

FALKLAND ISLANDS MARITIME AUTHORITY (FIMA)



Quality Management System (QMS) Manual

Revision 0

Issued 01.07.2020

Conforms to ISO 9001:2015

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0.0 Revision History and Approval

Rev.	Nature of changes	Approval	Date
0	Original release.	Daniel Wood	01.07.2020



1.0 The Falkland Islands Maritime Authority (FIMA)

The Maritime Authority has the responsibility to prevent the loss of life on the coast and at sea, produce legislation and guidance on maritime matters within the waters of the Falkland Islands. We are responsible for:

- the safety of everybody in a vessel in FI waters
- the safety of all seafarers on FI flagged vessels
- making sure all equipment on FI vessels is fit for purpose
- making sure all seafarers on FI vessels have correct documentation
- the environmental safety of FI coast and waters
- the accuracy of hydrographic data on charts
- overseeing coastal rescue volunteers, hydrography, seafarer certification and the port state control inspection regime



2.0 About The FIMA Quality Manual

This manual is prepared for the purpose of defining FIMA interpretations of the ISO 9001:2015 international standard, as well as to demonstrate how FIMA complies with that standard.

This manual is not aligned with the clause numbering scheme of ISO 9001; instead, Appendix B provides a cross-reference table that shows where, in the manual, each ISO 9001 requirement is addressed.

This manual presents “Notes” which are used to define how FIMA has tailored its management system to suit its purposes. These are intended to clarify implementation approaches and interpretations for concepts which are not otherwise clearly defined in ISO 9001:2015. *Notes appear in italics, with grey background.*

Where subordinate or supporting documentation is reference in this manual, these are indicated by ***bold italics***.



3.0 Terms and Definitions

FIMA adopts the following terms and definitions within its Quality Management System. Where no definition is provided, the organisation typically adopts the definitions provided in **ISO 9000: Quality Management – Fundamentals and Vocabulary**. In some cases, specific procedures or documentation may provide a different definition to be used in the context of that document; in such cases, the definition will supersede those provided for in this Quality Manual or ISO 9000.

General Terminology

FIMA – Falkland Islands Maritime Authority

Policy – Intentions and direction of an organisation, as formally expressed by its top management.

Document – written information used to describe how an activity is done.

Record – captured evidence of an activity having been done.

Risk-Based Thinking Terminology

Risk – Negative effect of uncertainty

Opportunity – Positive effect of uncertainty

Uncertainty - A deficiency of information related to understanding or knowledge of an event, its consequence, or likelihood. (Not to be confused with measurement uncertainty.)

Additional Terms, definitions and abbreviations

ALARP: as low as reasonably practicable

Audit: Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

CAR: Corrective Action Report

Competence: Ability to apply knowledge and skills to achieve intended results.

Conformity: Fulfilment of a requirement

Context: Business environment, a combination of internal and external factors and conditions that can have an effect on an organisation's approach to its services and investments and interested parties.

Continual improvement: Recurring activity to enhance performance.

Corrective action: Action to eliminate the cause of a nonconformity and to prevent recurrence.

CSE: Confined Space Entry

DSE: Desktop Screen Environment

FIG: Falkland Islands Government

IMS: Integrated Management System

HSEQ: Health, Safety, Environment, and Quality

IT: Information Technology

ISO: International Organisation for Standardization

KPI: Key Performance Indicator



Management system: Set of interrelated or interacting elements of an organisation to establish policies, objectives and processes to achieve those objectives.

MC: Management Code (Falkland Islands Government)

Measurement: Process to determine a value.

Monitoring: Determining the status of a system, a process or an activity.

Nonconformity: Non-fulfilment of a requirement

Objective: Result to be achieved.

OHS: Occupational Health and Safety

Organisation: Person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives.

PDCA: Plan-Do-Check-Adjust

Performance: Measurable result

PPE: Personal Protective Equipment

Process: Set of interrelated or interacting activities which transforms inputs into outputs

QMS: Quality Management System

Requirement: Need or expectation that is stated, generally implied or obligatory.

Stakeholder: Person or organisation that can affect, be affected by, or perceive itself to be affected by a decision or activity.

