



Surveillance (SV 2)

Report for:

Jabatan Laut Semenanjung Malaysia

LRQA reference:	KLR 0403591/ 0033
Assessment dates:	13-15 November 07
Assessment location:	Port Klang, Selangor, Malaysia
Assessment criteria:	ISO 9001:2000
Assessment team:	Ir. Chong Kam Fook (Team Leader)
LRQA office:	LRQA Kuala Lumpur



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Attachments

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

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1. Executive report

Assessment outcome:

No Major except two Minor non conformities (NC) were raised basing on sampling and record evidences sighted.

All outstanding findings were placed on 'open' status as no record evidences pertaining to corrective actions taken to address previous audit findings 0704CKF01, 0704CKF02, 0704CKF03 and 0704CKF04. There findings were upgraded to 'Minor Non-conformity'.

For 0704CKF05, corrective action proposed by auditee had yet to follow up and closed out since April 07.

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.
- Application of change of crews, sign on / sign off crews were not posted into SIS (JALIN) – Sg. Udang Port Office
- Organisation chart & staff responsibility ('Fail Meja') were not updated – Sg. Udang Port Office
- Modular course registration was not keyed into JALIN prior to the commencement of course – Sg. Udang Port Office
- Actual achievement for issuance of modular course certificate <7 days from application date were not monitored - Sungai Udang Port Office.
- 'Borang Penerimaan Perakuan Pengiktirafan' used was not the latest revision – P.Dickson Port Office
- No record pertaining to actual performance data monitoring for 'Management of dredging activity'. There are 2 quality objectives set for this Unit. - IPL
- 'Penyata Laporan Kerja Pelampung Pandu' for Buoy Tokong Red of preventive maintenance planned to be carried out in the periods Feb-May 06 was not available. - IPL

Note:

Jabatan Laut Semenanjung Malaysia is required to send record evidences (scanned and saved in pdf file) pertaining to corrective actions taken to address previous audit findings 0704CKF01, 0704CKF02, 0704CKF03 and 0704CKF04 and 0704CKF05 to LRQA Assessor latest by 31 Dec 07. Failing which it will upgrade to Major Non-Conformity which may affect certification

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.

Areas covered in this visit were as follows:

- a) Sg. Udang, Melaka Port Office, Sarawak – seamen certification
- b) Port Dickson Port office - seaman certification
- c) Head Office at Port Klang - management system elements, ship registration; navigational aids system.

Theme surveillance implementation was briefed. However, the management decided to stick to areas selected in previous surveillance as the management had yet to understand content stated in theme surveillance brochure and has not prepared for any theme.

Assessor:	Ir. Chong Kam Fook (2738)
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Day 01: Sg. Udang, Melaka Port Office

Assessment of:	Sg. Udang Port Office: <ul style="list-style-type: none">• Organisation & Management Responsibility• Business Activities	Auditee(s):	Bachok (Asst Marine Officer) Lim Fung Vui (Marine Officer)
Audit trails and sources of evidence:			
Organisation chart, staff responsibilities and reporting, quality policy and objectives, business activities; internal audit, management review minutes; control of ISO documents and records			
Evaluation and conclusions:			
<ul style="list-style-type: none">• The Sungai Udang Port Office is headed by Bachok and 6 staff involved in seaman certification activities.• Organisation chart and staff 'File Meja' were not up-to-date – Refer to RC0711CKF01 for details.• A copy of the quality policy was displayed and it was understood by the staff. One of the quality objectives i.e. issuance of modular course certificate <7 days from registration date was applicable to local port officer. Noticed that actual achievement was not monitored – Refer to RC0711CKF02 for details.• Meantime, local port office has used check sheet provided by head office (IPL) for monitoring of actual performance data of CoC and seamen document.• 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, verification of participants' attendance for modular course, receive application of certificate of competency (CoC) and certificate of recognition (CoR).			



