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Rev.1 1996  
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## Procedure for Training and Qualification of ISM Code Auditors

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Notes:

1. This procedural requirement applies to all IACS Members and Associates. Reference to "IACS Members", "Member Societies", or "Societies" should be read as including IACS Associates.
2. The revisions introduced in Rev. 3 are to be implemented in training and qualification of auditors undertaken from 1 January 2001.

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## 1. REQUIREMENTS FOR TRAINING AND QUALIFICATION

### 1.1 General

This Procedural Requirement and associated IACS Model Course defines the personal training and qualification and other pertinent requirements of an auditor, in accordance with PR9, IACS Procedural Requirements for ISM Code Certification.

The scope of the IACS Model Course is to facilitate the training of IACS Member Societies' personnel who have responsibility for assessing compliance with the requirements of the ISM Code. By definition of the overall objective, learning objectives and syllabus for each module, the instructor is provided with the basic material for teaching the course. When using the material, the instructor has the flexibility to adopt teaching methods which are the most appropriate for the particular education, work experience and culture of trainees.

The overall objective of the IACS Model Course is to provide training and qualification standards of personnel performing verifications of compliance with the requirements of the ISM Code (IMO Resolution A.741(18)).

In developing the IACS Model Course, reference has been made to Minimum Standards for Recognised Organisations Acting on Behalf of the Administration (IMO Resolution A.739(18), Annex, Appendix 1). Included therein is a requirement for systematic training and qualification regime for professional personnel engaged in the safety management system certification process, to ensure proficiency in the applicable quality and safety management criteria as well as adequate knowledge of the technical and operational aspects of maritime safety management.

#### **The IACS Model Course contains:**

- (a) the criteria for auditing quality systems;
- (b) the background under which the ISM Code was developed and adopted by the IMO, including its schedule of mandatory implementation under SOLAS Chapter IX, and the different requirements of the ISM Code.
- (c) the general objectives of mandatory rules and regulations, and other applicable codes, guidelines and standards recommended by the IMO, Administrations, classification societies and maritime industry organisations. **The IACS Model Course is not intended to train candidates to be ship class or statutory surveyors.**
- (d) the general principles of safe routine shipboard operations, including emergency preparedness and response. **The IACS Model Course is not intended to train candidates to be ship operators.**

(e) the procedures for performing the verification of compliance with the requirements of the ISM Code.

Each training module has been defined taking into consideration the experience of IACS Member Societies personnel who will be involved with the ISM Code. In order to achieve the learning objectives described in each module, the instructor may modify each module to accomplish the state objectives. This will be guided by the previous work experience of trainees. That could require modifying the material in any of the appropriate modules or identifying additional training requirements consistent with the learning objectives.

Personnel assigned to perform ISM Code verification should be able to:

(a) plan and organise audits by demonstrated knowledge of all the requirements of the ISM Code;

(b) conduct verification of compliance with the ISM Code using appropriate safety management system techniques;

(c) utilise the basic knowledge of mandatory rules and regulations and other applicable codes, guidelines and standards;

(d) utilise the basic knowledge of ship operations focusing on safety and pollution prevention practices;

(e) conduct the verification in accordance with agreed procedures.

## **1.2 Course modules**

The IACS Model Course is subdivided into the following modules:

- I basic knowledge of quality management system criteria 40 hours;
- II knowledge and understanding of the ISM Code 16 hours;
- III outline of mandatory rules and regulations, and applicable codes, guidelines and standards 16 hours;
- IV basic knowledge of shipping and shipboard operations, including technical and operational aspects of marine safety management 40 hours;
- V procedures and instructions for planning and performing verification of compliance with the ISM Code 8 hours.

The instructor may adjust the extent, scope or sequence of each module to accommodate known levels of individual competence. The intent of the training is to focus on the particular needs of the trainee rather than using less productive time by adhering to elements in a module already satisfied by work experience. However, any change must take into account the requirement to comply with the specified learning objectives.

