ISO 9001 / ISO 28000

ISM

Certification and audits

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ISO 9001 Fundamentals

- The process approach.
  - Emphasises the importance of:
    - Understanding and meeting requirements
    - Considering processes in terms of added value,
    - Obtaining the results of process performance and effectiveness
    - Continual improvement of processes based on objective measurement.

Plan – Do – Check – Act

- Plan-Do-Check-Act" (PDCA) can be applied to all processes. PDCA can be briefly described as follows.
- Plan: establish the objectives and processes necessary to deliver results in accordance with customer requirements and the organisation's policies.
- Do: implement the processes.
- Check: monitor and measure processes and product against policies, objectives and requirements for the product and report the results.
- Act: take actions to continually improve process performance.

Intent

- This International Standard specifies requirements for a quality management system where an organization;
- a) needs to demonstrate its ability to consistently provide product that meets customer and applicable statutory and regulatory requirements, and
- b) aims to enhance customer satisfaction through the effective application of the system, including processes for continual improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

ISM Fundamentals by Comparison

- **Objectives**
  - 1.2.1 The objectives of the Code are to ensure safety at sea, prevention of human injury or loss of life, and avoidance of damage to the environment, in particular, to the marine environment, and to property.
  - 1.2.2 Safety management objectives of the Company should, inter alia:
    - .1 provide for safe practices in ship operation and a safe working environment;
    - .2 assess all identified risks to its ships, personnel and the environment and establish appropriate safeguards; and
    - .3 continuously improve safety management skills of personnel ashore and aboard ships, including preparing for emergencies related both to safety and environmental protection.
  - 1.2.3 The safety and management system should ensure:
    - .1 compliance with mandatory rules and regulations; and
    - .2 that applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and maritime industry organizations are taken into account

ISM
FUNCTIONAL REQUIREMENTS

➢ 1.4 Functional requirements for a Safety Management System (SMS)

➢ Every Company should develop, implement and maintain a Safety Management System (SMS) which includes the following functional requirements:

- a safety and environmental protection policy;
- instructions and procedures to ensure safe operation of ships and protection of the environment in compliance with relevant international and flag State legislation;
- defined levels of authority and lines of communication between, and amongst, shore and shipboard personnel;
- procedures for reporting accidents and non-conformities with the provisions of this Code;
- procedures to prepare for and respond to emergency situations; and
- procedures for internal audits and management reviews.

ISO 9001-2008

- STRUCTURE;
  - A Policy Statement and Quality Objectives.
  - A Quality manual.
  - Documented procedures and Records,
  - Documents inclding records determined by the organisation to be necessary to ensure effective planning, operation, and control of processes.

Essential procedures
Document Control

- Document Control;
  - A documented procedure shall be established to define the controls needed
    - a) to approve documents for adequacy prior to issue,
    - b) to review and update as necessary and re-approve documents,
    - c) to ensure that changes and the current revision status of documents are identified,
    - d) to ensure that relevant versions of applicable documents are available at points of use,
    - e) to ensure that documents remain legible and readily identifiable,
    - f) to ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the quality management system are identified and their distribution con-trolled, and
    - g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

Essential procedures
Records Control

- 4.2.4 Control of records
- Records established to provide evidence of conformity to requirements and of the effective operation of the quality management system shall be controlled.
- The organization shall establish a documented procedure to define the controls needed for the identification, storage, protection, retrieval, retention and disposition of records.
- Records shall remain legible, readily identifiable and retrievable.

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Control of Monitoring and Measuring Equipment

- The organization shall determine the monitoring and measurement to be undertaken and the monitoring and measuring equipment needed to provide evidence of conformity of product to determined requirements. The organization shall establish processes to ensure that monitoring and measurement can be carried out and are carried out in a manner that is consistent with the monitoring and measurement requirements.

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Rectifying Non Conformities

- The organization shall take action to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the effects of the nonconformities encountered.
- A documented procedure shall be established to define requirements for
- a) reviewing nonconformities (including customer complaints),
- b) determining the causes of nonconformities,
- c) evaluating the need for action to ensure that nonconformities do not recur, d) determining and implementing action needed,
- e) records of the results of action taken (see 4.2.4), and
- f) reviewing the effectiveness of the corrective action taken.

Preventative actions

- The organization shall determine action to eliminate the causes of potential nonconformities in order to prevent their occurrence. Preventive actions shall be appropriate to the effects of the potential problems.
- A documented procedure shall be established to define requirements for
- a) determining potential non- conformities and their causes,
- b) evaluating the need for action to prevent occurrence of nonconformities,
- c) determining and implementing action needed,
- d) records of results of action taken (see 4.2.4), and
- e) reviewing the effectiveness of the preventive action taken.

The Audit Process

- Internal audits,
  - How often,?
  - By who?

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Audit Fundamentals

- Objective evidence.
- When does a deficiency become a non-conformity?

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