Assessment of:	Sg. Udang Port Office <ul style="list-style-type: none">• Internal Quality Audit• Management Review• ISO documents & records control	Auditee(s):	Lim Fung Vui (Marine Officer) Jesudas (Chief Admin. Asst.) Julia (Admin. Asst.)
Audit trails and sources of evidence:			
Internal audit, management review minutes , control of ISO documents / records			
Evaluation and conclusions:			
<ul style="list-style-type: none">• Activities related to seamen certification were audited by 2 internal auditors from other port office on 13 April 07 as shown on notification issued by Lead Auditor. A total of 5 Observations (as recorded in 'Laporan Ketakakuran') were raised. All observations were closed out. 'Laporan Audit Dalaman' and 'Laporan Ketakakuran' were available at local office• Management review was 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. The 2nd management review was not able be conducted as the Director is away for official function abroad.• A copy of quality manual and all relevant procedures were distributed to the local port office and it carried copy number 11. ISO documents were up-todate.• Records related to seamen certifications were send together with 'Surat Penyerahan' to IPL upon completion. Receipt books, record pertaining to seaman certification activities received / processed by the local port office were satisfactorily maintained in book shelf or archive store.			



Assessment of:	Sg. Udang Port Office: Seamen Certification	Auditee(s):	Jesudas (Chief Admin. Asst.) Julia (Admin. Asst.)
Audit trails and sources of evidence:			
<ul style="list-style-type: none"> Records related to Semen Card (local seafarer Syarudin Hassan , renew Seaman No: 200201011758 and new application Ahmad Sharani, Seaman No:200705007286); Seaman's Record Book (Tuwalang Mohd. Nor, seaman book no: 28635) Crew Agreement & Official Log book / Change to List of Crews of M.T. Quasar (official no: 327376, renewal), M.T. Tuah Putri (official no: 330585, change of crews), M.V. Setia Damai (official no: 325978, change ship master) 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:			
<ul style="list-style-type: none"> 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" seaman information system. Seamen Document were issued to local seafarers when application found acceptable. Seaman's Record Book was issued when local / foreign seafarer in compliance with requirements. Crew sign on / sign off of M.T. Quasar (official no: 327376, renewal), M.T. Tuah Putri (official no: 330585, change of crews) and M.V. Setia Damai (official no: 325978, change ship master) were not updated into seaman information system (SIS) – Refer to Minor NC 0711CKF03 for details. Application form, supporting documents of seamen document, seamen record book, Official Log Book and Crew Agreement (both expired and new issue) of some applications were returned together with "Borang Penyerahan" to Ibu Pejabat Laut of Semenanjung Malaysia (HEPP) upon completion. 'Borang Penyerahan' were satisfactorily maintained. A total of 12 customer feedback / complaints were received in since Jan 2007. Overall, customer happy with services provided by local port office (each area was rated 7 to 10). 			



Assessment of:	Sg. Udang Port Office: Seamen Certification (-Cont.-)	Auditee(s):	Bachok (Asst Marine Officer) Lim Fung Vui (Marine Officer) Jesudas (Chief Admin. Asst.) Julia (Admin. Asst.)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">Modular course included 'Borang Pemeriksaan Senarai Peserta Kursus', details as shown in JALIN- Modular Course moduleApplication of Certificate of Competency (Mohd. Amri Isa, seamen no: 000882EIII) and Jone Elmi Kasbon, Cert. No: 002383)Certificate of Recognition (Oper Meranto Tambunan, Seaman No: 013225) and Rizal (Seaman No: 013866).PT-HEPP-08 and PT-HEPP-04, PT-HEPP-09			
Evaluation and conclusions:			
<ul style="list-style-type: none">Modular courses conducted by the local Training Institution (ALAM) were posted into JALIN system. The local officer / assistant officer had carried out ad-hoc visit to ALAM for verification of participant attendance. The JALIN (modular course module) was updated upon completion of verification. Modular certificate was printed out and issued to ALAM upon approval by IPL (headquarter). Acknowledgement of receipt of modular course certificate by ALAM was sighted. Requirement as stated in procedure PT-HEPP-09, Issue 1, clause 6.1 was not consistently followed. Occasionally, ALAM keyed in participant and modular course details into JALIN system upon completion of course – Refer to RC0711CKF04 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'.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.			

