



## Surveillance (SV 1)

Report for:

### Jabatan Laut Semenanjung Malaysia

<b>LRQA reference:</b>	KLR 0403591/ 0004
<b>Assessment dates:</b>	9-11 April 07
<b>Assessment location:</b>	Port Klang, Selangor, Malaysia
<b>Assessment criteria:</b>	ISO 9001:2000
<b>Assessment team:</b>	Ir. Chong Kam Fook (Team Leader)
<b>LRQA office:</b>	LRQA Kuala Lumpur



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<b>Attachments</b>

<b>This report was presented to and accepted by:</b>	
Name:	Mr. Baharin Dato' Abd. Hamid
Job title:	Deputy Director

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## 1. Executive report

### **Assessment outcome:**

No Major except one Minor non conformity (NC) was raised basing on sampling and record evidences sighted.

The company demonstrated management system satisfying the requirements of ISO 9001:2000.

**Recommended for continued certification to ISO 9001:2000 standard.**

### **System effectiveness and continual improvement:**

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

The main aspects of continual improvement are currently seen to be in relation to maintenance records of quality objectives performance data

### **Areas for management attention:**

**Corrective action required for 'Laporan Ketakakuran' raised during internal quality audit and follow up audit and closure of 'Laporan Ketakakuran'. Some 'Laporan Ketakakuran' raised to Regional Port Office are remained open and corrective action was not initiated.**

Details of weaknesses identified as shown in the audit findings log.



## 2. Assessment summary

### Introduction:

Outstanding issues were followed-up. Areas as shown on Assessment Schedule were covered. Management team had attended opening and closing meeting.

**Assessor:** Ir. Chong Kam Fook (2738)

### Day 01: Kuala Perlis Port Office

<b>Assessment of:</b>	Kuala Perlis Port Office: <ul style="list-style-type: none"><li>• Organisation &amp; Management Responsibility</li><li>• Business Activities</li></ul>	<b>Auditee(s):</b>	Irwanniza (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
Organisation chart, staff responsibilities and reporting, quality policy and objectives, business activities; internal audit, management review minutes; control of ISO documents and records			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• The Kuala Perlis Port Office is headed by Parmaswran (Senior Administration Assistant) and 3 staff involved in seaman certification activities.</li><li>• Organisation chart reflected the current staff reporting. The staff responsibilities were defined and a copy was available in individual 'File Meja'.</li><li>• A copy of the quality policy was displayed and it was understood by the staff. None of the quality objectives was applicable to local port officer.</li><li>• The local office has used monitoring check sheet issued by head office (IPL) and performance data of CoC and seamen document</li><li>• 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, receive application of certificate of competency (CoC) and certificate of recognition (CoR).</li></ul>			



<b>Assessment of:</b>	Kuala Perlis Port Office <ul style="list-style-type: none"> <li>• Internal Quality Audit</li> <li>• Management Review</li> <li>• ISO documents &amp; records control</li> </ul>	<b>Auditee(s):</b>	Irwanniza (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
Internal audit, management review minutes , control of ISO documents / records			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"> <li>• Activities related to seamen certification were audited by internal auditor Hairizam Albukhari on 4 April 07 as shown on memorandum dated 13 March 07. A total of 6 minor CAR (Laporan Ketakakuran) were raised. All 6 'Laporan Ketakakuran' are remained open. <b>'Laporan Audit Dalaman' is not available at local office – Refer to 'RC'0704CKF01 for details</b></li> <li>• The meeting minutes of management review held on 16 March 07 was available at local office. A copy of management review meeting minutes was also saved into Malaysia Marine Department website (JALIN system) and it can be viewed by authorised personnel.</li> <li>• A copy of quality manual and all relevant procedures were distributed to the local port office and it carried copy number 16. ISO documents were reviewed during this audit. <b>Discrepancy was noted on organisation chart in the quality manual (page 15/44) – refer to 'RC'0704CKF02' for details.</b></li> <li>• Records related to seamen certifications were send together with 'Surat Penyerahan' to IPL upon completion.</li> </ul>			