SWOT: Strengths, Weaknesses, Opportunities, and Threats

Throughout this document, the terms “he”, “him” and “his” are used to denote both sexes. FIMA would like to expressly point out that these terms refer equally to men and women. The same applies to all system-related documents below the level of this Manual.

4.0 The Scope and Context of the FIMA QMS

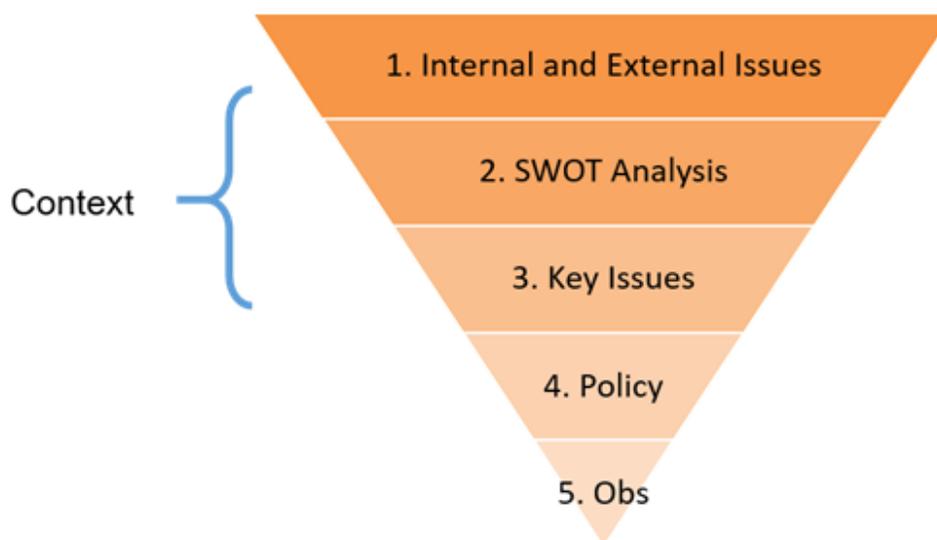
4.1 Determining Our Strategic Direction

FIMA has reviewed and analyzed key aspects of itself and its stakeholders to determine the strategic direction of the organisation. This involves:

- Understanding our core processes and scope of management system (see 4.2 below).
- Identifying “interested parties” (stakeholders) who receive our services, or who may be impacted by them, or those parties who may otherwise have a significant interest in our organisation. These parties are identified in the document **Context of the Organisation**.
- Understanding internal and external issues that are of concern to FIMA and its interested parties; also identified in the document **Context of the Organisation**. Many such issues are identified through an analysis of risks facing either FIMA or the interested parties. Such issues are monitored and updated as appropriate, and discussed as part of management reviews.

This information is then used by senior management to determine the organisation’s strategic direction. This is defined in records of management review, and periodically updated as conditions and situations change.

FIMA adopts the following Context Analysis Framework:



Analyse and Evaluate Internal and External Issues. Use STEEPLE model to identify compliance obligations, interested parties, environmental and market factors.

SWOT analysis. Distil external factors into Strengths, Weaknesses, Opportunities and Threats (Risks and Opportunities).

Key Issues. From the SWOT, identify the key issues facing the organisation i.e. the high priority issues that must be addressed in strategy, policy and objectives

Create Policy. Document, communicate and make available a policy that addresses the key issues and commits the organization to continual improvement

Set Objectives. Set objectives consistent with policy that are measurable, monitored and communicated. SMART objectives, quality objectives, environmental objectives etc.



4.2 Scope of the Management System

4.2.1 Scope Statement

Based on an analysis of the above issues of concern, interests of stakeholders, and in consideration of its services FIMA has determined the scope of the management system as follows:

The scope of this QMS covers all flag, port and coastal State responsibilities that FIMA performs in order to give full and complete effect to applicable international maritime rules and regulations. The QMS meets the requirements of ISO 9001 and is accessible throughout the organisation. This document defines the principles of FIMA to conduct the business with regard to quality and integrity of services. The QMS requirements are communicated to all personnel, contractors and third parties associated with organisation business.

4.2.2 Facilities within the Scope

The quality system applies to all processes, activities and employees within the organisation. The facility is located at:

Department of Natural Resources,
P.O. Box 598,
Stanley,
FIQQ 1ZZ,
Falkland Islands
Phone: +500 27260 & 27266
Fax: +500 27265
Email: fishops@fisheries.gov.fk

Web: <http://www.fig.gov.fk/fisheries/maritime-authority-harbour-master/maritime-authority>

4.2.3 Permissible Exclusions

FIMA claims no exclusions from the ISO 9001 standard.