Day 02: Port Dickson Port Office



Assessment of:	Port Dickson Port Office: <ul style="list-style-type: none"> • Organisation & Management Responsibility • Business Activities 	Auditee(s):	Asmawi Nordin (Marine Officer)
Audit trails and sources of evidence:			
Organisation chart, staff responsibilities and reporting, quality policy and objectives, business activities; internal audit, management review minutes; control of ISO documents and records			
Evaluation and conclusions:			
<ul style="list-style-type: none"> • The Port Dickson Port Office is headed by Asmawi Nordin and 5 staff involved in seaman certification activities. • Local port office organisation chart displayed at front office and in staff file ('Fail Meja') was up-to-date and responsibilities and authority were defined and shown in individual 'Fail Meja'. • 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. • However, local office has used check sheet provided by head office (IPL) monitoring and performance data of seaman certification activities since Jan 2007. • The local 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). 			

Assessment of:	Port Dickson Port Office <ul style="list-style-type: none"> • Internal Quality Audit • Management Review • ISO documents & records control 	Auditee(s):	Asmawi Nordin (Marine Officer)
Audit trails and sources of evidence:			
Internal audit, management review minutes , control of ISO documents / records			
Evaluation and conclusions:			
<ul style="list-style-type: none"> • Activities related to seamen certification were audited by 2 internal auditors from other port office on 12 April 07 as shown on memorandum dated 12 April 07. A total of 2 observations (recorded in Laporan Ketakakuran) were raised. All 'Laporan Ketakakuran' are closed out. A copy of 'Laporan Audit Dalamam' and 'Laporan Ketakakuran' were maintained at local office • 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. The next management review scheduled in Nov 07 was not able to be conducted as the Director is away for official function abroad. • A copy of quality manual and all relevant procedures were distributed to the local port office and it carried copy number 12. ISO documents were reviewed and found up-to-date. • Records related to seamen certifications were send together with 'Surat Penyerahan' to IPL upon completion. 			



Assessment of:	Port Dickson Port Office: Seamen Certification	Auditee(s):	Raesyawati (Admin. Asst.) Mohd. Wazir (Admin. Asst.) Justizan (Admin. Asst.) Mohd. Huzaimi (Admin. Asst.)
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Audit trails and sources of evidence:

- Records related to Semen Registration (local seafarer Ramli Baen, renew cert, seaman No: 200210001935) and foreign seafarer Mahayong Joha, new application, seaman No: 200724005192 and Ridwan (seaman no: 200724007755); Discharge book for Muhammad Aizat (seaman no: 200714004414)
- 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 MT. Bunga Kelana 6 (official no: 328387, renewal done on 6 Nov 07), Orient Glory (official no: 329448, change of crew done on 31 Oct 07), M.T. Petro Ranger (official no: 327292, change of crew done on 1 April 07)
- Application of Certificate of Competency (Sulaiman Azan, seamen no: 200205000904, replacement due to lost) and Amzan Abu Bakar, Cert. No: 200005009340, certificate renewal)
- Certificate of Recognition (Marleny Sari, new application for master, Seaman No: 200724007013 and Albert Rudolf (renewal for deck watchkeeping officer, seaman no: 200624004338).
- 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.
- 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.
- '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'. **Noticed that 'Borang Penerimaan Perakuan Pengiktirafan' used at Port Dickson Port Office was not the latest revision - Refer to 'Refer to RC'0711CKF05 for details.**
- 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 were received in year 2007. Overall, customer happy with services provided by local port office (each area was rated 3 to 7 points). There was no customer complaint received.



Day 03: Ibu Pejabat Laut (Headquarters)

Assessment of:	Outstanding Issue	Auditee(s):	Yusnan (Marine Officer)
Audit trails and sources of evidence:			
Outstanding issue raised in previous visit.			
Evaluation and conclusions:			
<ul style="list-style-type: none">No record evidences pertaining to corrective actions taken to address previous audit findings 0704CKF01, 0704CKF02, 0704CKF03 and 0704CKF04. These findings were upgraded to Minor Non-conformity0704CKF05 is remained 'open' as corrective action proposed by auditee had yet to follow up and closed out since April 07. <p>Refer to Assessment Findings Log for details.</p>			