<b>Assessment of:</b>	Kuala Perlis Port Office: Seamen Certification	<b>Auditee(s):</b>	Irwanniza (Admin. Asst.)
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#### **Audit trails and sources of evidence:**

- Records related to Semen Registration (local seafarer Bahadot , renew Seaman No: 200202004429 and foreign seafarer Fernando Tobing, renew Seaman No:200424010111)
- Crew Agreement & Official Log book / Change to List of Crews of Sejahtera 16 (official no: 330760, renewal), Angel Express (official no: 328388, renewal), Lambaian 1 (official no: 327409)
- Application of Certificate of Competency (Sharimi, seamen no: 199909000920, renewal of Master) and Abdullah Ali, Cert. No: 19990900019, new application of Master)
- Certificate of Recognition (Hendro Army Hara, renewal, Seaman No: 200524008581.
- verification of above application through 'JALIN' and reviewed procedures PT-HEPP-02, PT-HEPP-04, PT-HEPP-05; PT-HEPP-06, PT-HEPP-07 and PT-HEPP-08.
- Customer satisfaction / complaints

#### **Evaluation and conclusions:**

- Application and processing for seamen registration were reviewed. Seafarer Registration Form and all supporting documents were available and verified prior to the acceptance. Seafarer's particulars were keyed into "Jalin / Maklumat Pelaut" centralized computer system. Seamen Document and 'Seamen Identity Document for Foreigner' were issued to local and foreign seafarers respectively when application found acceptable. Seaman's Record Book was issued when local / foreign seafarer in compliance with requirements.
- Crew sign on / sign off were carried out properly and found in order. Both new issuance and old Crew Agreement and Change to List of Crew (when there is crew sign on / sign off) were returned back to IPL together with 'Borang Penyerahan'.
- Application form of CoC and its supporting documents were send to Ibu Pejabat Laut, Port Klang for further processing. Details of application for watch-keeping rating and endorsement of specialised training were keyed into JALIN system as stipulated in PT-HEPP-02, issue 1, clause 6.1.4. Acknowledgement of receipt of CoC by applicant was sighted on 'Borang Penyerahan Perakuan Kekompetenan'.
- A temporary 'Written Acknowledgement of Application for CoR' and 'Letter of Acknowledgement' was issued to new applicant and renewal respectively when application was acceptable. Acknowledgement of receipt of CoR by applicant was sighted on 'Borang Penerimaan Perakuan Pengiktirafan'. 'For Office Use' area on 'Borang Penerimaan Perakuan Pengiktirafan' was updated when Master / Representative return back photostat copy of CoR with certificate holder's signature (page 2) to local port office as stated under PT-HEPP-04, issue 1, clause 6.3.3.
- Application form, supporting documents of seamen document, seamen record book, Official Log Book and Crew Agreement (both expired and new issue) were returned together with "Borang Penyerahan" to Ibu Pejabat Laut of Semenanjung Malaysia (HEPP) upon completion. 'Borang Penyerahan' were satisfactorily maintained.
- A total of seven customer feedback / complaints were received in year 2007. Overall, customer happy with services provided by local port office (each area was rated 7 to 10).

#### **Day 02: Kuah Port Office**



<b>Assessment of:</b>	Kuah Port Office: <ul style="list-style-type: none"><li>• Organisation &amp; Management Responsibility</li><li>• Business Activities</li></ul>	<b>Auditee(s):</b>	Anuar Bin Ghani (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
Organisation chart, staff responsibilities and reporting, quality policy and objectives, business activities; internal audit, management review minutes; control of ISO documents and records			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• Receive and process of application of seaman document and seaman book were officially transferred to Telaga Harbour Park, Langkawi with effect from beginning of year 2005. Application records from Telaga Harbour Park was audited at Kuah office in this audit.</li><li>• The Kuah, Langkawi Port Office is headed by Mohd. Tarmizi (Assistant Marine Officer) and 4 staff involved in seaman certification activities.</li><li>• <b>Local port office organisation chart displayed at front office and in staff file ('Fail Meja') was not up-to-date and responsibilities of Helmsman were not defined. Refer to 'RC'0704CKF03 for details.</b></li><li>• The latest quality policy was displayed at front office and it was understood by the staff. None of the quality objectives was applicable to local port officer.</li><li>• The local office has used monitoring check sheet issued by head office (IPL) and performance data of CoC (new application and renewal) and CoR since Jan 2007.</li><li>• Kuah and Telaga Harbour Park port offices processes application of seamen certification which included seamen registration, management of seamen service (crew agreement and article sign on / sign off), official ship logbook, receive application of certificate of competency (CoC) and certificate of recognition (CoR).</li></ul>			

