

## Surveillance (SV 4)

Report for:

**Jabatan Laut Semenanjung Malaysia**

<b>LRQA reference:</b>	KLR 0403591/ 0035
<b>Assessment dates:</b>	16-18 December 2008
<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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Attachments

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

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## 1. Executive report

<b>Assessment outcome:</b>
Processes related to theme surveillance at headquarters (IPL) and seamen certification & ship registration at selected Regional Port Offices were successfully assessed. No Major / Minor non conformities (NC) except few require correction (RC) were raised basing on sampling and record evidences sighted.  The company demonstrated management system satisfying the requirements of ISO 9001:2000.
<b>Recommended for continued certification to ISO 9001:2000 standard.</b>
<b>System effectiveness and continual improvement:</b>
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.
<b>Areas for management attention:</b>
<ul style="list-style-type: none"><li>When specific theme is chosen, the relevant department should prepare processes related to theme as shown under 'Visit Theme Selection' for LRQA audit</li></ul> 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) Lumut Port Office, Perak – seamen certification
- b) Wilayah Utara - Penang Port office - seaman certification and Gelugor Port Office - ship registration
- c) Head Office and Wilayah Tengah at Port Klang – areas shown at Visit Theme Selection".

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

### Day 01: Lumut Port Office, Perak

<b>Assessment of:</b>	Lumut Port Office: <ul style="list-style-type: none"><li>• Organisation &amp; Management Responsibility</li><li>• Business Activities</li></ul>	<b>Auditee(s):</b>	Mohd. Hafiz (Marine Officer, Northern Region) Mohd. Syukri (Asst. Marine Officer)
<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 Lumut Port Office is headed by Mohd. Syukri and 1 staff involved in seaman certification activities. Crew sign on / sign off and official log book were captured manually as local office is not able to JALIN system</li><li>• Organisation chart and staff 'File Meja' (responsibilities, authority and competency) were up-to-date.</li><li>• A copy of the quality policy was displayed at front office and it was understood by the staff.</li><li>• 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. Check sheet was sent out to HEPP of headquarters monthly.</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, verification of modular course attendance, receive application of certificate of competency (CoC) and certificate of recognition (CoR).</li></ul>			



<b>Assessment of:</b>	Lumut 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>	Mohd. Hafiz (Marine Officer, Northern Region) Mohd. Syukri (Asst. Marine Officer)
<b>Audit trails and sources of evidence:</b>			
Internal audit carried out on 28 Feb 08, management review held on 5 May 08, control of ISO documents / records			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• Seamen certification applications and related activities were audited by 2 internal auditors from other port office on date as shown on notification issued by Lead Auditor. A total of 1 minor NC and 3 Observations (as recorded in 'Laporan Ketakakuran') were raised. Necessary corrective actions were initiated by local port office. All findings were satisfactorily closed out. 'Laporan Audit Dalaman' and 'Laporan Ketakakuran' were available at local office</li><li>• Minutes of last management review was available in Malaysia Marine Department website (JALIN system) and hard copy was kept at local office. The management review of year 2008 had covered all necessary agendas.</li><li>• A copy of quality manual and all relevant procedures were distributed to the local port office and it carried copy number 17. ISO documents were up-to-date.</li><li>• 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.</li></ul>			



<b>Assessment of:</b>	Lumut Port Office: Seamen Certification	<b>Auditee(s):</b>	Aishah Binti Mat Daud (Admin. Asst.) Mohd. Syukri (Asst. Marine Officer)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>Records related to Seamen Cards received since Jan 2008 onwards covered local and foreign seafarers</li><li>Crew Agreement &amp; Official Log book / Change to List of Crews</li><li>Reviewed procedures PT-HEPP-02, PT-HEPP-04, PT-HEPP-05; PT-HEPP-06, PT-HEPP-07</li><li>Customer satisfaction / complaints</li></ul>			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>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.</li><li><b>It was noted that Crew Agreement and Official Log Book of previous applications yet to send to headquarters as required under procedure PT-HEPP-06 Issue 1, clause 6.1.9 – See Assessment Finding Log, Ref: RC 0812CKF01.</b></li><li>Application form, supporting documents of seamen document and seamen record book were returned together with "Borang Penyerahan" to Ibu Pejabat Laut of Semenanjung Malaysia (HEPP) upon completion. 'Borang Penyerahan' were satisfactorily maintained.</li><li>Customer feedback / complaint forms were placed at front counter. Customer satisfaction feedback received by Local port office were analysed and reported in Head of Department of Northern Region meeting minutes monthly.</li></ul>			



