

Surveillance (SV 3)

Report for:

Jabatan Laut Semenanjung Malaysia

LRQA reference:	KLR 0403591/ 0034
Assessment dates:	8-10 April 2008
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:

Processes related to theme surveillance at headquarters (IPL) and seamen certification at selected Regional Port Offices were successfully assessed. No Major except one Minor non conformities (NC) and two require correction (RC) were 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.

Continual improvement are achieved through internal audit process and management review which were held at defined interval.

Areas for management attention:

- Record evidence such as cover letter or change to list of crew was not available for crew sign-off – Sandakan Office
- 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. – Wilayah Utara, IPL, Sandakan, Tawau Port Offices.
- Procedure PT-HEPP-08, Issue 1, Revision 0 was not up-to-date. Some activities were different from actual practice

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) Sandakan Port Office, Sabah – seamen certification
- b) Tawau Port office, Sabah - seaman certification

Head Office at Port Klang – theme “[Increase examination frequency for Certificate of Competency \(CoC\)](#)”.

Assessor:	Ir. Chong Kam Fook (2738)
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Day 01: Sandakan Port Office, Sabah

Assessment of:	Sandakan Port Office: <ul style="list-style-type: none">• Organisation & Management Responsibility• Business Activities	Auditee(s):	Maurice (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 Sandakan Port Office is headed by Maurice and 3 staff involved in seaman certification activities.• Organisation chart and staff 'File Meja' were up-to-date.• A copy of the quality policy was displayed and it was understood by the staff. None of the quality objectives was related to this port office.• The local port office has used check sheet provided by head office (IPL) for monitoring of actual performance data of CoC, CoR 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, receive application of certificate of competency (CoC) and certificate of recognition (CoR).			



Assessment of:	Sandakan Port Office <ul style="list-style-type: none">• Internal Quality Audit• Management Review• ISO documents & records control	Auditee(s):	Maurice (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">• Seamen certification applications and related activities were audited by 2 internal auditors from other port office on 28 Feb 2008 as shown on notification issued by Lead Auditor. A total of 5 Observations (as recorded in 'Laporan Ketakakuran') were raised. All observations were remained 'open' – Refer to Minor NC0804CKF02 for details. 'Laporan Audit Dalamam' and 'Laporan Ketakakuran' were available at local office• Minutes of last management review held on 16 March 07 was available in Malaysia Marine Department website (JALIN system) and hard copy was kept at local office. The management review of year 2008 had yet to carry out.• A copy of quality manual and all relevant procedures were distributed to the local port office and it carried copy number 32. ISO documents were up-to-date.• 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 archive store.			



Assessment of:	Sandakan Port Office: Seamen Certification	Auditee(s):	Hj. Sopian Ayub (Marine Inspector) Big Boy (Marine Inspector)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">Records related to Semen Card (local seafarer Azirah Abd Aziz , renewal Seaman No: 200312013727; new application foreign seafarer Marthen, Seaman No:200824002725); Seaman's Record Book (Amirul Mohd. Zain, seaman book no: 30750)Crew Agreement & Official Log book / Change to List of Crews of M.V. Setia Zaman (official no: 332450, change of crew), T.B. tugboat Soon Hing 87 (official no: 325648, renew article), verification of above application through 'JALIN' and reviewed procedures PT-HEPP-02, PT-HEPP-04, PT-HEPP-05; PT-HEPP-06, PT-HEPP-07Customer 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.Discrepancy noted on Crew Agreement of Soon Hing 87 (Official No: 325648) – Refer to RC 0804CKF01 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.Although customer feedback / complaint forms were placed at front counter, however, there was no response to date.			

Assessment of:	Sandakan Port Office: Seamen Certification (-Cont.-)	Auditee(s):	Hj. Sopian Ayub (Marine Inspector)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">Application of Certificate of Competency (Sabar Bin Kia, seamen no: 2002I2006676, upgrade to Officer In Charge of Engrg. Watch) and Husin Bin Dayan, Cert. No: 8929)Certificate of Recognition (Abdul Rahman, Seaman No: 200324013409, Engineer Officer < 750 KW) and Hasan Basri (Cert. No: 6539, Master Near Coastal Voyage < 500 GT).PT-HEPP-02 and PT-HEPP-08; PT-HEPP-04			
Evaluation and conclusions:			
<ul style="list-style-type: none">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: Tawau Port Office, Sabah

