

# Certificate Renewal Planning

Report for:

## Jabatan Laut Semenanjung Malaysia

<b>LRQA reference:</b>	KLR 0403591/ 0036
<b>Assessment dates:</b>	15-17 June 2009
<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>	Kuala Lumpur



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<b>Attachments</b>

<b>This report was presented to and accepted by:</b>	
Name:	Mr. Baharin Dato' Abd. Hamid
Job title:	Deputy Director 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. This organisation QMS is satisfactorily maintained throughout certification periods.

### Areas for management attention:

- Corrective action undertaking process of some Internal audit Findings (so called "Laporan Ketakakuran") was slow (Raised in March 09 but it is remain 'open')
- Some auditee did not take immediate corrective action to address LRQA findings as such said LRQA findings are remain 'open'

[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 and Visit Theme Selection (SV 5) were covered. Management team had attended opening and closing meeting.

Areas covered in this visit were as follows:

- a) Bintulu Port Office, Sarawak – seamen certification
- b) Miri Port office - seaman certification
- c) Head Office and Wilayah Tengah at Port Klang – areas shown at Visit Theme Selection.

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

### Day 01: Bintulu Port Office, Sarawak

<b>Assessment of:</b>	Bintulu Port Office: <ul style="list-style-type: none"><li>• Organisation &amp; Management Responsibility</li><li>• Business Activities</li></ul>	<b>Auditee(s):</b>	Yusuf Bin Kali (Senior Admin. Asst) Lydia Clayra (Admin. Asst) Sylvester (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>• Organisation chart, staff responsibilities and reporting, quality policy and objectives, business activities</li><li>• Relevant records: “Borang II – Pemantauan Objektif Kualiti Berpusat”</li></ul>			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• The Bintulu Port Office is headed by Yusuf Bin Kali and 2 staff involved in seaman certification activities. Crew sign on / sign off and official log book were captured into SDP 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>• Current set of quality objectives are not applicable to the local port office. However, the local port office does monitor actual performance of time taken from receiving seamen certification activities and it was recorded into formats provided by IPL, Port Klang.</li><li>• Local port office processes application of seamen certification which included seamen registration, management of seamen service (crew agreement and article sign on / sign off), official ship logbook, receive application of certificate of competency (CoC) and certificate of recognition (CoR).</li></ul>			



<b>Assessment of:</b>	Bintulu 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>	Yusuf Bin Kali (Senior Admin. Asst) Lydia Clayra (Admin. Asst) Sylvester (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>Internal audit carried out on 30 April 09 and related records: "Laporan Audit Kualiti Dalam", "Laporan Ketakakuran", "Senarai Kehadiran", "Jadual Audit" dated 30 Mar 09</li><li>Management review held on 11 May 09, control of ISO 9001 documents / records</li></ul>			
<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. No major / minor NC except 2 Observations (as recorded in 'Laporan Ketakakuran') were raised. Necessary corrective actions were initiated by local port office and findings were satisfactorily closed out. <b>'Laporan Audit Dalam' and 'Laporan Ketakakuran' were available at local office – See Assessment Finding Log, Ref: RC 0906CKF01.</b></li><li>Minutes of last management review was available in hard copy. However, electronic copy yet to place in Malaysia Marine Department website (JALIN system). A representative (Marine Officer) from Marine Department of Sarawak, Kuching had attended above management review. The management review of year 2009 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 28. ISO 9001 documents relevant to local port office business activities were available in hard copy.</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>	Bintulu Port Office: Seamen Certification	<b>Auditee(s):</b>	Yusuf Bin Kali (Senior Admin. Asst) Lydia Clayra (Admin. Asst) Sylvester (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 seafarers (Seaman No: 200113000458, 200913003784) and foreign seafarer ( 200324019474 and 200524002804), Seaman's Record Book (200313016361)</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 feedback received for the periods 24-27 Mar 09, customer complaint</li><li>Related records: Notification of receipt of Borang Penyerahan", "Borang Penyerahan" and seaman documents,</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>Crew Agreement and Official Log Book of previous applications had returned to headquarters at the time of LRQA audit. "Borang Penyerahan" and Notification letter of receipt of seaman document were maintained in local office</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>Local port office have received 6 customer feedbacks in March 09. Customer satisfaction / complaint form for seaman affairs and port division were placed at front counter. Customer satisfaction feedback received by Local port office were analysed adequately. Overall, customer satisfaction was rated from satisfactorily to very satisfactorily.</li><li>There was no customer complaint reported.</li></ul>			