<b>Assessment of:</b>	Kuah Port Office <ul style="list-style-type: none"><li>• Internal Quality Audit</li><li>• Management Review</li><li>• ISO documents &amp; records control</li></ul>	<b>Auditee(s):</b>	Anuar Bin Ghani (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
Internal audit, management review minutes , control of ISO documents / records			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• Activities related to seamen certification were audited by internal auditor Hairizam Albukhari on 5 April 07 as shown on memorandum dated 13 March 07. A total of 4 minor CAR (Laporan Ketakakuran) were raised. All 'Laporan Ketakakuran' are remained open. A copy of 'Laporan Audit Dalaman' was maintained at local office</li><li>• The meeting minutes of management review held on 16 March 07 was available at local office. A copy of management review meeting minutes was also saved into Malaysia Marine Department website (JALIN system) and it can be viewed by authorised personnel.</li><li>• A copy of quality manual and all relevant procedures were distributed to the local port office and it carried copy number 15. ISO documents were reviewed and found up-to-date.</li><li>• Records related to seamen certifications were send together with 'Surat Penyerahan' to IPL upon completion.</li></ul>			



<b>Assessment of:</b>	Kuah Port Office: Seamen Certification	<b>Auditee(s):</b>	Anuar Bin Ghani (Admin. Asst.) Syed Radhi (Admin. Asst.)
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#### **Audit trails and sources of evidence:**

- Records related to Semen Registration (local seafarer Rosley , new application, seaman No: 20076200695) and foreign seafarer Septian Mursalin, new application, seaman No: 200624007042)
- Observed application for change to list of crews of passenger ship (official No: 328387) submitted by Express Bahagia (Langkawi) Sdn. Bhd. at front counter
- Crew Agreement & Official Log book / Change to List of Crews of Express Bahagia 9 (official no: 328387, renewal done on 9 Oct 06), Champur Baru (official no: 329008, renewal done on 14 Nov 06), Labuan Express Tujuh (official no: 329838, renewal done on 27 April 06)
- Application of Certificate of Competency (Yazid Haji Tarseh, seamen no: 200302018865, new application of Watchkeeping Engineer Officer <750 Kw) and Hasmizam Teh, Cert. No: 200602003595, new application of Master <500 GT)
- Certificate of Recognition (Meidhia Pritosuseno, renewal for deck watchkeeping officer, Seaman No: 200424010126 and Chaerun (renewal for master near coastal, seaman no: 200024003880).
- verification of above application through 'JALIN' and reviewed procedures PT-HEPP-02, PT-HEPP-04, PT-HEPP-05; PT-HEPP-06, PT-HEPP-07 and PT-HEPP-08.
- Customer satisfaction / complaints