Assessment of:	Tawau Port Office: <ul style="list-style-type: none"> • Organisation & Management Responsibility • Business Activities 	Auditee(s):	Fazaly Hj Latip (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 Tawau Port Office is headed by Fazaly and 4 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 the 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:	Tawau Port Office: <ul style="list-style-type: none"> • Internal Quality Audit • Management Review • ISO documents & records control 	Auditee(s):	Fazaly Hj Latip (Marine Officer) Mohd. Rahim (Asst. Engineer)
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 27 Feb 08. A total of 3 observations during internal audit (recorded in Laporan Ketakakuran) were raised however it was remained open – Refer to Minor NC0804CKF02 for details. A copy of 'Laporan Audit Dalaman' and 'Laporan Ketakakuran' were maintained at local office • Minutes of last management review held on 16 March 07 was available in Malaysia Marine Department website (JALIN system) and hard copy was kept at local office. The management review of year 2008 had yet to carry out. • A copy of quality manual and all relevant procedures were distributed to the local port office and it carried copy number 34. 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:	Tawau Port Office: Seamen Certification	Auditee(s):	Akip (Marine Inspector) Kamrudin Saidi (Marine Inspector) Mohd. Dayan Hasyim (Marine Inspector) Mohd. Rahim (Asst. Engineer)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">Records related to Semen Registration (local seafarer Mohd. Samir, renew cert, seaman No: 200312016418) and foreign seafarer Syahiruddin, renew cert, seaman No: 200324016411); Darwin Arsad (new application of Discharge book, seaman no: 200412005397)Crew Agreement & Official Log book / Change to List of Crews of Modalwan 1022 (official no: 329782, renewal crew agreement and change to list of crew) submitted by Pemborong Bumiaya Sdn. Bhd., Modalwan No. 7 (official no: 328001, renewal crew agreement done on 17 Jan 08), Asiaprde 23 (official no: 329818, crew sign-off done on 16 Mar 07)Application of Certificate of Competency (Rustam Muin, seamen no: 200312013068, new application) and Abdul Razak, Cert. No: 200012011190, certificate revalidation)Certificate of Recognition (Yulinus, renewal for master, Seaman No: 199924001795) and Herman Laming (new application for Engineer officer, seaman no: 200424002520).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" 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'.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.Although customer feedback / complaint forms were placed at front counter, however, there was no response to date.			



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">Corrective actions were taken by this organisation and it addressed outstanding findings. Refer to Assessment Findings Log for details.			

Assessment of:	Ibu Pejabat Laut, Port Klang - Management System Elements	Auditee(s):	Yusnan (Marine Officer)
Audit trails and sources of evidence:			
Internal Audit, Management Review, Corrective Actions (customer complaints, CAR raised during recent IQA), Data Analysis & Continual Improvements pertaining to selected theme surveillance, Client Feedback/Communication, Preventive Action			
Evaluation and conclusions:			
<p>'Jadual Perancangan Audit Dalaman MS ISO 9001:2000 Bagi Tahun 2008' and 'Jadual Audit Kualiti Dalaman' were established and it covered all port offices which are certified to ISO 9001. Notification of internal audit was prepared by individual team leader. Port offices as scheduled in Feb 2008 were successfully audited. 'Laporan Audit Kualiti Dalaman' and 'Laporan Ketakakuran' were available</p> <p>Observations during internal audit (recorded in Laporan Ketakakuran) raised during internal audit was remained open and not followed up– Refer to Minor NC0804CKF02 for details.</p> <p>Minutes of last management review held on 16 March 07 was available in Malaysia Marine Department website (JALIN system) and hard copy was kept at local office. The management review of year 2008 had yet to carry out and it is planned on 5 May 08.</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 to good.</p> <p>There was no customer complaint reported to date</p> <p>There was no preventive action initiated since the last visit.</p> <p>Data pertaining to examination (oral) of certificate of competency (CoC) for various grades of deck and engine conducted by IPL were summarised monthly. Data were analysed and presented in table format. continual improvement action were discussed.</p>			



Assessment of:	Ibu Pejabat Laut, Port Klang – Examination of CoC	Auditee(s):	Zaili (Marine Officer)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">Examination for Certificate of Competency (CoC) conducted for year 2007 and 2008Procedure PT-HEPP-08, Issue 1, Revision 0			
Evaluation and conclusions:			
<ul style="list-style-type: none">Conduct of examination for CoC was remained unchange and carried out according to local procedure.A total of 244 and 175 oral examinations were conducted for deck and engine respectively for 4th quarter 2007 whilst 333 and 192 were conducted for 1st quarter 2008. The significant increase in examination conducted was resulted by (a) recruitment of about 10 examiners between year 2007 to now, (b) establishment of application check list which had accelerated time taken in processing and approval of applications.			

