

ISM Auditor and ISM Lead Auditor

Questions for written and oral examination – structure and examples

1. Purpose

This public guidance with comments and example questions is intended for public access for candidates.

The purpose of the guidance is to make the candidates familiar with the structure of the set of questions and the type of questions that may appear.

With only one example on each type of question, this guidance cannot fully describe the curriculum subject to examination.

2. Guidance, written examination

One complete set of questions consists of 8 pages, with a front page that specifies:

- Rules for execution of examination.
- Information on the structure of the set of questions and the form of questions.
- Information on points awarded for the various question types.
- How many points that is required to pass the examination.
- How many minutes of the total time of 1,5 hours, that are recommended to be used for each type of questions. Be aware that time needed to answer may vary significantly from these recommendations for candidates.

Each question shall be answered on the space provided for this purpose, unless otherwise instructed in the text.

Some spaces are not intended for writing answers. They are marked with “Don’t write here”.

The complete set of questions shall be delivered to the examination supervisor, at latest when the time allowed for the examination has expired.

Draft paper, used or not, shall be delivered to the examination supervisor together with the examination question set. **Text on the draft paper will not be taken into account by assessment of the answers.**

Comments by the candidate on the front page of the examination questions set will not be part of the assessment of the candidate’s answers. Sheets with examination questions must not be removed from the examination rooms. In case it happens, the candidate will not have passed the examination.

Comments to the examiner may be written on the examination evaluation sheet after examination. The name of the candidate shall not be entered on the examination questions set, the set has a number identifying the candidate.

The examination rules announced by Norsk Sertifisering shall be complied with.

The assessment of the examination questions is concluded as «Passed» or «Not passed».

3. Guidance, oral examination

For oral examination, the candidate will draw a questions number. The question is a description of a scenario and guidance for the oral presentation.

After having received the question, the candidate will have 30 minutes to prepare the oral presentation. The candidate may use overhead projector (with transparencies) if desired.

The candidate will be guided to the examination room when examination starts. The candidate presents the answers to the examiner inside 10 minutes. The examination will be video recorded in order to make the presentation available for other examiners, if required. The candidate has accepted to be video filmed on the application form for the certification. The video recording will only be used by examiners for assessment of the examination question answers.

When the examination is finished, the candidate shall leave all documents and drafts sheets regarding the examination in the examination room. Information shall not be removed from the examination room.

The examination rules announced by Norsk Sertifisering shall be complied with.

The assessment of the examination questions is concluded as «Passed» or «Not passed».

4. Assessment

Both written and oral part of the examination must be passes in order to pass the complete examination. Examination results will not be graded except for «Passed» or «Not passed».

Example on examination question set, written examination:

Introduction

The examination questions shall be answered in the received set of 8 pages. Each page has examination questions and space for answering. The candidate must write clearly with ballpoint pen or pencil. Unreadable text does not count. Draft paper is available from the examination supervisor, but all paper must be returned, also unused paper. Answers not written in the examination set, but on other sheets, will not be considered during assessment of results. Sheets with examination questions must not be removed from the examination rooms. In case it happens, the candidate will not have passed the examination. The examination rules announced by Norsk Sertifisering shall be complied with.

The ISM code with guidelines, IMO A.1022(30) and ISO 19011 are allowed for use during the examination.

Examination structure

Written examination consists of two parts, and the candidate has 1,5 hours to answer all questions. Part 1 is estimated to ca. 30 minutes, part 2 to ca. one hour. In total 100 points are achievable. 70 points are required to pass the written examination.

<p>Part 1 Estimated time ca. 30 min.</p>	<p>Part 1 is 20 "multiple choice" questions, each with 3 or 4 possible answers. Draw a circle around the letter for the chosen alternative that is most correct. One correct answer gives 2 points. If the candidate marks more than one answer to a question, the result will be 0 points. Added text is disregarded during assessment. The maximum score is 40 points.</p>
<p>Part 2 Estimated time ca. 1 hour</p>	<p>Part 2 is an analytical part. The text is a scenario description with observations that shall be classified as nonconformities or not. Only nonconformities shall be reported on the space provided (report forms). Nonconformities shall be substantiated by violation of requirements in the ISM Code, own requirements or other requirements. If the candidate adds assumptions that may change the degree of difficulty or contents of the task, the points awarded may be reduced. Maximum achievable points are 60.</p>

Part 1: Multiple Choice

2 points are given for a correct answer and 0 points for a wrong answer. Maximum sum is 40 points. Put a ring around one letter for each question, marking the answer that is most correct (gives most correct information). (Estimated time is 30 min.)