#### **Evaluation and conclusions:**

- Application and processing for seamen registration were reviewed. Seafarer Registration Form and all supporting documents were available and verified prior to the acceptance. Seafarer's particulars were keyed into "Jalin / Maklumat Pelaut" centralized computer system. Seamen Document and 'Seamen Identity Document for Foreigner' were issued to local and foreign seafarers respectively when application found acceptable. Seaman's Record Book was issued when local / foreign seafarer in compliance with requirements.
- Crew sign on / sign off were carried out properly and found in order. Both new issuance and old Crew Agreement and Change to List of Crew (when there is crew sign on / sign off) were sighted. **However, Crew Agreement and Official Log Book had yet to return back to IPL together with 'Borang Penyerahan' as required under procedure PT-HEPP-06 clause 6.1.7. Refer to 0704CKF04 for details.**
- Application form of CoC and its supporting documents were send to Ibu Pejabat Laut, Port Klang for further processing. Details of application for watch-keeping rating and endorsement of specialised training were keyed into JALIN system as stipulated in PT-HEPP-02, issue 1, clause 6.1.4. Acknowledgement of receipt of CoC by applicant was sighted on 'Borang Penyerahan Perakuan Kekompetenan' issued by IPL. Page of CoC which shown applicant's signatory was duplicated and kept in file.
- A temporary 'Written Acknowledgement of Application for CoR' and 'Letter of Acknowledgement' was issued to new applicant and renewal respectively when application was acceptable. Acknowledgement of receipt of CoR by applicant / representative was sighted on 'Borang Penerimaan Perakuan Pengiktirafan'.
- Application form, supporting documents of seamen document, seamen record book were returned together with "Borang Penyerahan" to Ibu Pejabat Laut of Semenanjung Malaysia (HEPP) upon completion. 'Borang Penyerahan' were satisfactorily maintained.
- A total of five customer feedback / complaints were received in year 2007. Overall, customer happy with services provided by local port office (each area was rated 5 to 7).

### **Day 03: Ibu Pejabat Laut (Headquarters)**





<b>Assessment of:</b>	Outstanding Issue	<b>Auditee(s):</b>	Khairuddin Abbas (Asst Principal Director, HR) Yusnan (Marine Officer)
<b>Audit trails and sources of evidence:</b>			
Outstanding issue raised in previous visit.			
<b>Evaluation and conclusions:</b>			
Necessary corrective actions were initiated in addressing outstanding discrepancies stated in Assessment Findings Log.			



<b>Assessment of:</b>	Ibu Pejabat Laut, Port Klang - Management System Elements	<b>Auditee(s):</b>	Yusnan (Marine Officer) Khairuddin Abbas (Asst Principal Director, HR) Md. Ridzuan (Asst Principal Director, IT)
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#### **Audit trails and sources of evidence:**

Quality Policy & Objectives, System & Organisation Changes, Internal Audit, Management Review, Corrective Actions (customer complaints received in '06, CAR raised during recent IQA), Data Analysis (for year '06), System Improvements, Client Feedback/Communication, Preventive Action, Legislative Issue; Use of Logo / Other Marks.

#### **Evaluation and conclusions:**

The current Quality Policy and target of quality objective were remained unchanged. Quality objective performance were consistently monitored and monthly data were available.

No significant changes to the quality management system (QMS). The exclusion made on ISO clause 7.3, 7.5.2 and 7.6 and its exclusion as stated in the quality manual was remained appropriate. Company organisation chart in the quality manual reflected current organisation structure and staff reporting.

'Jadual Perancangan Audit Dalam MS ISO 9001:2000 Bagi Tahun 2007' and 'Jadual Audit Kualiti Dalam' were established. However, Northern Region (Kuah, Kuala Perlis and Lumut) and Eastern Region (Tanjung Gelang, Kemaman, Kuala Terengganu) port offices were only audited in March & early April 07. Other port offices as shown in audit plan had yet to audit partly due to unavailability of appointed auditors. A total of 6, 4 Minor non conformances were raised to Kuala Perlis and Kuah Port Office respectively. Reviewed 'Laporan Audit Kualiti Dalam' and 'Laporan Ketakakuran' found to be in order.

The management review was held on 16 March 07, chaired by the Director General and attended by the Deputy Director (Wakil Pengurusan Kualiti, WPK), Deputy WPK, Regional Port Office Director and ISO Secretariat. All necessary agenda were discussed included review of actual performance for quality objectives for the periods Jan-Dec' 06. Minutes and supporting materials were maintained.

**Discrepancy was noted on Minor CAR ('Laporan Ketakakuran') raised on 23 Feb 06 to Kuah Port Office i.e. No: 1 /3, 2/3 and 3/3 – Refer to 'Minor NC'0704CKF05' for details.**

Unsatisfactory area / customer complaint as reported in customer satisfaction feedback form ' were reported during recent management review and continual improvement action were discussed.