Assessment of:	Ibu Pejabat Laut, Port Klang – Seaman Certification: CoC	Auditee(s):	Zaili (Marine Officer) Yoges (Administration Assistant)
Audit trails and sources of evidence:			
<ul style="list-style-type: none">CoC received and processed by IPL, Port Klang for the periods Sept 07 to March 08Procedure PT-HEPP-08, Issue 1, Revision 0CoC Examination Timetable Year 2008 – Deck and CoC Examination Timetable Year 2008 – EngineRelevant records includes Application for examiner for certificate of competency (JL/HEPP/B/09/Pin.1/02), oral examination paper, scorecard, 'Keputusan Peperiksaan Dan Pengesahan Pemeriksa', Results of Examination.			
Evaluation and conclusions:			
<ul style="list-style-type: none">Application forms and supporting documents for certificate of competency (COC) were processed by Ibu Pejabat Jabatan Laut Semenanjung Malaysia located at Port KlangProcedures involved in oral examination of CoC covered examination timetable preparation, receive, process and approve application, conduct of examination and notification of examination result were remained unchange and it was carried out according to local procedure.CoC oral examination timetable was shown on website and it is accessible by public. Examination date and venue was communicated to candidate. Result of Examination was issued to candidate upon completion of examination.Oral examination of CoC is conducted in other regional port offices – RC0804CKF03 for details.			



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	'Laporan Audit Dalamana' was not distributed to local office as required under procedure PK-WPK-01, revision '1' clause 6.3.4.	Commented on 14 Nov 07 No evidence that necessary action was taken. Upgraded to Minor NC. Commented on 18 Dec 07 Corrective actions were taken and found satisfactorily	internal audit – Kuala Perlis	09 Apr 07	0704CKF01	8.2.2
RC	Closed	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).	Commented on 14 Nov 07 No evidence that necessary action was taken. Upgraded to Minor NC Commented on 18 Dec 07 Corrective action was taken and found acceptable	document control – Kuala Perlis	09 Apr 07	0704CKF02	4.2.3
RC	Closed	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.	Commented on 14 Nov 07 No evidence that necessary action was taken. Upgraded to Minor NC Commented on 18 Dec 07 Organisation chart had been updated.	organisation chart - Kuah office	10 Apr 07	0704CKF03	5.5.1
RC	Closed	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.	Commented on 14 Nov 07 No evidence that necessary action was taken. Upgraded to Minor NC Commented on 18 Dec 07 Applications were send to IPL and Borang Penyerahan was sighted.	seaman document - Kuah office	10 Apr 07	0704CKF04	5.4.1
Minor NC	Closed	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.	Commented on 14 Nov 07 Laporan Ketakakuran 1/3, 2/3 and 3/3 were remained open as corrective actions had yet to follow up and closed out. Commented on 18 Dec 07 Corrective actions had been followed up and Laporan Ketakakuran closed out	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. 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
RC	Closed	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.	Both organisation chart and 'senarai tugas' were updated.	Staff responsibility & authority- Sg. Udang office	14 Nov 07	0711CKF01	5.5.1
RC	Closed	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.	Monthly objective Performance data were monitored since Nov 2007 onwards	quality objective monitoring - Sg. Udang office	14 Nov 07	0711CKF02	5.4.1
Minor NC	Closed	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.	Necessary actions have been taken and addressed LRQA findings	crew sign on / sign off - Sg. Udang office	14 Nov 07	0711CKF03	8.2.3
RC	Closed	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	Official letter was send out to ALAM (Maritime Training Institute) to notify requirement for modular course registration and approval by Jabatan Laut.	Modular course registration - Sg. Udang office	14 Nov 07	0711CKF04	7.1, 8.2.3

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Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
RC	Closed	'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'.	The latest format was used for application from Tideway Alliance Sdn. Bhd. (COR: 027994)	Record Revision Control – Port Dickson office	14 Nov 07	0711CKF05	4.2.4
Minor NC	Closed	No record pertaining to actual performance data monitoring for 'Management of dredging activity'. There are 2 quality objectives set for this Unit.	Dredging planned versus completed and budget allocation for the periods Jan - Dec 2007 were reported	quality objective monitoring	15 Nov 07	0711CKF06	5.4.1
RC	Closed	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.	IPL, Jab Laut Wilayah Utara and Jab Laut Wilayah Persekutuan Labuan were audited on 27-30 Nov 07, 13-14 Nov, 31 Oct - 1 Nov 07 respectively.	internal audit schedule	15 Nov 07	0711CKF07	8.2.2
RC	Closed	'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.	'Penyata Laporan Kerja Pelampung Pandu' was sighted.	Maintenance record of buoy	15 Nov 07	0711CKF08	6.3
RC	New	Muhammad Taufan Anugerah (seaman card: 200724003961) was not longer work onboard vessel Soon Hing 87 (Official No: 325648) at the time of renewal . However, old crew agreement was not signed off before new Crew Agreement (No: 3052) was issued out by Sandakan Port Office on 1 Feb 2008. Neither cover letter nor Changes To List of Crew (JL/HEPP/D/02) from applicant was available. Further investigation revealed crew sign-off was updated into JALIN system.		Crew sign-on / sign-off (Sandakan Office)	09 Apr 08	0804CKF01	7.5.1 (a)