<b>Assessment of:</b>	Bintulu Port Office: Seamen Certification (-Cont.-)	<b>Auditee(s):</b>	Yusuf Bin Kali (Senior Admin. Asst) Lydia Clayra (Admin. Asst) Sylvester (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>• Application of Certificate of Competency (CoC) 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 (CoR) 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</li><li>• Verified application of CoC (certificate no: 006274, 006092) and CoR (certificate no: 013381)</li><li>• Related records: "Senarai Semak Permohonan Kekompetenan Bahangian Dek", "Senarai Semak Permohonan Kekompetenan Bahangian Injin", "Senarai Semak Permohonan Peperiksaan Perakuan Kekompetenan (Dek)", "Senarai Semak Permohonan Peperiksaan Perakuan Kekompetenan (Injin)"</li></ul>			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• <b>Application of CoC and CoR were checked with the aids of checklist as established by IPL – See Assessment Finding Log, Ref: SFI0906CKF02 for details.</b></li><li>• Application form of CoC and its supporting documents were send to Ibu Pejabat Laut, Port Klang for further processing. Details of application 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. CoC was issued to applicant only whilst CoR could be issued to either applicant or authorised shipping agent.</li></ul>			

## Day 02: Miri Port Office, Sarawak



<b>Assessment of:</b>	Miri Port Office: <ul style="list-style-type: none"><li>• Organisation &amp; Management Responsibility</li><li>• Business Activities</li></ul>	<b>Auditee(s):</b>	Marzuki Bin Salleh ((Asst. Marine Officer) Razlan Bin Abdullah (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>• Organisation chart, staff responsibilities and reporting, quality policy and objectives, business activities</li><li>• Relevant records: "Borang II – Pemantauan Objektif Kualiti Berpusat"</li></ul>			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• The Miri Port Office is headed by Marzuki Bin Salleh and 3 staff involved in seaman certification activities. Crew sign on / sign off and official log book were captured into SDP 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>• <b>Quality objectives are not monitored by the local port office since Jan 09 due to manpower shortage – See Assessment Finding Log, Ref: RC0906CKF03 for details.</b></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>	Miri 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>	Marzuki Bin Salleh ((Asst. Marine Officer) Razlan Bin Abdullah (Admin. Asst.)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>• Internal audit carried out on 29 April 09 and related records: "Laporan Audit Kualiti Dalam", "Laporan Ketakakuran", "Senarai Kehadiran", "Jadual Audit" dated 30 Mar 09</li><li>• Management review held on 11 May 09, control of ISO 9001 documents / records</li></ul>			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>• Seamen certification applications and related activities (management system elements) were audited by 2 internal auditors from other port office on date as shown on notification issued by Lead Auditor. No major / minor NC except 5 Observations (as recorded in 'Laporan Ketakakuran') were raised. Necessary corrective actions were initiated against 3 findings and it was satisfactorily closed out as at 6 May 09.</li><li>• Minutes of management review was available in hard copy. However, electronic copy yet to place in Malaysia Marine Department website (JALIN system). A representative (Marine Officer) from Marine Department of Sarawak, Kuching had attended above management review. The management review of year 2009 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 29. ISO 9001 documents relevant to local port office business activities were available in hard copy.</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>	Miri Port Office: Seamen Certification	<b>Auditee(s):</b>	Marzuki Bin Salleh ((Asst. Marine Officer) Razlan Bin Abdullah (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 seafarers (Seaman No: 200974003061, 200974003062) and foreign seafarer ( Seafarer No: 200974003063 and 200974003064), Seaman's Record Book (200601002926)</li><li>Crew Agreement &amp; Official Log book of M.V.Thailine 5 (Official No: 329453) and M.V. Shinline 9 (Official No: 329315); Change to List of Crews of M.V.Bima Lima (Official No: 329744</li><li>Modular course: STCW 95 Basic Safety Training (18-22 May 09)</li><li>Reviewed procedures PT-HEPP-02, PT-HEPP-04, PT-HEPP-05; PT-HEPP-06, PT-HEPP-07</li><li>Customer satisfaction feedback received in April 09, customer complaint</li><li>Related records: Notification of receipt of Borang Penyerahan", "Borang Penyerahan" and seaman documents,</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>Crew Agreement and Official Log Book of previous applications had returned to headquarters at the time of LRQA audit. "Borang Penyerahan" and Notification letter of receipt of seaman document were maintained in local office</li><li>Modular course was conducted by SriBima Training Center. Staff in-charge had carried out unannounced check on participant attendance during commencement of modular course. Course attendance was updated into JALIN. Modular course certificates were printed out by local port office upon approval by IPL and it was collected by the Training Institute.</li><li>Application form, supporting documents of seamen document and seamen record book were returned together with "Borang Penyerahan" to Ibu Pejabat Laut (IPL) of Semenanjung Malaysia (HEPP) upon completion. 'Borang Penyerahan' were satisfactorily maintained.</li><li>Miri port office has received 15 customer feedbacks in April 09. Customer satisfaction / complaint form for seaman affairs and port division were placed at front counter and it is accessible by customers. Customer satisfaction feedback received by Local port office were analysed adequately. Continual improvement action was proposed for area of concerns as highlighted by individual customer. Overall, customer satisfaction was rated from satisfactorily to very satisfactorily.</li><li>There was no customer complaint reported.</li></ul>			