4.2.4 Scope of the FIMA QMS

This manual is prepared for the purpose of defining the organisation's interpretations of the ISO 9001:2015 international standard, as well as to demonstrate how the organisation complies with that standard.

This manual does not strictly follow the numbering structure of ISO 9001. Instead, Appendix B presents a cross reference between the sections of this manual and the clauses of ISO 9001:2015.

This manual presents "Notes" which are used to define how FIMA has tailored its management system to suit its purposes. These are intended to clarify implementation approaches and interpretations for concepts which are not otherwise clearly defined in ISO 9001:2015. *Notes appear in italics, with grey background.*

Where subordinate or supporting documentation is reference in this manual, these are indicated by **bold italics**.



5.0 Quality Policy and Objectives

The Quality Policy and Objectives of FIMA as developed by Senior Management are as follows:

The Falkland Islands Maritime Authority is committed to providing the highest quality Red Ensign Group (REG) Maritime Authority services in a safe, efficient and cost effective manner. We will continuously strive for improvement and excellence in all that we do.

The prime objective of the Falkland Islands Maritime Authority is to deliver Maritime Authority services that meet the requirements, needs, and expectations of all stakeholders with maximum efficiency and cost effectiveness, at the same time adhering to international, national and local regulations.

In order to achieve our prime objective we will ensure that:

- **the registration of vessels is completed in an effective and efficient manner in compliance with the relevant procedures and applicable legislation;**
- **that all vessels on the register and proposed for registration are to the highest standards;**
- **that the Authority complies with the requirements of international seafarer standards and the applicable local legislation in regard to seafarers onboard registered vessels;**
- **seafarers in REG ships have decent conditions and their welfare is properly protected;**
- **all vessels on the register are surveyed, audited and inspected as required;**
- **statutory survey and certification work delegated to the REG Recognised Organisations is conducted in compliance with agreed standards;**
- **all accidents and incidents onboard the Authority's vessels are assessed, investigated and reported on, in compliance with the relevant Code and local legislation;**
- **all applicable conventions extended to the Authority are applied by the relevant local legislation;**
- **all work is handled according to the principles of local quality standards.**
- **all coastal State obligations and responsibilities are identified, implemented, enforced, controlled, monitored and improved; and**
- **all port State obligations and responsibilities are identified, implemented, enforced, controlled, monitored and improved.**

FIMA operates a QMS which meets the requirements of the standard ISO 9001, and is committed to improve the QMS by applying the following principles:

1. The active involvement of top management in developing and maintaining an efficient QMS
2. Leadership by and commitment from top management
3. Creation of an environment that encourages individuals to contribute and improve the QMS
4. Customer satisfaction such that client requirements shall be clarified and understood as early as possible
5. Provision of a documented QMS to monitor, measure and constantly improve performance.

The quality objectives and performance measures will be reviewed annually.

This Quality Policy is released as a standalone document as well, and is communicated and implemented throughout the organisation.



6.0 Management System Processes

6.1 Process Identification

FIMA has adopted a process approach for its management system. By identifying the top-level processes within the organisation, and then managing each of these discretely, this reduces the potential for nonconforming Marine Authority services discovered during final processes or after delivery. Instead, nonconformities and risks are identified in real time, by actions taken within each of the top-level processes.

Note: not all activities are considered “processes” – the term “process” in this context indicates the activity has been elevated to a higher level of control and management oversight. The controls indicated herein are applicable only to the top-level processes identified.

The following top-level processes have been identified for FIMA:

- Vessel Registration Process
- Quality of the Register Process
- Seafarer Standards Process
- Seafarer Working and Living Conditions Process
- Survey, Audit and Certification Process
- Monitor and Control of Recognized Organisation Process
- Accident Investigation Process
- Legislation and Convention Implementation Process
- Quality Management Process
- Coastal State Obligations Process
- Port State Obligations Process

Each process may be supported by other activities, such as procedures or work instructions. Monitoring and control of top-level processes ensures effective implementation and control of all subordinate procedures or work instructions.