## **1.3 Standards of competence**

- a) In accordance with PR 9, IACS Procedural Requirements for ISM Code Certification, personnel participating in the verification of compliance with the requirements of the ISM Code shall have as a minimum the following education:

- (i) qualification from a tertiary institution recognised by the Administration or by the IACS Member Society within a relevant field of engineering or physical science (minimum two years programme), or
  - (ii) qualification from a marine or nautical institution and relevant seagoing experience as a certified ship officer.
  - (iii) at least five years experience in areas relevant to technical or operational aspects of safety management, such as:
    - ship's classification or statutory surveys; or
    - experience as a certified watch keeping officer; or
    - experience as a superintendent/ship manager, or a combination of the three.
- b) Trainees may be exempted from some parts of the IACS Model Course, upon verification of their competence gained from previous work experience, according to the following:
- (i) personnel experienced in quality management audits may be exempted from attending Module I;
  - (ii) surveyors experienced in classification and/or statutory surveys of ships may be exempted from attending Module III;
  - (iii) certified watch keeping officers, ship managers or superintendents experienced in ship management (technical or operational aspects), may be exempted from attending Module IV.

#### **1.4 Theoretical training**

Personnel performing ISM Code verification shall have undergone theoretical training in accordance with ISO 10011-1, or equivalent, to cover at least the following aspects:

- (i) audit techniques of examining, questioning, evaluating and reporting;
- (ii) knowledge and understanding of the ISM Code;
- (iii) mandatory rules and regulations;
- (iv) technical or operational aspects of safety management; and
- (v) procedures relevant to the certification process.

#### **1.5 Examination**

Competence gained through attending the IACS Model Course should be demonstrated through written examination applicable for each training module. The learning objectives provide a basis for developing suitable tests for evaluating trainee comprehension in each module.

The examination followed in each course and for each trainee should produce consistent results, no matter which questions, tests or trainees are involved. Written examinations may be closed book or open book. The selection of questions and tests are the responsibility of the instructor.

If the trainee fails any of the competence tests, one re-examination per module will be permitted. Failure at the re-examination will mean that the candidate must attend the course module again before being allowed another attempt at the examination.

## **1.6 Audit experience**

Personnel having passed the examination for the IACS Model Course shall have acquired, as a minimum, the audit experience indicated below:

### **1.6.1 Initial and renewal verification**

- a) Personnel performing initial or renewal verification shall have the competence to assess fully whether the Company or ship complies with the requirements of the ISM Code, i.e. ;
  - (i) to determine the conformities and non-conformities of SMS elements with the requirements of the ISM Code;
  - (ii) to determine the effectiveness of the Company SMS, or that of the ship, to ensure compliance with rules and regulations as evidenced by the statutory and classification records;
  - (iii) to assess the effectiveness of the SMS in ensuring compliance with the rules and regulations which are not covered by statutory and classification surveys and facilitating verification of compliance with these rules and regulations; and
  - (iv) to assess whether the safe practices recommended by the International Maritime Organisation, Administrations, classification societies and maritime industry organisations have been taken into account.
- b) Initial and renewal verification shall be carried out as a minimum by:
  - (i) a person fulfilling the requirements in paragraphs 1.3 and 1.4 who has participated in at least four (4) ISM Code audits under the supervision of a qualified auditor. At least three of these audits must be initial or renewal verifications, of which at least one must be of an office, and one must be of a ship. The fourth audit may be a periodic verification audit, provided that all elements of the ISM Code are addressed. ISO 9001/9002 initial and renewal audits of ship management Companies and/or ships are considered equivalent to ISM Code initial and renewal verification respectively, for up to two of the above audits; or
  - (ii) a team of such Auditors, led by a designated Auditor-in-Charge when the complexity of the Company and/or the size and type of the ship so require.

An auditor may be accompanied and supported by individual(s) having the necessary technical knowledge as well as training in auditing techniques. Audit Trainees and/or Observers may be present, as appropriate.