<b>Assessment of:</b>	Lumut Port Office: Seamen Certification (-Cont.-)	<b>Auditee(s):</b>	Aishah Binti Mat Daud (Admin. Asst.) Mohd. Syukri (Asst. Marine Officer)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>• Application of Certificate of Competency and supporting documents for new certificate, certificate replacement due to lost / damage, watchkeeping rating certificate, revalidation of certificate upon expiry, equivalent certificate, conversion of certificate for government seaman and endorsement of STCW</li><li>• Application of Certificate of Recognition and supporting documents for new certificate, renewal and illegible/ lost</li><li>• Issuance of modular course STCW 95 certificate</li><li>• PT-HEPP-02 and PT-HEPP-08; PT-HEPP-04, PT-HEPP-09</li></ul>			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• 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'.</li><li>• 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.</li><li>• Asst Marine Officer had carried out unannounced check on participant attendance upon receiving of notification of commencement of modular course from local Training Institution. Evidence of Asst Marine Officer for unannounced check was shown on "Borang Pemeriksaan Senarai Peserta Kursus"</li></ul>			

## Day 02: Wilayah Utara Port Office, Penang



<b>Assessment of:</b>	Wilayah Utara Port Office - Penang: <ul style="list-style-type: none"> <li>• Organisation &amp; Management Responsibility</li> <li>• Business Activities</li> </ul>	<b>Auditee(s):</b>	Roslan Ismail (Asst. Marine Officer) Nor Hayati (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 local Port Office is headed by Mr. Roslan and 6 staff involved in seaman certification activities. This office is selected to implement pilot project of SDP 1 system since Sept 2006. As informed by auditee, local office is not able to key in application details of crew agreement, crew sign on / sign off and official log book. However, this issue is expected to be resolved when SDP 2 go live in March 09.</li> <li>• 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'.</li> <li>• The latest quality policy was displayed at front office and it was understood by the staff.</li> <li>• Local port office has used the check sheet provided by head office (IPL) monitoring and performance data of seaman certification activities monthly.</li> </ul> <p>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).</p>			

<b>Assessment of:</b>	Wilayah Utara Port Office- Penang: <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>	Nor Hayati (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
Records of Internal audit carried out on 25 Nov 08, management review held on 5 May 08 , 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 2 internal auditors from other port office as shown on memorandum. A total of 2 observations during internal audit (recorded in Laporan Ketakakuran) were raised. Necessary actions have been taken and closed out. A copy of 'Laporan Audit Dalaman' and 'Laporan Ketakakuran' were satisfactorily maintained at local office</li> <li>• Management review was held at IPL, Port Klang. Director of Northern Region had participated said meeting and necessary agendas were discussed. Management review minutes was saved in Malaysia Marine Department website (JALIN system) and hard copy was kept at local office.</li> <li>• A copy of quality manual and all relevant procedures were distributed to the local port office and it carried copy number 14. 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>	Wilayah Utara Port Office - Penang: Seamen Certification	<b>Auditee(s):</b>	Nor Hayati (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>• Records related to Seamen Cards received since Jan 2008 onwards covered local and foreign seafarers</li><li>• Crew Agreement &amp; Official Log book / Change to List of Crews</li><li>• Issuance of modular course STCW 95 certificate</li><li>• PT-HEPP-02 and PT-HEPP-08; PT-HEPP-04, PT-HEPP-09</li><li>• Customer satisfaction / complaints</li></ul>			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• 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 "SDP 1 / Maklumat Pelaut" centralized computer system. SMART card was issued to local seafarer since Sept 2006.</li><li>• Seamen Document and 'Seamen Identity Document for Foreigner' were issued to foreign seafarers when application found acceptable. Seaman's Record Book was issued to local seafarer when application is compliance with requirements. Traceability of issuance of seaman document / SMART card and seaman's record book was sighted on 'Buku Rekod Penyerahan'.</li><li>• 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) had been sent to IPL, Port Klang at the time of LRQA audit.</li><li>• Asst Marine Officer had carried out unannounced check on participant attendance upon receiving of notification of commencement of modular course from local Maritime Training Institution. Evidence of Asst Marine Officer for unannounced check was shown on "Borang Pemeriksaan Senarai Peserta Kursus"</li><li>• 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.</li><li>• Customer feedback / complaint forms were placed at front counter. Customer satisfaction feedback received by Local port office were analysed and reported in Head of Department of Northern Region meeting minutes monthly. The local port office had taken necessary action against area of concern highlighted by some customers. Generally customer satisfaction feedback shown positive.</li></ul>			