Each top-level process has a **High-Level Process Definition** document which defines:

- applicable inputs and outputs
- process owner(s)
- applicable responsibilities and authorities
- applicable risks and opportunities
- critical and supporting resources
- criteria and methods employed to ensure the effectiveness of the process

The sequence of interaction of these processes is illustrated in Appendix A.

6.2 Process Controls and Objectives

Each process has at least one objective established for it; this is a statement of the intent of the



process. Each objective is then supported by at least one “metric” or key performance indicator (KPI) which is then measured to determine the process’ ability to meet the quality objective.

Note: some processes have multiple objectives and multiple metrics. This is determined by the nature of the process, it’s impact on Marine Authority services, and associated risks.

Note: Whereas ISO 9001 discusses process measurements and “quality objectives” as separate concepts, FIMA combines them; i.e., quality objectives are used to control the processes. Additional objectives for Marine Authority services may be assigned, but these will also be used to measure process effectiveness.

Throughout the year, metrics data is measured and gathered, in order to present the data to Senior Management. The data is then analyzed by Senior Management in order that they may set goals and make adjustments for the purposes of long-term continual improvement.

The specific quality objectives for each process are defined in the minutes of Management Review, per section 8.7.

Metrics, along with current standings and goals for each objective, are recorded in records of management review.

When a process does not meet a goal, or an unexpected problem is encountered with a process, the corrective action request procedure is implemented to research and resolve the issue. In addition, opportunities for improvement are sought and implemented, for the identified processes.



7.0 Documentation & Records

7.1 General

The management system documentation includes both documents and records.

Note: the ISO 9001:2015 standard uses the term “documented information”; FIMA does not use this term, but instead relies on the terms “document” and “record” to avoid confusion. In this context the terms are defined per section 3.0 above. Documents and records undergo different controls as defined herein.

The extent of the management system documentation has been developed based on the following:

- a) The size of FIMA
- b) Complexity and interaction of the processes
- c) Risks and opportunities
- d) Competence of personnel

FIMA will follow the Falkland Islands Government Corporate Document & Records Management Policy which may be found at

<https://intranet.gov.fk/files/Documents/Corporate%20Document%20&%20Records%20Management%20Policy%20.pdf#search=document>.

Supporting documents include:

- Box Labels and Listing Guidance Notes
- Corporate Records Management: Electronic Records Guidance
- Monitoring Storage Checklist
- Record Retention Schedule Guidance Notes

7.2 Control of Documents

Documents required for the management system are controlled in accordance with procedure **Control of Documents**. The purpose of document control is to ensure that staff have access to the latest, approved information, and to restrict the use of obsolete information.

All documented procedures are established, documented, implemented and maintained.

7.3 Control of Records

A documented procedure **Control of Records** has been established to define the controls needed for the identification, storage, retrieval, protection, retention time, and disposition of quality records. This procedure also defines the methods for controlling records that are created by and/or retained by suppliers.

These controls are applicable to those records which provide evidence of conformance to requirements; this may be evidence of service requirements, contractual requirements, procedural requirements, or statutory/regulatory compliance. In addition, quality records include any records which provide evidence of the effective operation of the management system.



8.0 Management & Leadership

8.1 Management Leadership and Commitment

Senior Management of FIMA provides evidence of its leadership and commitment to the development and implementation of the management system and continually improving its effectiveness by:

- a) taking accountability for the effectiveness of the management system;
- b) ensuring that the **Quality Policy** and quality objectives are established for the management system and are compatible with the strategic direction and the context of the organisation;
- c) ensuring that the quality policy is communicated, understood and applied within the organisation;
- d) ensuring the integration of the management system requirements into the organisation's other core processes, as deemed appropriate (see note);
- e) promoting awareness of the process approach;
- f) ensuring that the resources needed for the management system are available;
- g) communicating the importance of effective quality management and of conforming to the management system requirements;
- h) ensuring that the management system achieves its intended results;
- i) engaging, directing and supporting persons to contribute to the effectiveness of the management system;
- j) promoting continual improvement;
- k) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility; and
- l) applying all requirements of the Falkland Islands Government (FIG) Management Code. Available at:

<https://intranet.gov.fk/Directorates/Human-Resources/SitePages/Management%20Code.aspx>

Note: "business processes" such as accounting, employee benefits management and legal activities are out of scope of the QMS.

