



**IRCA**

INTERNATIONAL  
REGISTER OF  
CERTIFICATED  
AUDITORS



Certification criteria for  
Auditing Maritime Safety Management  
Systems Training Course

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## **CONTENTS**

- 1. INTRODUCTION**
- 2. PRIOR KNOWLEDGE REQUIREMENT**
- 3. COURSE OBJECTIVES**
- 4. COURSE CONTENT**
- 5. COURSE DURATION**
- 6. TUTORS AND DELEGATES**
- 7. VARIATIONS**
- 8. DELEGATE ASSESSMENT AND EXAMINATION**
- 9. COURSE ADVERTISING AND PUBLICITY**

Many of the certification requirements common to all courses are detailed in Section 2. of IRCA/2000; *Approval Requirements for Organisations Providing Certificated Auditor Training*. These general course requirements are in addition to the requirements of IRCA/2008 and are mandatory. It is essential therefore, that applicants for certification for, and existing providers of the Auditing of Maritime Safety Management Systems course are familiar with the requirements of IRCA/2000.

**1. INTRODUCTION**

- 1.1. These criteria have been prepared by the International Register of Certificated Auditors (IRCA) in conjunction with The Nautical Institute, to assist approved Training Organisations seeking certification for an *Auditing Maritime Safety Management Systems* training course.
- 1.2. It is mandatory that the content, instruction and standards of presentation offered by any such course comply with the criteria detailed in this document.
- 1.3. In preparing these criteria IRCA has been aware of the requirement to identify the essential core elements involved in the auditing of Maritime Quality and Safety Management Systems. These elements shall be included in this course. However, Training Organisations may exercise flexibility in the choice of format of presentation and teaching methods, in devising team work and in teaching other additional and important skills such as communication, personal attributes and interview techniques, all of which give the opportunity for each Training Organisation to develop a course with individual characteristics.

**2. PRIOR KNOWLEDGE REQUIREMENT**

- 2.1. Prior to attending this training course it is recommended that delegates who intend to seek registration as a Maritime Auditor with IRCA should have successfully completed IRCA/145; *Auditor/Lead Auditor Training Course*, or alternatively, they shall have passed both IRCA/2001; *Foundation Course on the ISO9000 Series Standards*, or accepted equivalent, and IRCA/2002; *Auditing Skills Course* including the IRCA set examination.

**3. COURSE OBJECTIVES**

- 3.1. The primary objective of this training course is to instruct Maritime Auditors in the principles and practices of auditing for conformance with the International Management Code for the Safe Operation of Ships and for Pollution Prevention (abbreviated to International Safety Management (ISM) Code).
- 3.2. The learning objectives of the course shall be that, at the end of the course a successful delegate shall be able to:

- 3.2.1. Understand the scope and fields of application of the ISM Code and, where applicable, other criteria and standards against which an audit could be performed.
- 3.2.2. Identify the requirements of the ISM Code against which an audit is to be performed.
- 3.2.3. Explain the similarities between the ISM Code and the ISO 9000 series and identify any areas where one complements the other.
- 3.2.4. Describe the roles and responsibilities of Auditors and Lead Auditors.
- 3.2.5. Explain the rationale supporting the implementation of the ISM Code and state the implementation timescales.
- 3.2.6. Plan and prepare an audit to the requirements of the ISM Code with respect to the management of an organisation and the operation of a ship.
- 3.2.7. Distinguish between the process for the issue of a Document of Compliance (DOC) and the process for the issue of a Safety Management Certificate (SMC).

#### **4. COURSE CONTENT**

- 4.1. This course shall relate to the ISM Code, the ISO 9000 series and ISO 10011.
- 4.2. The course content must be structured to cover the following aspects of the ISM Code:
  - 4.2.1. The background and development of the ISM Code.
  - 4.2.2. The scope of the ISM Code, including the aims, objectives and terminology.
  - 4.2.3. The philosophy of the ISM Code for prevention of safety and environmental hazards through pro-active measures rather than by reaction to a problem.
  - 4.2.4. The requirements of the ISM Code for the documentation and operation of both a shore-based organisation and on board a ship, including:
    - a) Safety and Environmental policies.
    - b) Company management documentation (including procedures, plans, organisation charts, etc.).
    - c) Shipboard management documentation (including procedures, plans, organisation charts, etc.).
    - d) Job descriptions, including responsibilities and authorities.

