will be at 09:30, and closing meetings at 16:00, unless agreed otherwise.					



6. Visit theme selection

Visit type: Surveillance SV 4 cum Cert renewal planning 4	
Due date (yy-mm):	Location: Port Dickson → Sg Udang, Melaka → IPL, Port Klang
Actual date: 23-25 July 2012	Team: Ir. Chong (Team Leader) & Azhan
Duration: 6 mandays	
Selected theme(s) (include reasons for theme selection)	Processes
<p>1. Improving processing time for certificate of competence (COC) and certificate of recognition (COR)</p> <p>2. Review, preview and planning</p> <p><u>Reasons:</u></p> <p>Top management which to go for continual improvement for both processes i.e.:</p> <p>a) COC : <30 days to <14 days</p> <p>b) COR: <90 days to <45 days</p> <p>Note:</p> <p>Theme is applied to IPL (headquarters) and Wilayah Tengah (Port Klang) only.</p>	<p><u>Ir. Chong (Team Leader)</u></p> <p><u>Port Dickson Port Offices (Day 1) & Wilayah Tengah – Sungai Udang, Melaka (Day 2)</u></p> <p>Seamen certification</p> <p><u>Essential Indicators (Day 3)</u></p> <p>Organization chart, Staff responsibility & authority</p> <p>Management review</p> <p>Corrective action included customer complaint</p> <p>Preventive action</p> <p>Data analysis & continual improvement</p> <p>Customer satisfaction feedback</p> <p>Usage of LRQA / UKAS mark</p> <p><u>Areas Related to Theme (Day 3)</u></p> <p>1a) Review of continual improvement activities for reduction of process time for COC and COR</p> <p>1b) Review performance data for COC and COR.</p> <p>2a) Review QMS performance over last 2 ½ year</p> <p>2b) Preview compliance of QMS documentation, customer complaint / feedback; IQA results</p> <p>2c) Plan for next certification renewal</p> <p><u>Mashod Azhan</u></p> <p>Day 1: Seamen Certification (JL Sabah -Sandakan)</p> <p>Day 2: Seamen Certification & Ship Registration (JL Sabah -Ibu Pejabat)</p> <p>Day 3: Wilayah Tengah (Port Klang)</p> <ul style="list-style-type: none"> - Ship Registration (Head Office) - Conduct of Hydrographic Survey (H/O) - Mgmt. of Dredging Work (H/O)



7. Assessment plan

Assessment type Re-certification cum Change to approval	Assessment criteria ISO 9001:2008	
Assessment team Ir. Chong Kam Fook (Team Leader) & <Team Member 1) & Mohd Ramli	Assessment dates	Issue date 25 July 2012

Assessment Scope:

Provision of Seamen Certification and Ship Registration. Operations of Navigational Aids System. Issuance of Document of Compliance (DoC) of ISM Code. Conduct of Hydrographic Survey. Management of Dredging Works. [Provision of seafarer training / course](#). (Details of other sites are given CIF (Multisite) (Total 26 sites inclusive headquarters)

(Day 1)

10:00 Introductory meeting with management to explain the scope of the visit, assessment methodology, method of reporting and to discuss the company's organisation (approximately 30 minutes). The Team Leader will agree a time to meet with top management to discuss policy and objectives for the management system.

LRQA team briefing for a team of two or more assessors or (experts).

Ir. Chong Kam Fook (Team Leader)		<Team Member)	
Guide:	Pejabat Laut Pasir Gudang:	11:00	Pejabat Laut Wilayah Sarawak – Ibu Pej laut Kuching
	<ul style="list-style-type: none"> Seamen certification 	Guide:	<ul style="list-style-type: none"> Ship registration
1:00	Lunch.	1:00	Lunch.
2:00	Jabatan Laut Wilayah Selatan: Johor Bahru:	2:00	Pejabat Laut Muara Tebas
	<ul style="list-style-type: none"> seamen certification 		<ul style="list-style-type: none"> Seamen Certification
	Report writing.		Report writing.
5:00	Close.		Close.