8.2 Customer Focus

Senior Management of FIMA adopts a customer-first approach which ensures that customer needs and expectations are determined, converted into requirements and are met with the aim of enhancing customer satisfaction.

This is accomplished by assuring:

- a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met;
- b) the risks and opportunities that can affect conformity of Marine Authority services and the ability to enhance customer satisfaction are determined and addressed; and
- c) the focus on enhancing customer satisfaction is maintained.



8.3 Organisational Roles Responsibilities & Authorities

Senior Management has assigned responsibilities and authorities for all relevant roles in the organisation. These are communicated through the combination of the **FIMA Organisation Chart** and **Job Descriptions**.

The roles, responsibilities, and authorities of Senior Management:

- a) Ensure that the management system conforms to applicable standards.
- b) Support the daily management and administration process of the management system and provide adequate resources to ensure conformance to the management system.
- c) Identify all Key Performance Indicators and Objectives.
- d) Ensure that the processes are delivering their intended outputs.
- e) Reporting on the performance of the management system.
- f) Ensure the promotion of customer focus throughout the organisation.
- g) Continuously review the management system for suitability, adequacy, and effectiveness.
- h) Ensure that the integrity of the management system is maintained when changes are planned and implemented.
- i) Ensure all employees are aware of their responsibilities and are held accountable for their performance within the framework of the management system.
- j) Complete employee performance evaluations on an annual basis.
- k) Provide employees opportunity to suggest an improvement to the management system.

The roles, responsibilities, and authorities of the Quality Assurance Manager:

- a) Provide the necessary guidance to Senior Management.
- b) Gather and represent the management system indicators.
- c) Manage the Management Review meeting to ensure the management system remains consistent, adequate and effective.
- d) Ensure the internal audit programme is functioning and findings reported in a report and non-conformance managed.
- e) Ensure promotion and awareness of requirements across the organisation.
- f) Drive the implementation and review of the infrastructure and work environment process.

The roles, responsibilities, and authorities of the Harbour Master:

- a) Holding employees accountable to their responsibilities and assignments relative to the quality management system.
- b) Providing employees opportunity to suggest improvements to the management system.

The roles and responsibilities of all employees:



- a) Following the management system's processes and procedures.
- b) Reporting any management system's issues, or opportunities for improvement to Senior Management and/or the Quality Assurance Manager.
- c) Using the organisation's facilities, equipment, etc., properly (as instructed), report deficiencies and unsafe work environments as soon as possible.

8.4 Internal Communication

Senior Management of FIMA ensures internal communication takes place regarding the effectiveness of the management system. Internal communication methods include:

- a) use of corrective action request procedures to report nonconformities or suggestions for improvement
- b) use of the results of analysis of data
- c) meetings (periodic, scheduled and/or unscheduled) to discuss aspects of the QMS
- d) use of the results of the internal audit process
- e) regular organisation meetings with all employees
- f) mobile and landline telecommunication connectivity,
- g) internal emails
- h) memos to employees
- i) FIMA's "open door" policy which allows any employee access to Senior Management for discussions on improving the quality system

Communication goes from the Director having an open-door policy to informal information flow at the "smoko table". If we do not talk to each other, then ideas cannot be developed, improvements made, and problems solved.

8.5 Change Management

When FIMA determines the need for changes to the management system or its processes, these changes planned, implemented, and then verified for effectiveness; see the ***Change Management Procedure***.

Documents are changed in accordance with the ***Control of Documents Procedure***.



8.6 Risks and Opportunities

Note: FIMA deviates slightly from the approach towards risk and opportunity presented in ISO 9001. Instead, FIMA views “uncertainty” as neutral, but defines “risk” as a negative effect of uncertainty, and “opportunity” as a positive effect of uncertainty. FIMA has elected to manage risks and opportunities separately, except where they may overlap. Formal risk management may not be utilized in all instances; instead, the level of risk assessment, analysis, treatment and recordkeeping will be performed to the level deemed appropriate for each circumstance or application.

FIMA considers risks and opportunities when taking actions within the management system, as well as when implementing or improving the management system; likewise, these are considered relative to Marine Authority services. Risks and opportunities are identified as part of the “Context of the Organisation Exercise” defined in the **Context of the Organisation Procedure**, as well as throughout all other activities of the QMS.