<b>Assessment of:</b>	Miri Port Office: Seamen Certification (-Cont.-)	<b>Auditee(s):</b>	Marzuki Bin Salleh ((Asst. Marine Officer) Razlan Bin Abdullah (Admin. Asst.)
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#### **Audit trails and sources of evidence:**

- Application of Certificate of Competency (CoC) 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
- Application of Certificate of Recognition (CoR) and supporting documents for new certificate, renewal and illegible/ lost
- Issuance of modular course STCW 95 certificate
- PT-HEPP-02 and PT-HEPP-08; PT-HEPP-04
- Verified application of CoC (certificate no: 006327, 10350) and CoR (new application but yet to send out to IPL, SDP ref. no: 091408 and 091418)
- Related records: "Senarai Semak Permohonan Kekompetenan Bahagian Dek", "Senarai Semak Permohonan Kekompetenan Bahagian Injin", "Senarai Semak Permohonan Peperiksaan Perakuan Kekompetenan (Dek)", "Senarai Semak Permohonan Peperiksaan Perakuan Kekompetenan (Injin)"

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

- **Application of CoC and CoR were checked against Checklist as established by IPL – See Assessment Finding Log, Ref: SFI0906CKF02 for details.** Local port office checked application of CoC and CoR with the aids of checklist as established by IPL. The checklists are blur as it was duplicated many times. It will be good to place said checklist in JALIN.
- Application form of CoC and its supporting documents were send to Ibu Pejabat Laut, Port Klang for further processing. Details of application 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. CoC was issued to applicant only whilst CoR could be issued to either applicant or authorised shipping agent.

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



<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 except RC0812CKF02, RC0812CKF03 and RC0812CKF04 were remained 'open' (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) Mohd. Nazam (Asst. Technician) Shuhaimi (Marine Officer)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>Organisation / Staff responsibility</li><li>Quality policy / objectives performance for Aids to navigations, "Hal Ehwal Pelaut &amp; Pelabuhan", Hydrographic Unit (dredging), Internal Safety Management (ISM) and Ship Registration</li><li>Corrective action: Internal audit Findings (so called "Laporan Ketakakuran") raised to Kuala Perlis Port office (3 minor NC &amp; 2 Observations), Kuah (2 minor NC &amp; 3 Observations), Bintulu port office (2 Obs.), Labuan (4 Obs.), Miri (5 Obs.); IPL (Aids to navigations: 3 minor NC &amp; 2 Obs., seaman certification: 3 Obs.; ship registration); customer complaint</li><li>Preventive action</li><li>Change to legislative issue</li></ul>			



### Evaluation and conclusions:

- No significant changes to the quality management system (QMS) except that the quality manual has been revised according to ISO 9001:2008 standard however, new quality manual is still in draft copy. 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. Selected staff (about 100) attended ISO9001:2008 awareness course on 30 & 31 March 2009.
- There was no further change to company organisation chart and staff reporting. Company organisation chart is shown in the quality manual and it reflected current organisation structure. Staff responsibility were stated in individual 'Fail Meja'
- The current Quality Policy and target of quality objective were remained unchanged. Quality objective performance were consistently monitored. Actual performance data were consolidated quarterly. Most of the quality objectives were close to target. **One of quality objectives of Hydrography (Dredging) i.e. related to customer satisfaction was not available – See Assessment Finding Log, Ref: RC0906CKF05 for details.**
- Internal audit Findings (so called "Laporan Ketakakuran") 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 and not followed up. There was no customer complaint reported to date.
- There was no preventive action initiated since the last visit.
- 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.
- There was no further change to statutory and regulatory requirements. There was no legislative issue reported since last visit.