Assessment of:	Ibu Pejabat Laut, Port Klang - Management System Elements	Auditee(s):	Yusnan (Marine Officer)
Audit trails and sources of evidence:			
Quality Policy & Objectives, System & Organisation Changes, Internal Audit, Management Review, Corrective Actions (customer complaints, CAR raised during recent IQA), Data Analysis, System Improvements, Client Feedback/Communication, Preventive Action, Legislative Issue; Use of Logo / Other Marks.			
Evaluation and conclusions:			
<p>The current Quality Policy and target of quality objective were remained unchange. Quality objective performance were consistently monitored. Actual performance data were consolidated quarterly. Most of the quality objectives were close to target. No record pertaining to actual performance data monitoring for 'management of dredging activity – Refer to 'Minor NC0711CKF06 for details.</p> <p>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.</p> <p>'Jadual Perancangan Audit Dalaman MS ISO 9001:2000 Bagi Tahun 2007' and 'Jadual Audit Kualiti Dalaman' were established. However, except Tg. Pelepas, Pasir Gudang and Johor Bahru Port Office were audited on 31 Oct – 2 Nov 07, other port offices as shown on 'Jadual Audit Kualiti Dalaman' were not audited – Refer to 'RC0711CKF07 for details.</p> <p>A total of 2, 3 and 6 Observations were raised to Tg. Pelepas, Johor Bahru and Pasir Gudang Port Office respectively. All Observations were remained open. Reviewed 'Laporan Audit Kualiti Dalaman' and 'Laporan Ketakakuran' found to be in order.</p> <p>There was no management review held since last audit. The management has decided to reschedule management review planned on 12 Nov 07 to further date as the Director General was away for IMO meeting at London during above date.</p> <p>Although corrective actions were proposed for Minor CAR ('Laporan Ketakakuran') raised on 23 Feb 06 to Kuah Port Office i.e. No: 1 /3, 2/3 and 3/3. However, that CAR are remained open. No evidence that auditor follow up corrective actions and to close it out - Refer to Minor NC0704CKF05 for details. There was no complaint reported to seaman certification. Complaint reported to aids to navigational were reported behind this report.</p> <p>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, modular course certificates issuance), ship registration, Issuance of DoC of ISM code and aids to navigations monthly were tabulated. Rating of customer feedback was generally found to be satisfactorily. There was no customer feedbacks as reported by dredging management units.</p> <p>There was no preventive action initiated since the last visit.</p> <p>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.</p> <p>The LRQA / UKAS logo were printed on employees' business cards, letterheads and company website. The usage of logo was found satisfactorily</p> <p>No further change to Merchant Ship Ordinance 1952, 'Arahan Perbendaharaan' AP clause 60 – 91, 1998; Undang-Undang Malaysia (Akta 52, 1981) since last visit.</p>			



Assessment of:	Ibu Pejabat Laut, Port Klang – Navigational Aids System	Auditee(s):	Abdul Nasar (Principal Asst. Director) Azmi Harun (Marine Officer)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">Maintenance Schedule Year 2007 of Buoy (Tokong Red, Alhpa); Beacon (Nenasi, Bukit Cendering); Transit (Kertih Rear); Lighthouse (Tanjung Tuan)Reviewed maintenance records: 'Penyata Laporan Kerja Tanda Suar', 'Penyata Laporan Kerja Pelampung Pandu', 'Penyata Laporan Kerja Rumah Api'; 'Borang Aduan Kerosakan Alat Bantuan Pelayaran'			
Evaluation and conclusions:			
<ul style="list-style-type: none">Maintenance of buoy, beacons and lighthouses in Peninsular Malaysia water were noted planned and carried out. All necessary maintenance records were filled end of maintenances.Noticed that maintenance records of Buoy Tokong Red were not available – Refer to 'RC0711CKF08 for details.Complaints reported to 'Pusat Kawalan Trafik Kelang' were recorded into 'Borang Aduan Kerosakan Alat Bantuan Pelayaran'. Complaint was attended and works carried out were recorded.			