Risks and opportunities are managed in accordance with the document **Risk and Opportunity Management Procedure**. This procedure defines how risks are managed in order to minimize their likelihood and impact, and how opportunities are managed to improve their likelihood and benefit.

8.7 Management Review

Senior Management reviews the management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. The review includes assessing opportunities for improvement, and the need for changes to the management system, including the **Quality Policy** and quality objectives.

Management review frequency, agenda (inputs), outputs, required members, actions taken and other review requirements are defined in the **Management Review Procedure**.

Records from management reviews are maintained.



9.0 Resources

9.1 Provision of Resources

FIMA determines and provides the resources needed:

- a) to establish, implement and maintain the management system and continually improve its effectiveness
- b) to enhance customer satisfaction by meeting customer requirements
- c) for the maintenance and availability of infrastructure for service provision
- d) to ensure the provision of a work environment that is safe, healthy and conducive to service provision.

Resource allocation is done with consideration of the capability and constraints on existing internal resources, as well as needs related to supplier expectations.

Resources and resource allocation are assessed during management reviews.

9.2 Human Resources

Senior management ensures that it provides sufficient staffing for the effective operation of the management system, as well its identified processes.

Staff members performing work affecting service quality are competent on the basis of appropriate education, skills and experience. The **Training Procedure** defines these activities in detail.

Training and subsequent communication ensure that staff are aware of:

- a) the quality policy;
- b) relevant quality objectives;
- c) their contribution to the effectiveness of the management system, including the benefits of improved performance;
- d) the implications of not conforming with the management system requirements.

Note: the management system does not include other aspects of Human Resources management, such as payroll, benefits, insurance, labor relations or disciplinary actions.



9.3 Infrastructure

FIMA operates from FIG premises shared with other Government Directorates. FIG determines, provides and maintains the infrastructure needed to achieve conformity to service requirements. Infrastructure includes, as applicable:

- a) buildings, workspace and associated facilities;
- b) supporting services such as transport;
- c) information and communication technology.

The FIMA office environment includes the essential types of office equipment provided for common use, such as photocopy machine, shredder, TV set, refrigerator, microwave, etc.

All infrastructure (particularly electrical equipment) which requires regular inspection will be maintained by the relevant FIG Department responsible for that equipment with the associated inspection monitoring process. The evidence of inspection record shall be maintained by the relevant FIG Department.

9.4 Work Environment

FIMA Senior Management will ensure that the work environment is safe, healthy and risk-free (as far as is reasonably practicable). This will be achieved through regular inspection of the work environment to ensure the safe and healthy condition is continuously maintained. Senior Management of FIMA manages the work environment needed to achieve conformity to service requirements.

Any employee must report any unsafe or undesirable working conditions found in the work environment to the Quality Assurance Manager. If possible eliminate the unsafe condition (hazard) or undesirable working condition, if not possible then rectify it to bring down the risks to the acceptable level (as far as is reasonably practicable - ALARP) for unsafe conditions.

Human factors are considered to the extent that they directly impact on the quality of Marine Authority services.

Note: Social, psychological and safety aspects of the work environment are managed through activities outside of the scope of the management system. Only work environment aspects which can directly affect process efficiency or service quality are managed through the management system.

9.5 Organisational Knowledge

FIMA also determines the knowledge necessary for the operation of its processes and to achieve conformity of Marine Authority services. This may include knowledge and information obtained from:

- a) internal sources, such as lessons learned, feedback from subject matter experts, and/or intellectual property;
- b) external sources such as standards, academia, conferences, and/or information gathered from customers or suppliers.

This knowledge shall be maintained, and made available to the extent necessary.

When addressing changing needs and trends, FIMA shall consider its current knowledge and determine how to acquire or access the necessary additional knowledge.



10.0 Operations

10.1 Operational Planning and Control

FIMA plans and develops the processes needed for Maritime Authority services realization. Planning of Maritime Authority services realization is consistent with the requirements of the other processes of the management system. Such planning considers the information related to the context of the organisation (see section 4.0 above), current resources and capabilities, as well as Maritime Authority services requirements.

Changes to operational processes are done in accordance with the ***Change Management Procedure***.