<b>Assessment of:</b>	Wilayah Utara Port Office - Penang: Seamen Certification (-Cont.-)	<b>Auditee(s):</b>	Nor Hayati Bin Musa (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>• Application of Certificate of Competency and supporting documents for new certificate, certificate replacement due to lost / damage, watchkeeping rating certificate, revalidation of certificate upon expiry, equivalent certificate, conversion of certificate for government seaman and endorsement of STCW</li><li>• Application of Certificate of Recognition and supporting documents for new certificate, renewal and illegible/ lost</li><li>• Relevant procedures PT-HEPP-02 and PT-HEPP-08; PT-HEPP-04, PT-HEPP-09</li></ul>			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• 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 SDP system as stipulated in PT-HEPP-02, issue 1, clause 6.1.4. There was evidence that local port office had notified candidate about examination date &amp; venue and Acknowledgement of receipt of CoC by applicant was sighted on 'Borang Penyerahan Perakuan Kekompetenan'.</li><li>• 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'. <b>It was noted that 'For Office Use' section on 'Borang Penerimaan Perakuan Pengiktirafan' was not updated when Master / Representative return back photostat copy of CoR – See Assessment Finding Log, Ref: RC0812CKF02 for details.</b></li></ul>			



<b>Assessment of:</b>	Wilayah Utara Port Office - Gelugor: Ship Registration	<b>Auditee(s):</b>	Omar Bin Abdul Karim (Senior Admin. Asst.) Nor Hayati Bin Ismail (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
Reviewed the application for Name of Ship and Ship Registration for compliance with requirements and ship registration procedure PT-BKI-01 and PT-BKI-02;			
<b>Evaluation and conclusions:</b>			
<p>Application for Name of Ship sighted. Application verified against check list and necessary supporting documents, viz., Builder Certificate (for new built) or Bill of Sales (for existing ship), Form 49 (Companies Act 1965), Form 9 (Companies Act 1965), Form 24 (Return of Allotment of Share), Memorandum and Articles of Association were submitted. Proposed ship name verified to ensure compliance of name, validity and that same name has not been registered. Ship and owner's particulars were keyed into JALIN system after acceptance.</p> <p>Ship surveyor either from Ibu Pejabat Laut or local port office had inspected Carving And Marking Note of the ship. Survey Check List was filled by the attending surveyor. "Certificate of Approved Name" was printed out by local port office after approved by IPL. "Certificate of Malaysian Registry - Provisional" with a validity of 6 months issued by Regional Port Office. International Tonnage Certificate and International Load Line Certificate received from applicant were sighted. Builder Certificate (for new built) or Bill of Sales (for existing ship, Deletion Certificate (from previous registry) and Customer Declaration Form 1 (if applicable) submitted. "Nota Ukiran dan Penandaan Kapal" issued upon carving and marking of ship name. Carving and Marking Note (Survey Check List) sighted. Details and Certificate of Survey issued are entered into the JALIN system. The particulars are recorded in the "Buku Pendaftaran". Permanent "Certificate of Malaysian Registry" issued with call sign (optional).</p> <p>The actual time taken for ship registration were monitored and reported in "Jadual Laporan Bulanan Sistem Pendaftaran Kapal" monthly. This quality objective target was consistently achieved for the periods Jan 08 onwards.</p>			