<b>Assessment of:</b>	<b>Ibu Pejabat Laut:</b> <b>Theme 1:</b> Improving corrective action undertaking and follow-up / close out for Internal audit findings (Laporan Ketakakuran)	<b>Auditee(s):</b>	Yusnan (Marine Officer) Mohd. Nazam (Asst. Technician) Shuhaimi (Marine Officer)
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### Audit trails and sources of evidence:

- Review of corrective action proposal, implementation and follow up / close out processes for IQA findings of Internal audit Findings (so called "Laporan Ketakakuran") raised to Kuala Perlis Port office (3 minor NC & 2 Observations), Kuah (2 minor NC & 3 Observations), Bintulu port office (2 Obs.), Labuan (4 Obs.), Miri (5 Obs.); IPL (Aids to navigations: 3 minor NC & 2 Obs., seaman certification: 3 Obs.)
- Data analysis on times taken for CAR close out (Year 2007 – 2008) and continual improvement

### Evaluation and conclusions:

- As usual, audit team leader reported 'Laporan Ketakakuran' raised of internal audit. A copy of 'Laporan Ketakakuran' was given to auditee. Investigation of root cause and proposed corrective action were carried out. **It was noted that corrective action undertaking process of some Internal audit Findings (so called "Laporan Ketakakuran") was slow – See Assessment Finding Log, Ref: Minor NC0906CKF04 for details.**



<b>Assessment of:</b>	<b>Ibu Pejabat Laut:</b> <b>Theme 2:</b> Improving customer satisfaction feedback for all activities within ISO 9001 scopes	<b>Auditee(s):</b>	Yusnan (Marine Officer) Mohd. Nazam (Asst. Technician) Shuhaimi (Marine Officer) Mohd. Nazam (Asst. Technician)
<b>Audit trails and sources of evidence:</b>			
<ul style="list-style-type: none"><li>Review customer satisfaction survey processes: distribution, follow up, data compilation for for Aids to navigation, "Hal Ehwal Pelaut &amp; Pelabuhan", Hydrographic Unit (dredging), Internal Safety Management (ISM) and Ship Registration</li><li>Data analysis of Customer satisfaction responses of each Units.</li></ul>			
<b>Evaluation and conclusions:</b>			
<ul style="list-style-type: none"><li>Currently, Marine Department of Malaysia had distributed out Customer satisfaction feedback / complaint forms to obtain feedback of its seamen certification (consists of seamen registration, crew sign on / sign off, on-line port clearance, CoC, CoR, CoC examination, modular course certificates issuance), ship registration, Issuance of DoC of ISM code and aids to navigations. Rating of customer feedback was generally found to be satisfactorily to good. <b>Hydrographic Unit (dredging) yet to carry out customer satisfaction feedback / survey – See Assessment Finding Log, Ref: RC0906CKF05 for details.</b></li><li>Data analysis related to customer satisfaction were carried out at defined interval and it was found satisfactorily.</li></ul>			



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

Grade 1	Status 2	Finding 3	Corrective action review 4	Process / aspect 5	Date 6	Reference 7	Clause 8
RC	Closed	'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	Closed	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.	Said application and supporting documents were sent to IPL via Borang Penyerahan dated 27 Apr 09.	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	Open	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	"Laporan Ketakakuran" for Kuala Perlis Port Office remained not sighted. LRQA Assessor will follow up again.	corrective action (Laporan Ketakakuran) (IPL)	18 Dec 08	0812CKF03	8.5.2
RC	Open	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 obtained by Aids to Navigations for year 2008 and Jan-May 09 were sighted. However, as reported in memo prepared by Mohd. Nazam Sulaiman, there was no customer complaint reported to Hydrography Unit (Dredging) in Apr and May 09.	Customer satisfaction feedback (IPL)	18 Dec 08	0812CKF04	8.2.1

