

CHAPTER 6

REPORTING & FILING ETC

6.1 Reporting & Quality Control Procedures (DOC & SMC)

Prior to the commencement of the audit the surveyor should retrieve the appropriate Audit file, either DOC (MS) or SMC (CM). In general DOC and SMC files are stored in either MCA QA Branch, HQ; in Marine Offices or at Central Registry.

DOC files are prefixed/ suffixed MS 166/004/XXX and SMC files CM XXXXX/48/01.

At the conclusion of the audit the following documents should have been added to the file MS Series file (DOC) or the CM Series file (SMC):-

- Application for Survey Form (MSF 5100)
- Any correspondence between MCA and Company
- Audit Plan
- Contemporaneous notes
- Audit Report
- Non-conformity Notes (if appropriate)
- Job Control Sheet
- Copy of DOC / SMC (Initial / Renewal Audits)
- Endorsed Copy of DOC / SMC (Annual / Intermediate Verifications)

On completion of the audit a copy of the audit report along with NCN's should be sent to the ISM/ISO Branch. Data will be extracted for the various databases, surveyor training records up-dated and the file archived. After closure of all non-conformities, the file should be sent to ISM/ISO branch in HQ for quality control purposes.

6.2 SIAS/SIRENAC

Before visiting a vessel, it is useful, though not essential, to obtain the latest SIAS/SIRENAC printouts. SIRENAC is the means by which deficiencies identified during ship inspections are recorded for Port State Control purposes. Non-conformities raised during the course of SMC audits are to be considered deficiencies in this context. Therefore, in addition to the Audit Report, Safety Management Certificate Audits must be reported to the Directorate of Maritime Operations (Survey & Inspection) on forms MSF 1602 and, when applicable, MSF 1603. Any non-conformity raised during the audit being listed on form MSF 1603. Detailed reporting on these forms is unnecessary: the non-conformity note(s) will provide all that is required. A statement as to the number and grade of non-conformities is sufficient.