### Day 03: Ibu Pejabat Laut (Headquarters) & Wilayah Tengah

<b>Assessment of:</b>	Outstanding Issue	<b>Auditee(s):</b>	Yusnan (Marine Officer)
<b>Audit trails and sources of evidence:</b>			
Outstanding issue raised in previous visit.			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>Corrective actions were taken and it addressed outstanding findings. Refer to Assessment Findings Log for details.</li></ul>			



<b>Assessment of:</b>	Ibu Pejabat Laut, Port Klang - Management System Elements	<b>Auditee(s):</b>	Yusnan (Marine Officer)
<b>Audit trails and sources of evidence:</b>			
Records of Internal Audit carried out on June and Nov 08, Management Review held on 5 May 08, Corrective Actions (customer complaints, CAR raised during recent IQA), Data Analysis & Continual Improvements pertaining to selected theme surveillance, Client Feedback/Communication, Preventive Action, Use of logo / other marks			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• '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 and it had been distributed to relevant Port offices prior to the IQA. as scheduled in Feb 2008 were successfully audited. 'Laporan Audit Kualiti Dalaman' and 'Laporan Ketakakuran' were available</li><li>• <b>Findings (so called Laporan Ketakakuran) raised to Kuala Perlis Port office (1 minor NC &amp; 3 Observations), Kuah (2 minor NC &amp; 2 Observations), Bintulu port office (4 Obs) and Miri (3 out of 5 Obs.) during internal audit held on 10 Mar, 11 Mar, 21 May and 22 May 08 respectively were remained open and not followed up – See Assessment Finding Log, Ref: RC0812CKF03 for details.</b></li><li>• Top management (Director General), regional directors (except eastern region), QMR and Secretariat had attended management review meeting. All necessary agendas included quality objectives quarterly performance. Minutes of last management review was available in Malaysia Marine Department website (JALIN system) and hard copy was kept at local office.</li><li>• 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 monthly were tabulated. Rating of customer feedback was generally found to be satisfactorily to good. <b>Noticed that there was no customer satisfaction feedback obtained by Aids to Navigations and Hydrographic Unit (dredging) – See Assessment Finding Log, Ref: RC0812CKF04 for details.</b></li><li>• There was no customer complaint reported to date.</li><li>• There was no preventive action initiated since the last visit.</li><li>• Data pertaining to quality objectives performance of individual Units were summarised monthly / quarterly. Data were analysed and presented in table format. Continual improvement action were discussed.</li><li>• Usage of LRQA /UKAS logo on company stationery and company website were found in order.</li></ul>			



<b>Assessment of:</b>	Wilayah Tengah: Theme 1: To reduce the delivery time for issuance of Certificate of Registry from 7 working days to 5 working days.	<b>Auditee(s):</b>	Adam Bin Ali (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>Review Issuance of Registry Certificate procedure (before &amp; after); PT-BKI-01</li><li>Data analysis and continual improvement pertaining to time taken for issuance of Registry Certificate</li></ul>			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>There was no major change to procedure of ship registration process since 4 June 2007. There was discussion concerning computerisation of "Certificate of Malaysian Registry" which currently is carried out manually. The management had reduced delivery time to 5 working days as a step to increase efficiency of this department</li><li>Delivery time of issuance of certificate of registry (permanent) were monitored and recorded into Issuance Record Book. <b>The average delivery time for issuance of certificate of registry per ship was 1.2 working days for Nov 08. The management should revise target of quality objective – See Assessment Finding Log, Ref: SFI0812CKF05 for details.</b></li></ul>			

<b>Assessment of:</b>	Wilayah Tengah: Theme 2: To improve the procedure of ISM audit	<b>Auditee(s):</b>	Sukhbir Singh (Marine Officer)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>Review of ISM audit procedure (before &amp; after); reviewed initial audit done for Billion Charisma (M) Sdn. Bhd. (IPL 6062-FI) and Asetanian Marine Pte. Ltd. (</li><li>Data analysis and continual improvement pertaining to ISM audit</li></ul>			