Customer satisfaction survey forms obtained under seamen certification (consists of seamen registration, crew sign on / sign off, on-line port clearance, CoC, CoR, CoC examination), aids to navigations, modular course certificates issuance, Issuance of DoC of ISM code monthly were tabulated. Rating of customer feedback was generally found to be satisfactorily.

There was no preventive action initiated since the last visit.

Data analysis carried out on quality objective performance, suppliers / subcontractors' performance and customer satisfaction feedbacks were sighted. Causes of non achieved quality objectives and continual improvement action were discussed.

The LRQA / UKAS logo were printed on employees' business cards, letterheads and company website. The usage of logo was found satisfactorily

No further change to Merchant Ship Ordinance 1952, 'Arahan Perbendaharaan' AP clause 60 – 91, 1998 since last visit.



<b>Assessment of:</b>	Ibu Pejabat Laut, Port Klang – Purchasing	<b>Auditee(s):</b>	Subramaniam Kannan ((Asst. Admin. Officer) Salena (Admin. Asst)
<b>Audit trails and sources of evidence:</b>			
Purchasing procedures; monitoring of supplier / subcontractor's performance through evaluation; Purchases made from Andam Kreatif (Pesanan: L 0311030101070114, walkway roof), Menarik Minda S/B (Pesanan: L 0311030101060516, supply oil spillage equipment) and D Bena Mentari (Pesanan: AD 619980, landscaping for Sispelsat Transmitter, Kuantan) were selected for review.			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"> <li>All of above suppliers are registered supplier / subcontractor list'. Purchase requirements stated on 'Borang Pesanan Pembelian / Pembaikan' received from the requestor were adequately reviewed and suppliers were sourced accordingly. Specification stated on supplier / subcontractor's quotation was adequately reviewed by requestor &amp; purchaser. Quotation or Tender Committee was set up to review quotation / tender proposal and select vendor / subcontractor prior to each purchase which exceeded RM50,000 or RM200,000 respectively. 'Borang Pesanan' was issued to selected supplier / subcontractor.</li> <li>Performance of registered supplier / subcontractor was evaluated.</li> </ul>			

<b>Assessment of:</b>	Ibu Pejabat Laut, Port Klang – Human Resource Management	<b>Auditee(s):</b>	Khairuddin Abbas (Asst Principal Director, HR) Siti Suzen (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
Staff competency and training needs identification; training plan 2007; staff training records; evaluation of training effectiveness; training for new staff			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"> <li>Training needs of staff was identified by immediate superior through year end 'Laporan Penilaian Prestasi'. Training Plan year 2007 was established. Application form of training provider was filled by participant for approval.</li> <li>Training attended by staff was updated into individual 'Buku Perkhidmatan Kerajaan'. The effectiveness of training attended by staff was evaluated and training met objective.</li> <li>All new staff had attended induction training conducted by Government Agencies such as INTAN or in-house. Training attendance was updated into individual 'Buku Perkhidmatan Kerajaan'. 'Buku Perkhidmatan Kerajaan' of current staff were found up-to-date.</li> </ul>			



<b>Assessment of:</b>	Ibu Pejabat Laut, Port Klang – Documents & Records Control & Bilik File	<b>Auditee(s):</b>	Yusnan (Marine Officer) Zawiyah (Chief Clerk)
<b>Audit trails and sources of evidence:</b>			
Document Master List, Document Distribution List, ISO documents (Master copy and copy distributed), retention of obsolete documents; control on external document, control of crew agreement / official log book / change to list of crew / CoC / CoR returned by port office to HEPP of IPL, quality record retention, storage / label of old quality records			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>Control on both master and distribution of ISO documents to the regional port offices were found satisfactorily. Document Master List ('Senarai Induk Dokumen') reflected issue / revision status of ISO documents and history of document changes.</li><li>There was no further document change and distribution since last audit.</li><li>External documents such as STCW 95, 'Ordinan Perkapalan Saudagar 1952', etc. were distributed to relevant Units and its control was found satisfactorily.</li><li>Quality records were maintained in accordance to retention time defined. Old records were currently stored in hard cover file at designated area and retrievable during audit.</li><li>Reviewed Official Log Book, Change to List of Crews, Crew Agreement returned by Jabatan Laut Wilayah Utara and Wilayah Tengah through 'Borang Penyerahan' at 'Bilik Fail Pelaut'.</li><li>Acknowledgement of receipt of documents returned by Regional Port Offices is implemented at stages. 'Borang Penyerahan' with receipt stamp was returned to sender of Wilayah Tengah was sighted.</li></ul>			