Assessment of:	Ibu Pejabat Laut, Port Klang – Ship Registration	Auditee(s):	Fairoz (Marine Officer)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">Ship Registration process and associated records.Verified approved and non-approved list of vessel in JALIN systemProcedures PT-BKI-01 to PT-BKI-05			
Evaluation and conclusions:			
<ul style="list-style-type: none">IPL does not receive / process application for ship name. Ship registration application received and keyed in by regional port offices were verified by IPL. There was evidence that criteria stated under PT-BKI-01 clause 6.2.1 were followed when verifying the ship name. Approval status was shown on JALIN. On-duty officer at the regional office will correspondence with applicant when ship name was not approved by the Director / KPP / PP.It is responsibility of regional port office who received ship registration application to verify supporting documents / certificates and to issue "Certificate of Malaysian Registry" (provisional or permanent) when it compliance with requirements.			



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 Minor NC	Open	'Laporan Audit Dalamam' was not distributed to local office as required under procedure PK-WPK-01, revision '1' clause 6.3.4.	No evidence that necessary action was taken. Upgraded to Minor NC	internal audit – Kuala Perlis	09 Apr 07	0704CKF01	8.2.2
RC Minor NC	Open	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).	No evidence that necessary action was taken. Upgraded to Minor NC	document control – Kuala Perlis	09 Apr 07	0704CKF02	4.2.3
RC Minor NC	Open	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.	No evidence that necessary action was taken. Upgraded to Minor NC	organisation chart - Kuah office	10 Apr 07	0704CKF03	5.5.1
RC Minor NC	Open	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.	No evidence that necessary action was taken. Upgraded to Minor NC	seaman document - Kuah office	10 Apr 07	0704CKF04	5.4.1
Minor NC	Open	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.	Laporan Ketakakuran 1/3, 2/3 and 3/3 were remained open as corrective actions had yet to follow up and closed out -	corrective action	11 Apr 07	0704CKF05	8.5.2
RC	New	Organisation chart (Melaka Port Office) and staff responsibility and authority as shown in individual 'File Meja (Senarai Tugas Harian)' were not updated. Unauthorised changes sighted on 'Senarai Tugas Harian of Chief Admin. Asst. (Mr. A. Jesudas). It is ISO 9001 clause 5.5.1 that staff responsibilities and authority shall be defined and documented.		Staff responsibility & authority- Sg. Udang office	14 Nov 07	0711CKF01	5.5.1

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
RC	New	Although details of each of application of modular course were posted in JALIN system, however, actual achievement for issuance of modular course certificate <7 days from application date were not monitored by Sungai Udang Port Office.		quality objective monitoring - Sg. Udang office	14 Nov 07	0711CKF02	5.4.1
Minor NC	New	It was noted that sign on / sign off crews were updated into hard copy of crew agreement and change to list of crews. However, it was not posted into SIS (JALIN) as required by procedure PT-HEPP-06, Issue 1, clause 6.1.8. Further investigation found out Seaman number which is created by SDP (new computer system) for new seaman registration or renewal of seaman card / seaman record book was not able to be posted into 'crew agreement' and 'official log book' module which is still in SIS (old system). As such, IPL might not able to trace details of application as Sg. Udang port office did not send application form and its supporting documents to IPL (headquarters) due to above problem. As told by auditee, SDP was go live and used at IPL, Penang and Kuala Terengganu Port Offices. The affected cases e.g. M.T. Quasar (official no: 327376, renewal), M.T. Tuah Putri (official no: 330585, change of crews), M.V. Setia Damai (official no: 325978, change ship master). Under core process procedure, all documents shall be send to IPL together with Borang Penyerahan end of process.		crew sign on / sign off - Sg. Udang office	14 Nov 07	0711CKF03	8.2.3
RC	New	Occasionally, ALAM did not register participant and modular course details into JALIN before commencement of course / training as required by procedure PT-HEPP-09, Issue 1, clause 6.1. As a consequence, regional port officer was not able to carry out ad-hoc visit to verify participant's attendance as the details were not available in JALIN system. Three affected courses conducted in year 2007		Modular course registration - Sg. Udang office	14 Nov 07	0711CKF04	7.1, 8.2.3
RC	New	'Borang Penerimaan Perakuan Pengiktirafan' was revised on 23 Aug 06 in which page 2 of CoR bearing recipient's signature is not longer required to be returned back to IPL. However, Port Dickson Port Office was not using the latest 'Borang Penerimaan Perakuan Pengiktirafan'.		Record Revision Control – Port Dickson office	14 Nov 07	0711CKF05	4.2.4
Minor NC	New	No record pertaining to actual performance data monitoring for 'Management of dredging activity'. There are 2 quality objectives set for this Unit.		quality objective monitoring	15 Nov 07	0711CKF06	5.4.1