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Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
Minor NC	New	<p>a) Three and five Observations ('Laporan Ketakakuran') were raised during internal audit held on 27 Feb 08 and 28 Feb 08 at Tawau and Sandakan Port Office respectively had yet to follow up. Corrective action and follow up section of 'Laporan Ketakakuran' was not filled up at the time of the audit.</p> <p>b) Corrective action ('Tindakan Pembetulan') was not recorded into 'Laporan Ketakakuran' raised during internal audit e.g. Wilayah Utara (3 findings raised on 13 Nov 07), Wilayah Tengah (7 findings raised on 26-27 Feb 08), Unit Bantuan Pelayaran, IPL (4 findings raised on 12 Mar 08), etc. 'Laporan Ketakakuran' were not followed up and closed out timely. ISO 9001:2000, clause 8.2.2 required the organisation to ensure that necessary corrective actions are taken without undue delay to eliminate detected non-conformity and their root cause.</p>		Internal audit (Sandakan, Tawau, Wilayah Utara, IPL)	09 Apr 08	0804CKF02	8.2.2
RC	New	<p>a) Oral examination of CoC was also carried out in other port offices nationwide as stated in 'Lampiran 7' of PT-HEPP-08. However, it is contradicted with procedure PT-HEPP-08 issue 1 clause 6.3 stated that oral examination is carried out at IPL.</p> <p>b) List of Examiners – deck and engine as shown at 'Lampiran 3' of PT-HEPP-08 was not updated. Few new examiners were recruited in year 2007.</p>		Examination of CoC (IPL)	10 Apr 08	0804CKF03	7.5.1

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



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"> • Corrective action • Preventive action and system planning • Use of LRQA logo and other marks • Customer feedback and complaints
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	SV 1	SV 2	SV 3	SV 4	SV 5		Certificate renewal
Visit type >							
Due date >	Apr 07	Oct 07	Apr 08	Oct 08	Apr 09		Oct 09
Start date >	9 Apr 07	13-15 Nov 07	8-10 Apr 2008	TBC			TBC
End date >	11 Apr 07						
Assessor days >	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)							



		SV 1	SV 2	SV 3	SV 4	SV 5		Certificate renewal
Visit type >								
Due date >		Apr 07	Oct 07	Apr 08	Oct 08	Apr 09		Oct 09
Start date >		9 Apr 07	13-15	8-10 Apr	TBC			TBC
End date >		11 Apr 07	Nov 07	2008				
Assessor days >		3	3	3	3	3		8
Process / aspect								
Final selection will be determined after review of management elements and actual performance								
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)				X				
Seamen Certification (Tawau)				X				

Next visit details

Visit type	SV 4				
Assessor days	3	Due date	Oct 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
SV 3 8-10 Apr 08	Target achieved and management decided to close out.	99% of 503 applications (Oct – dec 07) 100% of 952 applications (Jan-Mar 08)	Nil	Closed



6. Visit theme selection

Visit type:	SV 3		
Due date (yy-mm):	08-04	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>	



7. Visit theme selection

Visit type:	SV 4		
Due date (yy-mm):	08-10	Location:	Lumut → Penang (Georgetown) → Wilayah Tengah, Port Klang
Actual date:	To be confirmed	Team:	To be assigned
Duration:	3 mandays		
Selected theme(s) (include reasons for theme selection)		Processes	
<p>1) To increase the delivery time for issuance of Certificate of Registry from 7 working days to 5 working days.</p> <p>2) To improve the procedure of ISM audit.</p> <p>The management wish to provide better to applicant / company</p> <p>Note: 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>a) Review Issuance of Registry Certificate procedure (before & after)</p> <p>b) Data analysis and continual improvement pertaining to time taken for issuance of Registry Certificate</p> <p>c) Review of ISM audit procedure (before & after)</p> <p>d) Data analysis and continual improvement pertaining to ISM audit</p>	

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

Baseline information				
1. Improvement objective reference number:		CI-0804-01	Date first recorded: 10 April 08	
2. What is to be improved?	3. Baseline performance		4. Target performance	5. Target completion date
Issuance of Modular Course Certificate	92.42% as at Mar 08		Issuance certificate within 7 working days after course completed	31 Dec 2009
Progress information				
6. Visit type and date	7. Progress summary	8. Current performance	9. Findings log cross reference (if applicable)	10. Status