### 3. Assessment findings log - ISO 9001:2000

Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
RC	Closed	<p>a) Discrepancy was noted in control copy # 22 in which Quality Manual, page 6 of 44 and 15 of 44 were still at revision 0. The said pages had been revised on 17 March 06 and both carried revision #1 during audit.</p> <p>b) Although original document of page 15 of 44 (organisation chart) was withdrawn and kept in separate file, however, original page of previous revision (issue 1, revision 1) was not stamped 'BATAL' as it is required under PS-BDPK-03, revision 1, issue 1, clause 6.2.8 (Tanjung Gelang Office)</p> <p>c) Reviewed Official Log Book, Change to List of Crews, Crew Agreement send by Jabatan Laut Wilayah Timur at 'Bilik Fail'. Noticed that 2 out of 4 Borang Penyerahan i.e. (27) JLWT Jilid 2 and (305) JLWT dated 12/1/09 were not able to be traced at Bilik File. Currently, acknowledgement of receipt of documents send by Regional Port Office was not returned to sender (IPL, Port Klang)</p>	Evidences of corrective actions taken were sighted and it had addressed item (a), (b) and (c).	document control	26 Sep 06	0609CKF01	4.2.3
Minor NC	Closed	Noticed that necessary corrective actions and follow-up on effectiveness of Major, Minor CAR and Observations ('Laporan Ketakakuran') raised in recent IQA to PTP Port Offices e.g. 1 /2, 1 /2, 2 /6, etc. dated 1 and 2 August 06 and to Pejabat Laut Wilayah Utara e.g. 2/5, 3/5, 4/5, etc. dated 21 & 22 August 06 were not carried out on timely basis. Corrective actions and area for auditor follow-up were remained not filled at the time of the audit.	Corrective action were taken and records evidences were sighted at IPL.	corrective action (Laporan Ketakakuran)	27 Sep 06	0609CKF02	8.5.2
Minor NC	Closed	The effectiveness of training three out of five samples / courses selected for further review was not evaluated. The affected trainings were Retreat Keselamatan Fizikal & Keselamatan Dokumen, APEC on port security, Understanding & Managing Complaints in the Public Sector attended by Abdul Nasar, Ahmad Dasha and Khairudin Abbas on 4 July 06, 12-15 June 06 and 6 July 06 respectively. The training effectiveness is required under ISO 9001:2000 clause 6.2.2 (c) as to know whether training meet objective or improve staff competency or otherwise.	Post evaluation was carried out and met training objectives	training effectiveness evaluation	27 Sep 06	0609CKF03	6.2.2 (c)

