

Course Syllabus

Course Title:	ISM-ISPS-MLC Lead Auditor Course
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Course Duration:	<i>55 Hours</i>
Course Difficulty:	<i>Advanced</i>
Course Category:	<i>Leadership</i>

Learning Outcomes

1. Recognize the objectives and benefits of a combined audit for ISM-ISPS-MLC
2. Interpret audit requirements for application
3. Plan, execute, and follow-up on auditing activities that offer real value
4. Utilize the latest auditor techniques and identify appropriate applications
5. Boost stakeholder confidence by managing processes in line with the latest requirements

References:

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| <ul style="list-style-type: none"> • ISPS Code • ISM Code • MLC Convention • STCW Convention • Transport Canada • MCA UK | <ul style="list-style-type: none"> • UNCLOS • SOLAS • ISO 19011:2026 |
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Course Subject	Time
Introduction • Course overview • Competences to be achieved	0.5 Hour
ISM Auditor	
Chapter 1: Introduction to ISM Internal Auditing • Key Principles of the ISM Code • Audit Principles under the ISM Code • Audit Types and Purpose under the ISM Code • The Safety Management Cycle and the Role of Auditing in Continuous Improvement	1.25 Hour
Chapter 2: International & National Regulatory Framework • General Requirements for the Safety Management System (SMS) • Flag State Expectations in the Implementation of the ISM Code • Classification Societies (Recognized Organizations) Approach to ISM Auditing • Port State Control (PSC) Approach to ISM Code Compliance • Roles and Responsibilities of the Internal Auditor • ISM Code, Paragraph 12 – A Detailed Overview	1.5 Hour

Chapter 3: Planning and Preparing for the Audit • Planning and Preparing an ISM Audit • Document Review – Preliminary Examination of the Safety Management System • Audit Checklists – Structured Guidance and Risk-Based Flexibility • Team and Logistics – Assembling, Managing, and Supporting the Audit Process • Conducting the Opening Meeting – Establishing Clarity and Cooperation	1.5 Hour
Chapter 4: Conducting the Audit • Conducting the Audit – Techniques and Best Practices • Auditor Techniques – Mastering Observation and Interviewing Skills • Sampling and Evidence – The Foundation of Audit Credibility • Focusing on Effectiveness – Auditing Beyond Compliance • Managing the Audit Process – Maintaining Control, Professionalism, and Integrity • Preparing for the Closing Meeting – Organizing Findings and Final Review • ISM Code Paragraph 13: Certification and Periodical Verification - Detailed Overview • Safety Management Audits – An Overview and Guide • Certificate Formats According to ISM Code	2.5 Hours
Chapter 5: Audit Findings – Non-Conformities and Reporting • Audit Findings – Non-Conformities and Reporting • Real-World Examples of ISM Audit Non-Conformities • Reporting Non-Conformities – Writing Clear and Professional Findings • Corrective Action Requests – From Identification to Closure • Audit Report Writing – Structure, Purpose, and Professional Standards • Management Review and Continual Improvement	2.0 Hours
Chapter 6: Lead Auditor Responsibilities and External Audit Process • Role of the Lead Auditor • Auditor Competency • Auditor Ethics • Code of Conduct • Auditor Training and Certification • Managing the Audit Team • External Audit and Certification • Handling External Findings • Communication and Closing Meeting	2.5 Hours

Chapter 7: Audit Program Management • Audit Program Development • Audit Program Implementation • Audit Program Monitoring and Review • Audit Program Improvement	1.0 Hour
Chapter 8: Audit Program Evaluation • Audit Program Evaluation • Continuous Improvement • Management Review • Audit Program Improvement Plan	1.0 Hour
Chapter 9 Case Study – Comprehensive ISM Audit Simulation • Case Study – Identifying Non-Conformities in Context • Case Study – Reporting and Presentation of Audit Findings • Case Study – Decision-Making and Corrective Actions	1.25 Hour
Chapter 10: Remote, Hybrid, and Technology-Assisted Auditing • Remote and Hybrid Auditing • Selecting the Appropriate Audit Method • Planning a Remote or Hybrid Audit • Collecting Objective Evidence Remotely • Auditing Virtual Locations • Risks and Limitations of Remote Auditing • Best Practices for ISM Lead Internal Auditors • Practical Maritime Case Studies	4.0 Hours

ISPS Auditor	
Chapter 1 Foundations of Maritime Security and the ISPS Internal Audit Framework • Maritime Security • Development and Purpose of the ISPS Code • Structure of the ISPS Code • Relationship Between ISPS and Other Maritime Instruments • Core Concepts of the ISPS Security System • The Role of Internal Auditing in Maritime Security • Internal Auditing as a Continuous Improvement Mechanism	2.0 Hours
Chapter 2 - The Role of the Internal Auditor • Internal Auditor Requirements • Competencies and Ethics • The Audit Process • Audit Planning and Preparation	1.0 Hour
Chapter 3 - Auditing Principles and Framework • Audit Principles • Risk-Based Auditing • Auditor Competence and Team Selection • Ethical Conduct	1.5 Hour