1. Grading of the finding *

6. Date of the finding

2. New, Open, Closed

7. YYMM<Initials>seq.#

3. Description of the LRQA finding

8. Clause of the applicable standard

4. Review by LRQA

5. Process, aspect, department or theme

* 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	Audit scheduled for Ibu Pejabat Laut, Jabatan Laut Wilayah Utara, Jabatan Laut Wilayah Persekutuan Labuan on 31 Oct – 1 Nov 07 were not executed. There was no evidence that next audit dates were planned.		internal audit schedule	15 Nov 07	0711CKF07	8.2.2
RC	New	'Penyata Laporan Kerja Pelampung Pandu' for Buoy Tokong Red of preventive maintenance planned to be carried out in the periods Feb-May 06 was not available.		Maintenance record of buoy	15 Nov 07	0711CKF08	6.3

1. Grading of the finding *

6. Date of the finding

2. New, Open, Closed

7. YYMM<Initials>seq.#

3. Description of the LRQA finding

8. Clause of the applicable standard

4. Review by LRQA

5. Process, aspect, department or theme

* 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

Management system elements to be assessed at each visit: <ul style="list-style-type: none"> • Management review • Management of change • Continual improvement • Internal audit 	Scheme specific elements: <ul style="list-style-type: none"> • • • •
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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 > End date >	<input type="checkbox"/>	9 Apr 07 11 Apr 07	13-15 Nov 07	TBC				TBC
Assessor days >	<input type="checkbox"/>	3	3	3	3	3		8
Process / aspect <i>Final selection will be determined after review of management elements and actual performance</i>								
Seamen Certification (Head Office)								
Navigational Aids System (Head Office)			X					
Ship Registration (Head Office)			X					
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	13-15 Nov 07	TBC				TBC
End date >	<input type="checkbox"/>	11 Apr 07						
Assessor days >	<input type="checkbox"/>	3	3	3	3	3		8
Process / aspect <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)			X					
Seamen Certification (Port Dickson)			X					
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

Visit type	SV 3				
Assessor days	3	Due date	April 08	Actual start / end dates	TBC
Locations	Sandakan → Tawau → IPL, Malaysia				
Activity codes	8040, 6322				
Team	To be assigned				
Criteria	ISO 9001:2000				
Remarks and instructions					
Please refer to “Visit Theme Selection” regarding theme surveillance applicable in headquarters (IPL).					

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 Extend to April 08
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 nd Engineer c) Application for 2 nd 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
SV 2 13-15 Nov 07	HEPP will continue to monitor performance and will decide new CI in next LRQA audit	April – June 07 = 97% Jul – Sept 07 = 100%	Nil	Open



6. Visit theme selection

Visit type:	SV 3		
Due date (yy-mm):		Location:	Port Klang, Sandakan, Tawau
Actual date:	To be confirmed	Team:	To be assigned
Duration:	3 mandays		
Selected theme(s) (include reasons for theme selection)		Processes	
<p>Increase examination frequency for Certificate of Competency (CoC).</p> <p>Above theme was chosen as service provider, Jabatan Laut Semenanjung Malaysia is responsible to qualify more local seafarer to cater for high demand for mariner of various grades due to booming of oil & gas industry.</p> <p>Note:</p> <p>Theme is applied to IPL (headquarters) only.</p>		<p>Management System Elements</p> <p>Internal Audit, Management Review, Quality objectives performance Corrective action included customer complaint Preventive action</p> <p>Areas Related to Theme</p> <p>Data analysis and continual improvement pertaining to examination conducted and CoC issued out Seaman certification: CoC</p>	