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
RC	Closed	a) The followings were Noted: b) Ship sampling which is mandatory for initial audit was not shown on Audit Plan of Seacor Marine (Asia) Pte. Ltd. Ship sampling is carried out upon closure of NCR and vessel is available. c) No comment provided by the auditor for closure of major / minor NCR although record evidences were attached.	a) Initial Assessment Plan had been modified and included ship sampling. b) Non conformance form had been modified to include auditor's comment during follow-up and closure of NC and found to be satisfactorily	DoC of ISM Code	28 Sep 06	0609CKF04	7.1
RC	Closed	Although purchase was made from registered supplier, post evaluation as required under ISO 9001:2000 clause 7.4.2 was not carried out for registered supplier / subcontractor	Both supplier and subcontractor's performance were evaluated and performance was reported during recent management review.	purchasing	28 Sep 06	0609CKF05	7.4
RC	Closed	Records of internal quality audits and minutes of management review were not available at Jabatan Laut Sabah - Ibu Pejabat.	Distribution of internal audit and management review minutes sighted on memorandum dated 20 April 06 and 22 Sept 06 respectively.	Internal Communication	28 Sep 06	0609OCL01	5.5.3
SFI	Closed	Applicants for CoC and CoR are given the choice of selecting the port office for collection of the certificate. The port office should record this choice in the monitoring form Borang I - Pemantuan Objektif Kualiti.	Not required. Comment made on 11 April 07 – No further action initiated.	Control of service provision	28 Sep 06	0609OCL02	7.5.1 (e)
SFI	Closed	It would be beneficial to have a separate category in the analysis of quality objective/target of applications > 90 days for CoR and > 30 days for CoC that could be termed as rejected applications that do not meet the specified conditions for issuance of the certificate.	Not required. Comment made on 11 April 07 – No further action initiated.	Analysis of data	28 Sep 06	0609OCL03	8.4
SFI	Closed	Data on quality objectives for seamen certification in Jabatan Laut Wilayah Tengah were not readily available. The collection and analysis of data by each port office should be reviewed so that a clear reporting format for data and its analysis are available for effective evaluation.	Not required. Comment made on 11 April 07 – No further action initiated.	Analysis of data / Quality objectives	28 Sep 06	0609OCL04	8.4
RC	New	'Laporan Audit Dalaman' was not distributed to local office as required under procedure PK-WPK-01, revision '1' clause 6.3.4.		internal audit – Kuala Perlis	09 Apr 07	0704CKF01	8.2.2
RC	New	Organisation chart in the quality manual (Copy Number 16) was carried Revision '0'. There was newer revision '1' attached with the cover letter issued out by IPL on 31 March 06, however, the latest revision was still in ISO correspondence file during this audit. Similar trend was observed on 'Laporan Ketakakuran' raised during recent internal audit (4 out of 6 Ketakakuran).		document control – Kuala Perlis	09 Apr 07	0704CKF02	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	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
RC	New	Staff named Roslee Bin Ismail was promoted from Deckhand to Helmsman with effect from 1 Jan 2007 However, this was not reflected in organisation chart displayed in front office and 'Fail Meja' of staff.		organisation chart - Kuah office	10 Apr 07	0704CKF03	5.5.1
RC	New	Crew Agreement & Official Log book / Change to List of Crews of Express Bahagia 9 (official no: 328387, renewal done on 9 Oct 06), Champur Baru (official no: 329008, renewal done on 14 Nov 06), Labuan Express Tujuh (official no: 329838, renewal done on 27 April 06) are still kept in local port office instead of returning to IPL. Understand from local staff in-charge there is problem on posting into JALIN system.		seaman document - Kuah office	10 Apr 07	0704CKF04	5.4.1
Minor NC	New	Corrective actions and auditor follow-up of 'Laporan Ketakakuran' No: 1 /3, 2/3 and 3/3 raised on 23 Feb 06 to Kuah Port Office were remained not filled at the time of the audit. The auditee shall initiate necessary corrective action timely and submit it back to the auditor for review and close out. This measure is essential to prevent quality management system further deterioration.		corrective action	11 Apr 07	0704CKF05	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. 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. Assessment schedule