Chapter 4 - Planning and Preparing an ISPS Internal Audit • Audit Scope • Pre-Audit Document Review • Audit Plan & Checklist Preparation	2.5 Hours
Chapter 5 - Conducting the Internal ISPS Audit • Opening Meeting • Evidence Gathering • Identifying Findings • Communication	7.5 Hours
Chapter 6 - Audit Reporting, Documentation of Findings • Closing Meeting • Report Structure and Content • Classifying Non-Conformities • Corrective Action • Follow-Up and Verification	3.0 Hours
Chapter 7 - Integrated Case Study and Practical Application • Audit Planning • Audit Execution • Analyzing Findings • Reporting the Findings	1.0 Hours
Chapter 8 - Audit Reporting at Lead Auditor Level • ISPS Audit Reports • Evidence-Based Conclusions • Management Summaries • Confidential Handling of Security Information	1.0 Hour
Chapter 9 - Corrective Actions, Verification, and Follow-Up • Corrective Action Effectiveness • Verification Techniques • Follow-Up Audits and Closure of Findings	1.0 Hour
Chapter 10 - External Audits, Certification & PSC Interface • Initial, Intermediate, Renewal, and Additional Verifications • Interim ISSC Audits • Role of RSOs • PSC “Clear Grounds”	1.0 Hour
Chapter 11 - Advanced Topics in Maritime Security Auditing • Cybersecurity • Supply Chain Security • Private Maritime Security Operations • Human Factors	1.0 Hour
Chapter 12 - Lead Auditor Assessment • Case-Study • Classification Workshop	0.5 Hour

Chapter 13 – Remote, Hybrid and Technology-Enabled Auditing • Remote and Hybrid Auditing • Planning Remote and Hybrid Audits • Conducting Remote and Hybrid Audits • Digital Technologies Supporting Audits • Auditor Competence for Technology-Enabled Audits	2.0 Hours
MLC Auditor	
Chapter 1: MLC 2006 as amended: audit criteria architecture + Appendix A5-I spine • MLC 2006 Framework • Structure of the Convention • The Five Titles Overview • Understanding Audit Criteria in MLC • Appendix A5-I – The Core Audit Spine • From Regulation to Audit Question • Common Misinterpretations	2.0 Hours
Chapter 2: Lead auditor method: audit planning, audit program, ethics, and “PSC realism” • Lead Auditor Role • Audit Planning Fundamentals • Developing the Audit Program • Preparing for the Audit • Auditor Ethics and Professional Conduct • The Concept of “PSC Realism” • Time Management and Audit Flow • Common Failures in Audit Planning	2.5 Hours
Chapter 3: Evidence Defensibility – Sampling, Interviews, Observation, and Safeguarding Complainants • Audit Evidence • Principles of Evidence Defensibility • Sampling Techniques • Conducting Effective Interviews • Observation as an Audit Tool • Triangulation of Evidence • Handling Sensitive Information and Complaints • Common Weaknesses in Evidence Collection	2.75 Hours
Chapter 4: Title 1 Deep Audit: Minimum Requirements, Recruitment & Placement, and Medical Certification • Regulation 1.2 / 1.3 /1.4 • Auditing Recruitment and Placement Systems • Documentation vs Reality • High-Risk Areas • Common Audit Mistakes	2.25 Hours

Chapter 5: Title 2 Deep Audit: Employment Conditions, SEA, Wages, Hours of Work and Rest • Regulation 2.1 to 2.7 • Auditing Seafarers' Employment Agreements • Documentation vs Reality • High-Risk Areas • Common Audit Mistakes	2.5 Hours
Chapter 6: Title 3 Deep Audit: Accommodation, Recreational Facilities, Food and Catering • Regulation 3.1 and 3.2 • Auditing Accommodation in Practice • Documentation vs Reality • High-Risk Areas • Common Audit Mistakes	2.5 Hours
Chapter 7: Title 4 deep audit: medical care, OSH, welfare, social security + 2022 amendments • Regulation 4.1 and 4.5 • Auditing Medical Arrangements in Practice • Documentation vs Reality • High-Risk Areas • Common Audit Mistakes	2.75 Hours
Chapter 8: Title 5 Deep Audit: Compliance, Enforcement, and Reporting Discipline • Flag State Responsibilities and Certification • From Evidence to Findings • Writing Audit Findings • Non-Conformities • Common Audit Mistakes • Corrective and Preventive Action (CAPA) • Audit Reporting • Closing Meeting and Auditor Conduct • Common Failures in Reporting and Follow-Up	2.5 Hours
Course Final Assessment	1.0 Hour