



# SAFETY MANAGEMENT MANUAL

## 12.2 – Internal Audit Procedures

Originator:

Theophilus Moniz, III

Approved By:

Albert F. Suchy

### 1. Purpose

The purpose of this procedure is to set forth guidelines for conducting Internal Audits on the Safety Management System of Woods Hole Oceanographic Institution.

### 2. Scope

This procedure applies to all aspects of the Safety Management System.

### 3. Responsibility

The Designated Person is responsible for maintaining the Internal Audit schedule and notifying auditors of their scheduled time to audit. The Safety Management Representative will recommend the schedule to the Designated Person. Only individuals who have been trained to conduct internal audits will be assigned. Each auditor is responsible for following the procedure for auditing and providing the proper reports. When more than one auditor is assigned, one will be designated as the lead auditor. The lead auditor is responsible for the entire audit report.

### 4. Procedure

#### A. Audit Scheduling

1. An audit schedule shall be maintained to ensure that an internal audit of each unit (vessel or office) is conducted at intervals not exceeding twelve months. In exceptional circumstances, this interval may be exceeded by not more than three months.
2. This schedule shall be developed by the Safety Management Representative and approved by the Designated Person, and will indicate the tentative date of the audit, what unit will be audited, what elements of the ISM Code will be addressed, and the appointed auditor(s).
3. All auditors shall be independent of the area they are assigned to audit.

#### B. Audit Preparation

1. Prior to the audit, the auditor(s) shall review the pertinent sections of the Safety Management Manual, Common Procedures, the Vessel Procedures (if applicable), and any previous audit reports relevant to this unit. The Safety Management Representative shall have prepared an audit note book to be used to guide in the audit.
2. The note book shall include standard forms to record opening and closing meeting attendance, interviewee list and a checklist/auditor's notes.
3. The note book shall also include the unit's most recent management review from NS5 and the last internal audit report and last external audit report. All open Corrective Action Reports (CAR) will be included.



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4. The Safety Management Representative shall coordinate the schedule for the audit with the assigned auditor(s), with the Director of Ship Operations for the office or with the Master of the vessel to be audited. This coordination will ensure that the audit does not conflict with operational commitments of the unit being audited.
5. Any revisions to the schedule shall be reported to and approved by the Designated Person.

### C. Audit Execution

1. After a brief meeting with the Director of Operations or Master, the auditor shall:
  - a. conduct an opening meeting to outline the scope and objectives of the audit as well as the methods to be used for carrying out and reporting the audit.
  - b. established a schedule for a representative to be available in each area to be audited.
2. The audit shall be conducted with the minimum interruption of business. The auditor shall take adequate notes so that findings and observations may be accurately reported. The audit is intended to confirm the implementation of the Safety Management System and its effectiveness. Nonconformities and observations, and the evidence for them, shall be communicated orally to the auditee as they are established.
3. The auditor(s) must take the time to properly document the findings obtained during the audit. Notes made in the checklist/auditor's notes should support any observations or nonconformities determined.
4. Audit findings shall be recorded in NS5. The auditor shall complete the nonconformity section in NS5.
5. At the closing meeting, the auditor shall present all nonconformities and observations to the Director of Ship Operations or Master as applicable.

### D. Audit Report

1. It is the responsibility of the lead auditor to enter the audit report into the NS5 system.
2. The audit report shall include:
  - a. The list of nonconformities by number with a brief summary
  - b. All observations noted by the auditor
    - i. All nonconformities and observations shall specifically refer to the appropriate section of the ISM Code and/or SMM.
    - ii. All nonconformities and observations shall be numbered using the auto-number generation in NS5.



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5. The completed audit checklist and nonconformity reports shall become the supporting documentation for the Audit Report. It is considered an important tool in the formulation of the next audit.
6. The Audit Report and supporting documents shall be filed in the Safety Management System files maintained in the Port Office.
7. A formal audit report shall be submitted through NS5 within two weeks of the audit completion. This is the official record and must be completed.

### E. Follow-Up Action

1. All Nonconformities documented as a result of an Internal Audit shall be subject to tracking and follow-up activities in accordance with SMM 12.1

### 5. RECORDS

The audit checklists and audit reports are considered Safety Management System records and shall be retained and readily available for future audits.