<b>Management system elements to be assessed at each visit:</b> <ul style="list-style-type: none"> <li>• Management review</li> <li>• Management of change</li> <li>• Continual improvement</li> <li>• Internal audit</li> </ul>	<b>Scheme specific elements:</b> <ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> <li>•</li> </ul>
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		SV 1	SV 2	SV 3	SV 4	SV 5		Certificate renewal
Visit type >	<input type="checkbox"/>							
Due date >	<input type="checkbox"/>	Apr 07	Oct 07	Apr 08	Oct 08	Apr 09		Oct 09
Start date >	<input type="checkbox"/>	9 Apr 07	TBC					TBC
End date >	<input type="checkbox"/>	11 Apr 07						
Assessor days >	<input type="checkbox"/>	3	3	3	3	3		8
<b>Process / aspect</b> <i>Final selection will be determined after review of management elements and actual performance</i>								
Seamen Certification (Head Office)								
Navigational Aids System (Head Office)			√					
Ship Registration (Head Office)			√					
Issuance of DoC of ISM Code (HO)								
Conduct of Hydrographic Survey (HO)								
Mgmt. of Dredging Work (HO)								
Purchasing		X						
Stores								
MIS								
Human Resource Management		X						
Infrastructure & Work Environment								
Doc. & Records Control & Bilik File		X						
Ship Registration (JL Wilayah Tengah)								
Seamen Certification (JL Wilayah Tengah)								
Ship Registration (JL Wilayah Utara)								
Seamen Certification (JL Wilayah Utara)								
Ship Registration (Kuching)								
Seamen Certification (Muara Tebas)								
Ship Registration (Labuan)								
Seamen Certification (Labuan)								
Seamen Certification (Wilayah Selatan)								
Seamen Certification (Wilayah Timur)								
Seamen Certification (Kemaman)								





Visit type >	<input type="checkbox"/>	SV 1	SV 2	SV 3	SV 4	SV 5		Certificate renewal
Due date >	<input type="checkbox"/>	Apr 07	Oct 07	Apr 08	Oct 08	Apr 09		Oct 09
Start date >	<input type="checkbox"/>	9 Apr 07	TBC					TBC
End date >	<input type="checkbox"/>	11 Apr 07						
Assessor days >	<input type="checkbox"/>	3	3	3	3	3		8
<b>Process / aspect</b> <i>Final selection will be determined after review of management elements and actual performance</i>								
Seamen Certification (Kuala Perlis)		X						
Seamen Certification (Kuah)		X						
Seamen Certification (Lumut)								
Seamen Certification (Sg. Udang, Melaka)			√					
Seamen Certification (Port Dickson)			√					
Seamen Certification (Tg Pelepas)								
Seamen Certification (Pasir Gudang)								
Seamen Certification (Tg. Gelang)								
Seamen Certification (Sibu)								
Seamen Certification (Sarikei)								
Seamen Certification (Bintulu)								
Seamen Certification (Miri)								
Seamen Certification & Ship Registration (Ibu Pejabat Kota Kinabalu)								
Seamen Certification (Pejabat Pelabuhan Kota Kinabalu)								
Seamen Certification (Sandakan)								
Seamen Certification (Tawau)								

### Next visit details

Next visit details		SV 2			
Assessor days	3	Due date	Oct 07	Actual start / end dates	TBC
Locations	Port Dickson → Sg. Udang → IPL, Malaysia				
Activity codes	8040, 6322				
Team	To be assigned				
Criteria	ISO 9001:2000				
Remarks and instructions					

## 5. Continual improvement tracking log ([ISO 9001], [Port Klang, Malaysia])

Baseline information				
1. Improvement objective reference number:		CI-0604-01	Date first recorded: 6 April 06	
2. What is to be improved?	3. Baseline performance	4. Target performance	5. Target completion date	
Issuance of Certificate of Recognition	85.8% as at Mar 06.	Issuance certificate within 3 month from date of receipt of complete application	31 Dec 2006	
Progress information				
6. Visit type / date	7. Progress summary	8. Current performance	9. Findings log cross reference (if applicable)	10. Status
CR (28 Sept 06)	Close monitoring through JALIN system to ensure certificate is issued within 3 months. Continue to monitor to ensure target is consistently achieved.	Consecutively 3 months (Jul – Sept 06) achieved target i.e. 100%	Nil	Open
SV 1 9-11 Apr 07	Letter was send out to each Regional Port Office on 2 April 07 concerning revision on sea times requirements for certain position: a) Application for Master if applicant has at least 12 months sea times as Chief Mate b) Application for Chief Engineer if applicant has at least 12 months sea times as 2 <sup>nd</sup> Engineer c) Application for 2 <sup>nd</sup> Engineer or Chief Mate if applicant has at least 12 months sea times as Watchkeeping Engineer / Officer	95% (Jan- Dec 06) 97% (Jan – Mar 07)	Nil	Open