### **1.6.2 Periodical or additional verification**

- a) Personnel performing periodical or additional verification shall have the competence to fully evaluate compliance with the requirements of the ISM Code by determining, inter alia:
  - (i) the effective functioning of the Company SMS or the shipboard SMS,
  - (ii) continuing compliance of the Company or the ship with relevant rules and regulations, e.g. as evidenced by the statutory and classification records,
  - (iii) continuing compliance of the Company or the ship with other rules and regulations not subject to survey for maintaining the validity of the other Convention certificates.

- b) Periodical and additional verification of a DOC and/or a SMC shall be carried out as a minimum by:
- (i) a person fulfilling the requirements in paragraphs 1.3 and 1.4 who has participated in at least three (3) ISM Code initial, renewal or periodical verifications, including at least one Company and one ship verification under the supervision of a qualified Auditor. ISO 9001/9002 initial, renewal or surveillance audits of ship managing Companies and/or ships are considered equivalent to ISM Code initial, renewal or periodical verification, respectively for up to two of the above audits; or
  - (ii) a team of such Auditors, led by a designated Auditor-in-Charge having the audit experience required by 1.6.1, when the complexity of the Company and/or the size and type of the ship so require.

An auditor may be accompanied and supported by individual(s) having the necessary technical knowledge as well as training in auditing techniques. Audit Trainees and/or Observers may be present, as appropriate.

## **1.7 Certification**

### **1.7.1 Examination Record**

After passing the examination for the theoretical training of any of the five modules, as described in paragraph 1.4, the trainee should receive an Examination Record, as shown in Table 1, duly signed by the person responsible for training.

If the training modules are not consecutive, the certificate shown in Table 1 should identify which individual module has been completed.

### **1.7.2 Certificate of Competence**

Upon satisfactory completion of the theoretical training and relevant audit experience, as described in paragraph 1.6, the trainee should receive a Certificate of Competence, as shown in Table 2, duly signed by the person responsible for training.

A qualified auditor who has not performed at least 1 initial, renewal or periodical verification against the ISM Code in the last 2 years will be required to undergo re-validation training of at least one day, addressing the content of modules two and five, plus participation in one office audit and one ship audit under the supervision of a qualified auditor. Failure to complete the re-validation training and the two re-validation audits within 12 months of the end of the two-year period will disqualify the auditor, who will then be required to undergo full re-training.

Documented evidence of training and qualification requirements should be included in the personal qualification file of the organisation.

## **1.8 Continuous updating**

Qualified personnel should be updated as circumstances dictate in the knowledge and understanding of the ISM Code, e.g. through additional training courses relating to any ISM Code developments.

## **2 CONFIDENTIALITY OF THE IACS MODEL COURSE**

The details of the IACS Model Course have commercial value and shall remain confidential to IACS Members.



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**Table 1 - Examination Record**

Name: .....

Position: .....

has attended the training module and successfully completed the relevant examination for the following modules (delete as appropriate):

- |     |   |
|-----|---|
| I   | Basic knowledge of quality management system criteria   |
| II  | Knowledge and understanding of the ISM Code   |
| III | Outline of mandatory rules and regulations, and applicable codes, guidelines and standards                                    |
| IV  | Basic knowledge of shipping and shipboard operations, including technical and operational aspects of marine safety management |
| V   | Procedures and instructions for planning and performing verification of compliance with the ISM Code                          |

Period of training: (from) ..... (to) .....

Date: .....

Name and signature  
of the Trainer

Place: .....

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**Table 2 -**  
**Certificate of Competence**

**Name:** .....

**Position:** .....

is certified to have been trained and qualified as

**ISM CODE AUDITOR**

(1) for performing periodical, intermediate and additional verification (IACS Procedural Requirements for ISM Code Certification, paragraphs 5.3 and 9.8)
(2) for performing initial and renewal verification (IACS Procedural Requirements for ISM Code Certification, paragraphs 5.2 and 5.4.)

(delete as appropriate)

in accordance with the provisions of the IACS Procedural Requirement 10, i.e. Procedure for Training and Qualification of ISM Code Auditors

Date: .....

Name and  
Authorised Signature

Place: .....

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