- e) Document control systems.
  - f) Safety procedures.
  - g) Operational procedures (e.g. stability, passage planning, cargo handling procedures, etc.).
  - h) Contingency plans (on and offshore).
  - i) Closed loop reporting and feedback systems (accidents, hazards, non conformities, etc.).
  - j) Accident and failure analysis.
  - k) Management review.
  - l) Auditing.
  - m) Recruitment and training procedures (including safe manning, competence, training, induction, assessment of training needs, etc.).
  - n) Communications.
  - o) Safety, environmental and operational planning procedures.
  - p) Emergency preparedness and emergency response.
  - q) Maintenance systems.
  - r) Corrective and preventative actions.
- 4.2.5. Quality and safety planning and the use of risk analysis in the development of emergency response plans and contingency plans.
- 4.2.6. Audit planning, prosecution and reporting (including the need for confidentiality).
- 4.2.7. The role of organisations recognised by the Administration.
- 4.2.8. Accreditation to the ISM Code by third parties and the issue of a Document of Compliance (DOC) ashore, and a Safety Management Certificate (SMC) to a ship.
- 4.2.9. The current SOLAS training manual.

- 4.3. Coverage shall be given to the role of IRCA Registration Scheme, the modular approach to training and the requirements for individual registration. IRCA shall supply current material on request.
- 4.4. Additional information to comply with local needs shall be added by the Training Organisation. Details of this additional information shall be submitted to IRCA for verification and acceptance prior to inclusion.

## **5. COURSE DURATION**

- 5.1. The course shall be of at least 14 hours duration, over a minimum of 2 consecutive days. Factors relevant to calculating the duration are stated in IRCA/2000.
- 5.2. 50% plus or minus 10% of the formal hours shall be devoted to delegate participation, team work and simulation, which shall include relevant case studies involving an element of realism.
- 5.3. The team work and simulation shall be designed to provide coverage of the most important aspects of the ISM Code.
- 5.4. Planning, programme and time management discipline are essential elements in the performance of an audit. IRCA considers attention to the programme and adherence to timetables to be an important element in these training courses. Tutors shall set a good example to delegates and maintain good discipline and timekeeping throughout the course.
- 5.5. All delegates shall be in attendance for the full duration of the course. Poor timekeeping during any session shall be taken account of in the continuous assessment. Absence from more than 10% of the planned duration shall be a cause for failing the course.

## **6. TUTORS AND DELEGATES**

- 6.1. A course shall be run with a minimum of two Tutors, (except as defined below) both of whom shall be present throughout the course. At least one Tutor shall meet the requirements for a Lead Tutor as stated in IRCA/2000, and have maritime experience acceptable to IRCA.
- 6.2. Where the number of delegates is 4 to 9 inclusive, the course may be run with one Tutor. That Tutor shall satisfy the requirements for a Lead Tutor and have maritime experience acceptable to IRCA.
- 6.3. The number of delegates per course shall not exceed 20, nor be less than 4.

## **7. VARIATIONS.**

- 7.1. Variations to any of these criteria in respect of any special circumstances shall be considered for approval upon written submission by the Training Organisation to IRCA. Any such request shall be made immediately upon the reason for the variation request becoming apparent.

## **8. DELEGATE ASSESSMENT AND EXAMINATION.**

- 8.1. There are TWO independent elements in the assessment of delegates, both of which shall be satisfied if a delegate is to satisfactorily complete the course;
- 8.1.1. A written examination, which shall be one of the IRCA set papers (reference IRCA/146 latest revision).
- 8.1.2. A continuous assessment of the attitude and performance of the delegate. This shall relate directly to the course learning objectives (see clause 3.2) and timekeeping (see clause 5.5). Refer to IRCA/2000, Section 2. clause 6.
- 8.2. Delegates shall sit a written examination of two hours duration using one of the current issue of IRCA set papers. The examination paper has two sections.
- 8.3. All questions shall be attempted, candidates may score a maximum of 100 marks, and the pass mark is 70.
- 8.4. The Training Organisation may modify these examination papers as indicated below, but shall not change the structure of the paper:
- 8.4.1. Minor changes in the wording to reflect local language differences.
- 8.4.2. Replace questions and their solutions as indicated below:
- a) Section 1. is worth 20 marks. Five questions may be replaced by alternative questions, each worth 1 mark.
- b) Section 2. is worth 80 marks. Two questions may be replaced by alternative questions worth the same number of marks.
- 8.4.3. On replacing a question, the Training Organisation shall:
- a) Provide a solution and marking scheme for the alternative question.
- b) Send to IRCA the alternative question (clearly identifying the question which it is intended to replace) and its solution for approval prior to incorporation within the IRCA examination papers.

## **9. COURSE ADVERTISING & PUBLICITY**

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- 9.1. Advertising literature shall clearly state that successful completion of the course only fulfils part of the training requirement for IRCA registration as a Maritime auditor.