(Day 2)

9:00	Review of findings from previous day. Review of the assessment plan for the day.		
Guide:	Pejabat Laut PTP:	9:00	Jabatan Laut Wilayah Persekutuan Labuan & South China Sea:
	<ul style="list-style-type: none"> Seamen certification 	Guide:	<ul style="list-style-type: none"> Seamen Certification
1:00	Lunch		Lunch
2:00			<ul style="list-style-type: none">
	Report writing.		Report writing.
5:00	Close		Close



(Day 3)

9:00	Review of findings from previous day. Review of the assessment plan for the day.	
Guide:	Pej Laut Malaysia : Ibu Pejabat Laut:	9:00 Jabatan Laut Wilayah Utara –Pej Laut P.Pinang (Gelugor):
	Issuance of Document of Compliance (DoC) of ISM Code – Office + Site Visit	Guide: <ul style="list-style-type: none">• Seamen Certification
1:00	Lunch	Lunch
2:00	- Continue -	Jabatan Laut Wilayah Utara – Ibu Pejabat Laut P.Pinang: <ul style="list-style-type: none">• Ship Registration
	Report writing.	Report writing.
5:00	Close	Close



(Day 4)

9:00	Review of findings from previous day. Review of the assessment plan for the day.			
Guide:	Ibu Pejabat Laut Semenanjung Malaysia, Port Klang	9:30	Jabatan Laut Wilayah Utara - Lumut:	
	<ul style="list-style-type: none"> Review outstanding LRQA findings Organisation / management responsibility Internal audit Management review Corrective action Preventive action Data analysis & continual improvement Review QMS documents changes (Change To Approval) 	Guide:	<ul style="list-style-type: none"> Seamen Certification 	
1:00	Lunch		Lunch	
	Ibu Pejabat Laut Semenanjung Malaysia, Port Klang		Ibu Pejabat Laut Semenanjung Malaysia, Port Klang	
	<ul style="list-style-type: none"> Usage of Logos Customer satisfaction Document & records control & Bilik File ICT and work environment 		<ul style="list-style-type: none"> Human resource management Infrastructure (MIS) & work environment 	
	Report writing.		Report writing.	
5:00	Close		Close	

(Day 5)

9:00	Review of findings from previous day. Review of the assessment plan for the day.			
	Discussion of all outstanding issues from previous visits.		<Mohd Ramli>	
Guide:	Ibu Pejabat Laut Semenanjung Malaysia, Port Klang	Guide:	Institut Latihan Pentadbiran Dan Pengurusanm Pengangkutan Laut (ILPPPL)	
	<ul style="list-style-type: none"> Aids to navigation system Store 		<ul style="list-style-type: none"> Provision of seafarer training programme 	
			Planning, conduct of training, training evaluation, Issuance of certificate	
1:00	Lunch		Lunch	



2:00	Ibu Pejabat Laut Semenanjung Malaysia, Port Klang	• Seafarer training programme (Continue)
	• Purchasing (goods & services)	
	Store	
	Review of day's findings	Review of day's findings
	Preparation of final report	Preparation of final report
3:00	Closing meeting with management to present a summary of findings and recommendations.	



8. Report explanation

LRQA Findings Log definitions and information
Definitions of Grade Findings
<p>Major Nonconformity <i>The absence of, or the failure to implement and maintain, one or more management system elements, or a situation which would, on the basis of the available objective evidence, raise significant doubt of the management to achieve:</i></p> <ul style="list-style-type: none">• <i>the policy, objectives or public commitments of the organisation</i>• <i>compliance with the applicable regulatory requirements</i>• <i>conformance to applicable customer requirements</i>• <i>conformance with the audit criteria deliverables.</i> <p>Minor Nonconformity <i>A finding indicative of a weakness in the implemented and maintained system, which has not significantly impacted on the capability of the management system or put at risk the system deliverables, but needs to be addressed to assure the future capability of the system.</i></p>
Objectives of the visit
<p>For all visits:</p> <ul style="list-style-type: none">• <i>using the LRQA Business Assurance methodology to help clients manage their systems and risks to improve and protect the current and future performance of their organisation</i>• <i>with the exception of Stage 1 visits, to address all issues outstanding from previous visits and any changes to the client's organisation or system that impacts on the approval (or potential approval) which will be recorded as visit specific objectives within the report.</i> <p>Stage 1:</p> <ul style="list-style-type: none">• <i>the assessment of the design and definition of the system to confirm conformity with certification requirements such as the assessment criteria and certification scope</i>• <i>the assessment of the client's self governance, the essential indicators, including the process for the assessment of risk (EMS and OHS), internal audits and management review</i>• <i>the confirmation of the contractual arrangements. This includes any changes required as a result of the outcome of the Stage 1 visit (including changes to the scope of assessment, duration of the Stage 2 visit, and duration of subsequent surveillance visits)</i>• <i>the determination of the planning, logistics, sampling, etc. that will be used during the Stage 2 visit.</i> <p>Stage 2: <i>The assessment of the implementation of the management system. This is to confirm conformity with certification requirements such as the assessment criteria and certification scope.</i></p> <p>Surveillance: <i>To determine that the client's system continues to meet the assessment criteria and certification scope.</i></p> <p>Certificate Renewal Planning / Focus: <i>To review the system and the performance of the company during the previous certification cycle, to see how the client plans to move forward in the future and to plan the Certificate renewal visit while confirming continued compliance with the assessment criteria and certification scope.</i></p> <p>Certificate Renewal: <i>The re-assessment of the implementation of the management system based on the results of the certificate renewal planning visit. This is to re-confirm conformity with certification requirements such as the assessment criteria and certification scope.</i></p> <p>Special Surveillance: <i>To review the effectiveness of the correction and corrective action taken after the raising of a Major Nonconformity at a surveillance visit.</i></p> <p>Follow-up: <i>To review the effectiveness of the correction and corrective action taken after the raising of a Major Nonconformity at a Stage 2 or Certificate Renewal.</i></p>