### Evaluation and conclusions:

- Currently, Marine Department of Malaysia had issued out Document of Compliance (DoC) to 90 shipping companies located in east and west Malaysia and overseas. Periodical audit was carried out annually and compliance with International Safety Management (ISM) Code 2002 Edition – Part B: and Periodical Verification, paragraph 13.4.
- Basically, there is no further change to procedure related to ISM audit. As told by auditee, there was slight change to actual practice when scheduled audit is postponed. Previously, in the event that scheduled audit is not able to be carried out, the attending auditor will liaise directly with company to fix for next audit date. This practice had been changed with effect from April 08 in which attending auditor needs to notify Planner in case postponement of scheduled audit. The Planner will liaise with client to fix next audit date. **Change of practice for notification about postponement of scheduled ISM audit with effect from 1 April 08 was not reflected in procedure PT-BKI-XX – See Assessment Finding Log, Ref: RC0812CKF06 for details.**
- The JLS responsible for verifying compliance with the requirements of the ISM Code and issuing DoC to Companies. Notification and confirmation of annual verification / initial audit was noted carried out and found in order. Audit was carried out according to audit plan. Audit discrepancy was graded according to magnitude of issue against ISM Code. Attending Auditor had follow-up on corrective action initiated by company. For new certification, Interim certificate was issued to company upon Major / Minor CAR raised during document review was closed out. Initial Audit was carried out to verify compliance of implementation against ISM Code requirements. A standard Audit Check List (for document review) and Audit Notes (for Initial audit) completed by auditors were maintained. DoC Audit Report was submitted to and verified by Marine Industrial Control Department Director.
- Document of Compliance was signed by Marine dept Director General. A copy was retained at office. Original DoC returned by certificate holder was endorsed upon satisfactorily closing of Minor / Major NC after each annual verification.
- Data analysis related to ISM audit were sighted and found satisfactorily.



### 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.	<a href="#">Commented on 14 Nov 07</a> No evidence that necessary action was taken. Upgraded to Minor NC. <a href="#">Commented on 18 Dec 07</a> Corrective actions were taken and found satisfactory	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).	<a href="#">Commented on 14 Nov 07</a> No evidence that necessary action was taken. Upgraded to Minor NC <a href="#">Commented on 18 Dec 07</a> 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.	<a href="#">Commented on 14 Nov 07</a> No evidence that necessary action was taken. Upgraded to Minor NC <a href="#">Commented on 18 Dec 07</a> 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.	<a href="#">Commented on 14 Nov 07</a> No evidence that necessary action was taken. Upgraded to Minor NC <a href="#">Commented on 18 Dec 07</a> Applications were send to IPL and Borang Penyerahan was sighted.	seaman document - Kuah office	10 Apr 07	0704CKF04	5.4.1
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