1. Grading of the finding \*

6. Date of the finding

\* Major NC = Major nonconformity

2. New, Open, Closed

7. YMM<Initials>seq.#

Minor NC = Minor nonconformity

3. Description of the LRQA finding

8. Clause of the applicable standard

RC = Requires correction

4. Review by LRQA

SFI = Scope for improvement

5. Process, aspect, department or theme

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
SFI	Closed	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.	There was no further revision to original target.	Certificate of registry- (Wilayah Tengah)	18 Dec 08	0812CKF05	8.5.1
RC	Closed	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.	Handling of change of scheduled audit was addressed in Procedure (PT-BKI-14 Revision '0')	ISM Code Audit (IPL)	18 Dec 08	0812CKF06	8.2.4
RC	New	Certain management system element e.g. organisation chart & staff responsibility, internal audit, management review, corrective action, preventive action, use of LRQA / UKAS logo, etc) were not specifically recorded in "Laporan Audit Kualiti Dalam". Evidence in the form of written report is required to demonstrate that Internal Auditors have looked into all areas as stated in notification letter sent out by IPL on 30 Mar 09.		Internal audit (Bintulu Port Office)	15 Jun 09	0906CKF01	8.2.2
SFI	New	Local port office checked application of CoC and CoR with the aids of checklist as established by IPL. The checklists are blur as it was duplicated many times. It will be good to place said checklist in JALIN hence it is easily downloaded by regional port office.		CoC, CoR (Bintulu and Miri Port Offices)	15 Jun 09	0906CKF02	4.2.4
RC	New	It was noted that the Miri Port Office had stopped monitoring actual performance related to seamen certification activities since Jan 2009. "Borang II – Pemantauan Objektif Kualiti Berpusat" as provided by IPL, Port Klang for recording of quality objective performance are available in Miri Port Office. As informed by the audtee, Miri Port Office is short-handed.		Quality objective (Miri Port Office)	16 Jun 09	0906CKF03	5.4.1
Minor NC	New	It was noted that Internal audit Findings (so called "Laporan Ketakakuran") raised to HEPP, IPL (3 Observations raised on 24 Mar 09) and Kuah Port Office (2 minor NC & 3 Observations) are remained open and there are no corrective action proposed since issue date. As required by ISO 9001:2000 clause 8.2.2 stated that the management shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes.		Corrective action (IPL)	17 Jun 09	0906CKF04	8.5.2
RC	New	It was noted that Hydrographic Unit yet to determine customer perception on its dredging services. This Unit does not has its own individual customer satisfaction feedback / survey form as such they only monitor customer complaint ("aduan") at the moment. There was no customer complaint reported to date.		Customer satisfaction (IPL)	17 Jun 09	0906CKF05	8.2.1

1. Grading of the finding \*

6. Date of the finding

2. New, Open, Closed

7. YMM<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

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xLRQA = Issue for follow-up by LRQA at next visit



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		
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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

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



## 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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Visit type >		SV 1	SV 2	SV 3	SV 4	SV 5		Certificate renewal
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	15-17		TBC
End date >		11 Apr 07	Nov 07	2008	Dec 2008	June 09		
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)								



Visit type >		SV 1	SV 2	SV 3	SV 4	SV 5		Certificate renewal
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	16-18 Dec 2008	15-17 June 09		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 (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

Next visit details					
Visit type	Certificate Renewal 3				
Assessor days	8	Due date	Oct 2009	Actual start / end dates	TBC
Locations	Pasir Gudang, Wilayah Selatan, PTP, Sarikei, Sibu, Muara Tebas, Kuching, Malaysia				
Activity codes	8040, 6322				
Team	To be assigned				
Criteria	ISO 9001:2000				
Remarks and instructions					
Please refer to "Assessment Plan" for details of next visit.					

## 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
SV 5 0906	<ul style="list-style-type: none"><li>The management had authorised regional port officer to approve and issue modular course certificate to Training Institute with effect from 1 June 2009. Letter was issued to Regional Directors on 5 May 09</li><li>HEPP Unit will continue to monitor performance until target completion date.</li></ul>	4 <sup>th</sup> quarter 08: 93.76% 1 <sup>st</sup> quarter 09: 98.06% 2 <sup>nd</sup> quarter 09: 97.05%	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		
<b>Selected theme(s) (include reasons for theme selection)</b>		<b>Processes</b>	
<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>	



