



ISPO Internal Auditing Workshop

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What is an “Audit”?

A systematic and independent examination to determine whether activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.



Audit Objectives

Audits are normally designed for one or more of the following purposes:

- To determine the conformity or nonconformity of the management system elements with specified requirements
- To determine the effectiveness of the implemented management system in meeting specified management objectives
- To provide the auditee with an opportunity to improve the management system
- To meet regulatory requirements

Audit Types

- Internal
 - Management audit performed by a company upon its own systems
- External
 - Performed by a company on its' suppliers or subcontractors
- Extrinsic
 - Management audit performed by a customer or regulatory body

Audit Frequency

Audits should be conducted:

- At least once per year (max 12 months for ISPO)
- All areas/processes/departments and procedures
- Critical areas or areas of concern more frequently
- New processes or procedures



Auditing ISPO Standard

Let's look at the individual clauses of the ISPO Standard, and the expectations and evidence required to demonstrate conformity....



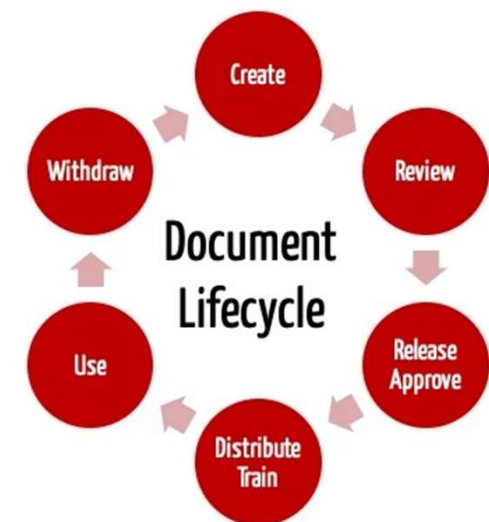
International Standard
for
Maritime Pilot Organizations

The Code

4. Document Requirements

Examples of objective evidence may include:

- Company documented procedures (internal and external)
- Correct status against declared status
- No obsolete documents
- Documents correctly stored/filed



5. Management Responsibility

Examples of objective evidence may include:

- Job descriptions and organogram
- Communication lines for DPA
- Evidence of top level involvement
- Evidence of health programme, including mental health
- DPA performance reports
- Requests for assistance or recommendations are fulfilled



6. Recruitment, Training.....

Examples of objective evidence may include:

- Verification of qualifications
- Medical certification
- Performance reviews
- Defined criteria for each seniority level
- Training seminars /refresher training



7. Pilot Operations

Examples of objective evidence may include:

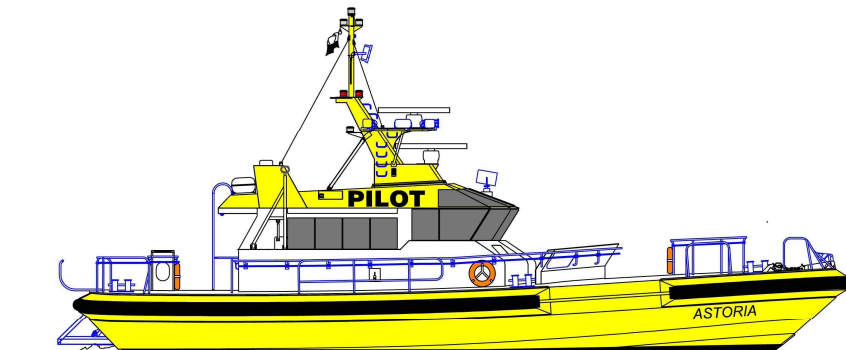
- Communication procedures
- Records of Master - Pilot information exchange
- Up to date passage plans
- PPU's up to date and personnel familiar with use
- Procedures and Risk Assessments for embark/disembark
- Criteria for aborting
- Mechanisms for reporting non-compliant arrangements



8. Logistic Operations

Examples of objective evidence may include:

- Pilot rota's and scheduling
- Transportation scheduling
- Maintenance and certification for launches



9. Emergency Preparedness

Examples of objective evidence may include:

- Company documented procedures
- Emergency response plans
- Training records
- Records of drills
- Records of shore response exercises



10. Customer Related....

Examples of objective evidence may include:

- Company documented procedures
- Pilotage terms of service
- Customer feedback and actions



11. Risk Management

Examples of objective evidence may include:

- Risk assessments
- Change management procedure and records
- Training records
- Records of reports and investigations
- Identification of root cause(s)
- Corrective action plans and reviews of effectiveness



12. Measurement and Analysis

Examples of objective evidence may include:

- Audit reports conducted by impartial personnel
- Internal vs. External results
- Audit schedules and dates
- Nonconformity tracking and close-out
- Records of management reviews
- Objectives, targets and action plans
- Policy reviews



Any other questions?



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