
	<p>HEALTH, SAFETY, ENVIRONMENT AND QUALITY MANAGEMENT SYSTEM</p> <p><b>8.0. EXTERNAL AUDIT OR INSPECTIONS PROCEDURES</b></p> <p>FLEET PROCEDURES MANUAL</p>	<p>Sect : 8.0  Page : 1 of 5  Date : 6-Aug-25  Rev : 10.2  Appr : DPA</p>
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## EXTERNAL AUDIT OR INSPECTIONS PROCEDURES

### 1. SCOPE

This procedure covers the external audits and inspections of the ship in respect of:

- a. Customer / Joint Venture Partner audits
- b. ISM audits / ISPS / MLC audits
- c. [Rightship<sup>1</sup>](#) inspections
- d. Port State Control
- e. Flag State
- f. Class
- g. P&I Inspections

### 2. CODES

ISM                      12.3; 12.5; 12.6

### 3. [VESSEL EXTERNAL AUDIT<sup>2</sup>](#): RESPONSIBILITY AND AUTHORITY

#### 3.1. Master

3.1.1. Is responsible for:

- a. Providing the auditor(s) with whatever assistance they may need to effect the audit.
- b. Ensuring staff/crew members are available for interview.
- c. Ensuring that audit or inspections is inputted into [CFM<sup>3</sup>](#), with all non-conformities, observations and deficiencies.


3.1.2. Has the authority to:

- a. Rearrange the sequence of the audit or part thereof, if it adversely impacts on the safe operation of the ship, or if it is causing any undue delay or disruption to cargo operations.
- b. Constructively challenge the findings of the auditor.

<sup>1</sup> W 08 / 2024

<sup>2</sup> W 40 / 2024

<sup>3</sup> W 03 / 2024

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### 3.2. Person Being Audited

3.2.1. Is responsible for:

- a. Being open and answering the auditors' questions fully.
- b. Obtaining necessary records as may be required by the auditor.
- c. Demonstrating knowledge of the SMS policies and procedures.

3.2.2. Has the authority to:

- a. Temporarily stop the audit interview should it adversely impact on the safety of operation or delay cargo work.

## 4. OFFICE EXTERNAL AUDIT: RESPONSIBILITY AND AUTHORITY

### 4.1. Marine Director<sup>4</sup>

Is responsible for ensuring the promptness and quality of the responses to the findings and for securing the approval of the CEO<sup>5</sup> of same.

### 4.2. Ship Manager

Is responsible for ensuring that, Port State, Flag State, Class, Customer/Joint Venture Partner audits or inspections for his vessel closed out. HSEQ Department is responsible for ensuring that Rightship Inspections<sup>6</sup> are valid. They are to work with the Ship Manager for scheduling the Rightship Inspections to ensure ships are not downgraded unnecessarily<sup>7</sup>.

### 4.3. HSEQ Manager

Is responsible for ensuring the close out of any corrective action arising out of ISO/ISM/ISPS/MLC Audit findings, and for arranging the audits.

### 4.4. Department Head

Is responsible for:


- a. Providing the auditor(s) with whatever assistance they may need to effect the audit.
- b. Ensuring staff/crew members are available for interview.

<sup>4</sup> W 08 / 2024

<sup>5</sup> W 08 / 2024

<sup>6</sup> W 08 / 2024

<sup>7</sup> W 08 / 2024

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Has the authority to:

- a. Rearrange the sequence of the audit or part thereof if it adversely impacts on the safe operation of the ship, or if it is causing any undue delay or disruption to cargo operations.
- b. Constructively challenge the findings of the auditor.

## 5. PROCEDURES

- 5.1. Whenever possible external audits will be arranged and scheduled to least disrupt the working of the Company or Ship. Notice will be given of the audit.
- 5.2. In the Office: Notice will be given of the audit and respective Department Heads/Masters are required to prepare for the audit to ensure that everything is in order to achieve best possible results.<sup>8</sup>  
Onboard: The Master is required to prepare for the audit to ensure that everything is in order to achieve best possible results. The Master should conduct his/her own pre-audit using the relevant audit questionnaires as a checklist to prepare.<sup>9</sup>
- 5.3. Full co-operation must be given to the external auditors to ensure a smooth audit. The audit programme should be adjusted to best suit the working of the Office or Ship and the Auditor. The programme should be sufficiently flexible to accommodate any changes that may be necessary because of work constraints. Upon completion of the questionnaire the SHEQ Manager / Master is to confirm the same in CFM<sup>10</sup>.
- 5.4. If there is any misunderstanding or disagreement with the audit findings, the Company representative<sup>11</sup> must resolve it by constructively and diplomatically challenge the Auditors findings. This must be done prior to acceptance of findings and NCR's, and before the Auditor leaves the office / ship.
- 5.5. The Master must advise the Company of the preliminary audit findings as soon as possible after completion of the audit. This is to be sent to the Ship Manager and DPA<sup>12</sup>.
- 5.6. Any corrective action arising out of the findings should be completed without delay and within time limits.
- 5.7. External Office Audit result: A written response commenting on all negative findings and stating the corrective actions to be taken will be given when necessary, on receipt of the formal audit findings. Before release the official Company response must be checked by


<sup>8</sup> W 40 / 2024

<sup>9</sup> W 40 / 2024

<sup>10</sup> W 03 / 2024

<sup>11</sup> W 40 / 2024

<sup>12</sup> W 09 / 2024

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the Marine Director<sup>13</sup>. The official company response is to be submitted as soon as possible but always within the permitted window period. The formal audit findings together with the official Company response shall be circulated to Management via e-mail.

## 6. VESSEL PORT STATE CLOSE OUTS

- 6.1. Every effort is to be made by the Master to close out any PSC finding before the vessel sails from that port.
- 6.2. If this is not possible, the Master is to advise the DPA once the deficiency has been closed out. It should not be left to be closed out by the next attending PSC inspector.
- 6.3. The DPA will discuss a plan of action with the vessel and Ship Manager, and once the issue is resolved, send a closure report to original PSC Authority after review with copy to vessel.
- 6.4. This is to be done within the time frame indicated by action code mentioned against the Deficiency. Closure of the deficiencies with evidence is to be kept along with PSC inspection report for future verification if required the PSC inspector.
- 6.5. All deficiencies are to be inputted into CFM<sup>14</sup> as non-compliances. The close out and approval thereof should also be reflected in CFM<sup>15</sup> with supporting documentary evidence of PSC approval attached to the Non-Compliance.
- 6.6. The Master is requested to review their vessel's PSC records and confirm to the DPA that all observations are closed out as per the procedure above.
- 6.7. The Master is to raise an NCR in the SMS for each deficiency raised. These are to be closed out by the DPA **BEFORE** close out with the Port State Regime.

<sup>13</sup> W 08 / 2024

<sup>14</sup> W 03 / 2024

<sup>15</sup> W 03 / 2024