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	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
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
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	Closed	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.	Record evidences sighted.	Crew sign-on / sign-off (Sandakan Office)	09 Apr 08	0804CKF01	7.5.1 (a)
RC	Closed	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. 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.	a) Process owner had clarified the findings via email sent out to Marine Officer on 4 Dec 2008. Oral examination is conducted at regional port office only b) List of Examiners had been updated.	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. 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	New	Crew Agreement and Official Log Book of previous applications e.g. Low Kim Chuan (Official No: 329138), Bongawan No. 8 (No: 332503), etc. have yet to send to headquarters at the time of LRQA audit. Above documents together with 'Borang Penyerahan' need to send to HEPP headquarters upon completion of application as it is required under procedure PT-HEPP-06 Issue 1, clause 6.1.9. Auditee said IT Department at headquarter with the aids of consultant is developing new SDP 2 system which would enable local port office to key applicant particulars of crew agreement and official log book into SDP 2 system. As told, SDP 2 will go live in March 2009.		Official Log book ( Lumut Port Office)	16 Dec 08	0812CKF01	4.2.4
RC	New	Penang port office - yet to complete 'For Office Use' section and return 'Borang Penerimaan Perakuan Pengiktirafan (Lampiran 4)' back to HEPP of IPL for recording purpose as stated under "Nota Kerja". Affected applications e.g. Pilihan Firdaus Ginting (No. Perakuan: 007256E11), Gotman (No: 007261E111), etc. It was also noted that requirement for local port office to complete "For Office Use" section and return of 'Borang Penerimaan Perakuan Pengiktirafan (Lampiran 4)' back to HEPP of IPL for recording was not stated in HEPP-04, issue 1, issue 2. Further investigation revealed that the management had modified 'Borang Penerimaan Perakuan Pengiktirafan (Lampiran 4)' and removed out certificate holder's signature (page 2), also clause 6.3.3 of HEPP-04 a couple of years ago.		certificate of recognition (Penang port office)	17 Dec 08	0812CKF02	8.2.3
RC	New	Internal audit finding raised to Kuala Perlis Port office (1 minor NC & 3 Observations), Kuah (2 minor NC & 2 Observations), Bintulu port office (4 Obs) and Miri (3 out of 5 Obs.) during internal audit held on 10 Mar, 11 Mar, 21 May and 22 May 08 respectively were remained open. No evidence that corrective actions were proposed / followed up		corrective action (Laporan Ketakakuran) ( IPL)	18 Dec 08	0812CKF03	8.5.2
RC	New	Noticed that there was no customer satisfaction feedback obtained by Aids to Navigations and Hydrographic Unit (dredging). As required by ISO 9001:2000 clause 8.2.1, respective Unit / Department need to determine customer perception on individual services. Respective Unit has to follow up with customer in the event there was no response to customer satisfaction survey.		Customer satisfaction feedback ( IPL)	18 Dec 08	0812CKF04	8.2.1

1. Grading of the finding *	2. New, Open, Closed	3. Description of the LRQA finding	4. Review by LRQA	5. Process, aspect, department or theme
6. Date of the finding	7. YMM<Initials>seq.#	8. Clause of the applicable standard		
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Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
SFI	New	It was noted that actual delivery time for issuance of certificate of registry for ship was 1.2 working days for Nov 08. The management should consider to revise the current quality objective target set at 7 working days which is more meaningful for continual improvement process.		Certificate of registry- ( Wilayah Tengah)	18 Dec 08	0812CKF05	8.5.1
RC	New	Change of practice for notification about postponement of scheduled ISM audit with effect from 1 April 08 was not reflected in procedure PT-BKI-XX. LRQA Assessor will follow up again in next audit.		ISM Code Audit ( IPL)	18 Dec 08	0812CKF06	8.2.4

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6. Date of the finding	7. YYMM<Initials>seq.#	8. Clause of the applicable standard		
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## 4. Closed Findings - ISO 9001:2000

Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
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.	<a href="#">Commented on 14 Nov 07</a> <a href="#">Laporan Ketakakuran 1/3, 2/3 and 3/3 were remained open as corrective actions had yet to follow up and closed out.</a> <a href="#">Commented on 18 Dec 07</a> <a href="#">Corrective actions had been followed up and Laporan Ketakakuran closed out</a>	corrective action	11 Apr 07	0704CKF05	8.5.2
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 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.	<a href="#">Necessary actions have been taken and addressed LRQA findings</a>	crew sign on / sign off - Sg. Udang office	14 Nov 07	0711CKF03	8.2.3
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.	<a href="#">Dredging planned versus completed and budget allocation for the periods Jan - Dec 2007 were reported</a>	quality objective monitoring	15 Nov 07	0711CKF06	5.4.1

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
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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	Closed	<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>	<p>a) Laporan Ketakakuran had been closed out</p> <p>b) Corrective actions were proposed, implemented and recorded.</p>	Internal audit (Sandakan, Tawau, Wilayah Utara, IPL)	09 Apr 08	0804CKF02	8.2.2

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## 5. 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>• Corrective action</li> <li>• Preventive action and system planning</li> <li>• Use of LRQA logo and other marks</li> <li>• Customer feedback and complaints</li> </ul>
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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	8-10 Apr	16-18	TBC		TBC
End date >	11 Apr 07	Nov 07	2008	Dec 2008			
Assessor days >	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)		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)				X			
Seamen Certification (JL Wilayah Utara)				X			
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	16-18	TBC		TBC
End date >		11 Apr 07	Nov 07	2008	Dec 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 5				
Assessor days	3	Due date	April 2009	Actual start / end dates	TBC
Locations	Bintulu → Miri → 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).					