Change to Approval: The assessment of the implementation of the management system for an additional site or activity, which expands the existing scope of approval.

Additional information

Isolated issues and opportunities for improvement

Any isolated issues identified during the assessment, which have not resulted in a nonconformity being raised, we will record in the appropriate process table in the report.

If we identify opportunities to improve your already compliant system, we will either record them in the process table applicable to the area being assessed, or in the Executive summary of the report if they can deliver improvement at a strategic level.

Confidentiality

We will treat the contents of this report, together with any notes made during the visit, in the strictest confidence and will not disclose them to any third party without written client consent, except as required by the accreditation authorities.

Sampling

The assessment process relies on taking a sample of the activities of the business. This is not statistically based but uses representative examples. Not all of the detailed nature of a business may be sampled so, if no issues are raised in a particular process, it does not necessarily mean that there are no issues, and if issues are raised, it does not necessarily mean that these are the only issues.

Terms and conditions

Please note that, as detailed in the Terms and Conditions clause. Clients have an obligation to advise LRQA of any breach of legal, regulatory, or statutory requirements and any pending prosecution. Although proportionality and scale of the situation should be considered, you are required to advise LRQA of any serious potential risks to our certification but not, for example, isolated cases of a minor nature.

"The Client is required to inform LRQA as soon as it becomes aware of any breach or pending prosecutions for the breach of any regulatory requirements relevant to the Certified Management System. LRQA will review the details of any breaches brought to its attention and may elect to perform additional verification activities chargeable to the client to ensure compliance with specified requirements. LRQA reserves the right to suspend or withdraw certificates of approval / verification statements and opinions for both failure to inform LRQA and the appropriate regulator of such breaches".

LRQA information

The client is also reminded of the information and guidance available to them from our website (www.lrqa.com.my). This includes information on our QMS, EMS, OHSAS, Verification and Validation products, our Training Services, and our CE Directives products.

Information is also available from www.lrqa.com.

9. Continual improvement tracking log ([ISO 9001], [Port Klang, Selangor])

1. Reference number (CI-yymm-##)

Form: MSBSF43018/0.2 - 0406

6. Visit type/date (yymm)

Report **KLR0403591/0041**

10. Status – open or closed

26 July 2012

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Baseline information					
1. Improvement objective reference number:		CI-1004-01	Date first recorded: 28 April 2010		
2. What is to be improved?		3. Baseline performance	4. Target performance	5.Target completion date	
Ship Registration lead time		100% completed within 7 working days	100% completed within 3 working days 100% completed within 2 working days (Revised on 25 July 12)	31 Dec 2010 Extended to 31 Dec 2011 Extend to 31 Dec 12	
Progress information					
6. Visit type and date	7. Progress summary		8. Current performance	9. Findings log cross reference (if applicable)	10. Status
SV 2 05/12/2010	<u>Updated during SV2:</u> Top management will continue to monitoring performance and update LRQA Assessor in next surveillance SV3		<u>Updated during SV2:</u> All port offices has achieved ship registration within 3 working days for the periods Jan - Nov 2010	Nil	open
SV 3, 06/11	BKI Headquarters will laise with JL Sabah -Ibu Pejabat with regards to cause of non achievement and continual improvement plan within a week		Performance (Jan – May 2011): JL Wilayah Tengah- Port Klang (100%, 40 ships) JL Wilayah Utara – JL Pulau Pinang (100%, 7 ships) JL Sarawak – Ibu Pejabat Kuching (100%, 62 ships) JL Sabah -Ibu Pejabat (0%, 9 ships)	Nil	open
SV 4/ Cert Renewal Planning 07/12	Target has been consistently achieved 100% within 3 mandays. Revised target to 2 days		Performance (Jan – Dec 2011): 100% (4 port of registry, total 253 applications) (Jan – Apr 2012): 100% (64 applications)	Nil	open