1. The ISM code requires that there shall be a documented procedure for:	
A	Nonconformities and Management Review.
B	Analysis of data
C	Preventive action
D	Purchasing

.....

Part 2: Analytical part

Totalt achievable: 60 points (estimated time: 1 hour)

Introduction to part 2

In the position of being an auditor, you shall analyze the following description (observations) in relation to the requirements in the ISM Code or violation of own/other requirements. You shall document your conclusions in the nonconformity reports attached. Only nonconformities shall be reported. All fields shall be completed with relevant information. In the field “violated requirements” you shall refer to relevant points in the ISM Code or other requirements that are not complied with.

Description

The ship owning company Holken AS is subject to internal audit. The internal auditor is on board the ship M/S Bigholken, and is interviewing the Captain regarding activities on the bridge and verifying the described systems. The auditor makes the following observations:

- a) The auditor asks how nautical paper maps are updated. The Captain explains that he collects "Etterretning for sjøfarende" (EFS) (*Information for sea farers*) in a ring binder (shows it to the auditor). He reviews the changes to establish if any of the sea charts are affected by the changes. If so, the maps are corrected by hand. He explains that he is not adding any more information on the maps (EFS No., date, signature, or any other data), only the correction, as this is the important information. He is not making any notes elsewhere regarding the correction.
- b) The Captain is asked if he has a procedure for updating nautical maps, and answers that he don't know. He starts to look in the Ship Manual and Company Manual, but can't find any.
- c) The auditor asks how he can be sure that he has an updated version of the manuals. The Captain replies that he occasionally gets new pages to the manuals from the company office. He puts the new pages in place where they belong and destroys the old ones, so everything should be in order.
- d) (*More observations, normally 8 in total*).....

Find the nonconformities in the observations above. Substantiate the decisions and describe them in the reports below.

PUBLIC GUIDANCE, ISMA and ISMLA

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Nonconformity report 1 to Part 2

Audit scope:	Report no.: 2-1
Violated requirements (standards, procedures, etc.):	
Description of the nonconformity:	
This nonconformity is based on the following observation or substantiation:	
.....	
.....	
.....	

Etc.

Example on examination question, oral examination:

Introduction

After the examination question has been received, the candidate has 30 minutes for preparation for oral examination. Whiteboard or flip-over may be used if desired. Documentation allowed for support during preparation is the ISM Code and ISO 19011.

When examination starts, the candidate is guided to the examination room. The candidate shall present the solution of the examination question within a timeframe of 10 minutes. The candidate's presentation will be video recorded, enabling other examiners to assess the presentation, if required.

When the examination is terminated, the candidate shall leave all documents concerning the exam in the examination room. Information of the examination questions shall not be removed from the examination room. The examination rules announced by Norsk Sertifisering shall be complied with.

Oral Question «Nonconformity System»

Scenario

You have executed an internal audit in the company, and detected that the nonconformity system is not working properly. The company have a system for reporting of nonconformities, near misses and unwanted events, but it has never performed as intended. The cases reported are few and come from the same persons. The content of the reports is not suitable for improvements and has a tendency to be complaints on the management. Near misses are frequently happening, and you think it is partly caused by an inferior safety management system. You have also observed near misses that has not been reported.

In addition, you have observed that the Management Review has not been performed according to plan, it should have been done 3 months ago and new date is not decided. Also, the previous Management Review reports are too detailed and concern daily matters.

You do not expect that the management agrees in your points of view, they have shown little understanding on the purpose and the benefit of safety management systems.

Task

You shall present nonconformities and other observations in a way that motivates the management. You shall only in limited degree use the ISM Code as argument, but rather point on the positive effects of improving the system and gain their accept.