## 6. 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 <a href="#">Extend to April 08</a>
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
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



## 7. Visit theme selection

<b>Visit type:</b>	<b>SV 3</b>		
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><a href="#">Increase examination frequency for Certificate of Competency (CoC).</a></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 &amp; gas industry.</p> <p><b>Note:</b></p> <p>Theme is applied to IPL (headquarters) only.</p>		<p><a href="#">Management System Elements</a></p> <p>Internal Audit, Management Review, Quality objectives performance Corrective action included customer complaint Preventive action</p> <p><a href="#">Areas Related to Theme</a></p> <p>Data analysis and continual improvement pertaining to examination conducted and CoC issued out Seaman certification: CoC</p>	





## 8. Visit theme selection

<b>Visit type:</b>	<b>SV 4</b>		
Due date (yy-mm):	08-10	Location:	Lumut → Penang (Georgetown) → Wilayah Tengah, Port Klang
Actual date:	16-18 Dec 2008	Team:	Ir. Chong Kam Fook
Duration:	3 mandays		
Selected theme(s) (include reasons for theme selection)		Processes	
<p>1) To reduce 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><b>Note:</b> Theme is applied to IPL (headquarters) and Wilayah Tengah (Port Klang) only.</p>		<p><u>Management System Elements</u></p> <p>Internal Audit, Management Review, Quality objectives performance Corrective action included customer complaint Preventive action Use of logo / other marks</p> <p><u>Areas Related to Theme</u></p> <p>a) Review Issuance of Registry Certificate procedure (before &amp; 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 &amp; after)</p> <p>d) Data analysis and continual improvement pertaining to ISM audit</p>	

## 9. 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
SV 4 0812	Causes of non achievement were identified and recorded in 3 <sup>rd</sup> quarter 2008 quality objective performance report. The organisation had given authority to 'Akademik Laut Malaysia (ALAM)' to print out modular course certificate upon approval from IPL with effect from mid Oct 08. Improvement in term achievement of target was sighted in Nov 08.	2 <sup>nd</sup> quarter 08 : 85.76% 3 <sup>rd</sup> quarter 08: 88.41%	Nil	Open



## 10. Visit theme selection

<b>Visit type:</b>	<b>SV 5</b>		
Due date (yy-mm):	09-04	Location:	Bintulu, Miri, Port Klang
Actual date:		Team:	
Duration:	3 mandays		
Selected theme(s) (include reasons for theme selection)		Processes	
<p>1) Improving corrective action undertaking and follow-up / close out for Internal audit findings (Laporan Ketakakuran)</p> <p>2) Improving customer satisfaction feedback for all activities within ISO 9001 scopes</p> <p><u>Reasons:</u></p> <p>Top management concern about above areas as it was highlighted by LRQA Assessor during closing meeting</p> <p><b>Note:</b></p> <p>Theme is applied to IPL (headquarters) and Wilayah Tengah (Port Klang) only.</p>		<p><u>Bintulu &amp; Miri Port Offices</u></p> <p>Seamen certification</p> <p><u>Essential Indicators</u></p> <p>Organisation / Staff responsibility</p> <p>Quality policy / objectives performance</p> <p>Corrective action included customer complaint</p> <p>Preventive action</p> <p>Data analysis &amp; continual improvement</p> <p>Change to legislative issue</p> <p><u>Areas Related to Theme</u></p> <ol style="list-style-type: none"> <li>1. Review of corrective action proposal, implementation and follow up / close out processes for IQA findings</li> <li>2. Data analysis on times taken for CAR close out (Year 2007 – 2008) and continual improvement</li> <li>3. Review customer satisfaction survey processes: distribution, follow up, data compilation for each Unit / Department</li> <li>4. Data analysis of Customer satisfaction responses of each Units.</li> </ol>	