## 11. Assessment plan

<b>Assessment type</b> <b>Initial / Re-certification / Change to Approval</b>	<b>Assessment criteria</b> <b>ISO 9001:2008</b>	
<b>Assessment team</b> <b>Ir. Chong Kam Fook (Team Leader)</b> <b>Dr. Ooi Cheng Lee</b>	<b>Assessment dates</b> <b>Oct 09</b>	<b>Issue date</b> <b>17 June 09</b>

### Assessment Scope:

Provision of Seamen Certification and Ship Registration. Operations of Navigational Aids System. Issuance of Document of Compliance (DoC) of ISM Code. Conduct of Hydrographic Survey. Management of Dredging Works. (Details of other sites are given CIF (Multisite) (Total 27 sites inclusive headquarters))

(Day 1)

10:00	Introductory meeting with management to explain the scope of the visit, assessment methodology, method of reporting and to discuss the company's organisation (approximately 30 minutes). The Team Leader will agree a time to meet with top management to discuss policy and objectives for the management system.		
	LRQA team briefing for a team of two or more assessors or (experts).		
	Ir. Chong Kam Fook (Team Leader)		Dr. Ooi Cheng Lee
Guide:	Pejabat Pelabuhan Pasir Gudang:	11:00	Jabatan Laut Sarikei
	• Seamen certification	Guide:	• Seamen Certification
1:00	Lunch.	1:00	Lunch.
2:00	Jabatan Laut Wilayah Selatan:	2:00	Pejabat Pelabuhan Sibu
	• seamen certification		• Seamen Certification
	Report writing.		Report writing.
5:00	Close.		Close.

(Day 2)

9:00	Review of findings from previous day. Review of the assessment plan for the day.		
Guide:	Pejabat Pelabuhan PTP:	9:00	Jabatan Laut Muara Tebas:
	• Seamen certification		• Seamen Certification
1:00	Lunch		Lunch
2:00			Jabatan Pelabuhan Kuching:
			• Ship Registration
	Report writing.		Report writing.
5:00	Close		Close



(Day 3)

9:00	Review of findings from previous day. Review of the assessment plan for the day.			
Guide:	Ibu Pejabat Laut Semenanjung Malaysia, Port Klang	9:30	Jabatan Laut Wilayah Tengah:	
	<ul style="list-style-type: none"><li>• Review outstanding LRQA findings</li><li>• Organisation / management responsibility</li><li>• Internal audit</li><li>• Management review</li><li>• Corrective action</li><li>• Preventive action</li><li>• Data analysis &amp; continual improvement</li><li>• Review QMS documents against requirements introduced in ISO 9001:2008</li></ul>	Guide:	<ul style="list-style-type: none"><li>• Ship Registration</li><li>• Seamen Certification</li></ul>	
1:00	Lunch		Lunch	
	Ibu Pejabat Laut Semenanjung Malaysia, Port Klang		Ibu Pejabat Laut Semenanjung Malaysia, Port Klang	
	<ul style="list-style-type: none"><li>• Usage of Logos</li><li>• Customer satisfaction</li><li>• Document &amp; records control &amp; Bilik File</li></ul>		<ul style="list-style-type: none"><li>• Human resource management</li><li>• Infrastructure (MIS) &amp; work environment</li></ul>	
	Report writing.		Report writing.	
5:00	Close		Close	

(Day 4 )

9:00	Review of findings from previous day. Review of the assessment plan for the day.			
	Discussion of all outstanding issues from previous visits.			
Guide:	Ibu Pejabat Laut Semenanjung Malaysia, Port Klang	Guide:	Ibu Pejabat Laut Semenanjung Malaysia, Port Klang:	
	<ul style="list-style-type: none"><li>• Issuance of DoC of ISM codes</li><li>• Conduct of Hydrographic Survey</li><li>• Mgmt. of Dredging Work</li></ul>		<ul style="list-style-type: none"><li>• Seamen certification</li><li>• Navigational Aids System</li></ul>	
1:00	Lunch		Lunch	



2:00	Ibu Pejabat Laut Semenanjung Malaysia, Port Klang	<ul style="list-style-type: none"><li>• Ship Registration</li></ul>
	<ul style="list-style-type: none"><li>• Purchasing (goods &amp; services)</li></ul>	
	Review of day's findings	Review of day's findings
	Preparation of final report	Preparation of final report
4:00	Closing meeting with management to present a summary of findings and recommendations.	