10.2 Customer-Related Activities

During the intake of new business FIMA captures:

- a) requirements specified by the customer, including the requirements for delivery and post-delivery activities;
- b) requirements not stated by the customer but necessary for specified or intended use, where known
- c) statutory and regulatory requirements related to the service;
- d) any additional requirements determined by FIMA.

Once requirements are captured, FIMA reviews the requirements prior to its commitment to supply the service. This review ensures that:

- a) Service requirements are defined,
- b) contract or order requirements differing from those previously expressed are resolved,
- c) the organisation has the ability to meet the defined requirements, and/or the claims for the Marine Authority services it offers, and
- d) risks have been identified and considered.

10.3 External Communication

FIMA has implemented effective communication with customers and external stakeholders in relation to:

- a) providing information relating to Marine Authority services;
- b) handling enquiries, contracts or orders, including changes;
- c) obtaining customer feedback relating to Marine Authority services, including customer complaints;
- d) establishing specific requirements for contingency actions, when relevant;
- e) consulting with stakeholders on proposed policy changes

10.4 Design and Development of Services

For new services and for significant service changes, FIMA ensures the translation of customer needs and requirements into detailed service outputs. These address performance, reliability, maintainability,



efficiency, and safety issues, as well as regulatory and statutory requirements.

This process ensures:

- a) Service planning is conducted
- b) Service inputs (requirements) are captured
- c) Service outputs are created under controlled conditions
- d) Service reviews, verification and validation are conducted
- e) Service changes are made in a controlled manner.

10.5 Purchasing

FIMA ensures that purchased products or services conform to specified purchase requirements. The type and extent of control applied to the supplier and the purchased products or services is dependent on the effect on subsequent services or the final service.

FIMA evaluates and selects suppliers based on their ability to supply product and service in accordance with the organisation's requirements. Criteria for selection, evaluation and re-evaluation are established. Suppliers are selected on the basis of past experience where a proven ability has been established with regard to quality, price and time scale.

Purchases are made via the release of formal purchase orders and/or contracts which clearly describe what is being purchased. Received products or services are then verified against requirements to ensure satisfaction of requirements. Suppliers who do not providing conforming products or services may be requested to conduct formal corrective action.

As a Division of the Falkland Islands Government the FIMA is subject to Government guidelines on purchasing products and is a user of Government approved suppliers. The general purchasing process is detailed in Government Financial Regulations.

While the use of Classification Societies are not strictly suppliers (as they establish their own contracts with vessel owners), the FIMA does have agreements in place with the Classification Societies and monitors the performance of Classification Societies in accordance with the RO Code.

10.6 Provision of Marine Authority services

10.6.1 Control of Provision of Marine Authority services

To control its provision of Marine Authority services, FIMA considers, as applicable, the following:

- a) the availability of documents or records that define the characteristics of the Marine Authority services as well as the results to be achieved;
- b) the availability and use of suitable monitoring and measuring resources;
- c) the implementation of monitoring and measurement activities;
- d) the use of suitable infrastructure and environment;
- e) the appointment of competent persons, including any required qualifications;
- f) the implementation of actions to prevent human error;
- g) the implementation of release, delivery and post-delivery activities.



10.6.2 Identification and Traceability

Where appropriate, FIMA identifies its services or other critical service outputs by suitable means. Such identification includes the status of the service with respect to monitoring and measurement requirements. Unless otherwise indicated as nonconforming, all services shall be considered conforming and suitable for use.

If unique traceability is required by contract, regulatory, or other established requirement, FIMA controls and records the unique identification of the service.

10.6.3 Property Belonging to Third Parties

FIMA exercises care with customer or supplier property while it is under the organisation's control or being used by the organisation. Upon receipt, such property is identified, verified, protected and safeguarded. If any such property is lost, damaged or otherwise found to be unsuitable for use, this is reported to the customer or supplier and records maintained.

For customer intellectual property, including customer furnished data used in service provision, this is identified by the customer and maintained and preserved to prevent accidental loss, damage or inappropriate use.

10.6.4 Preservation

FIMA preserves the conformity of service outputs during internal processing and delivery. This preservation includes identification, handling, packaging, storage, and protection. Preservation also applies to the constituent parts of a product.

The only end products sent out from the FIMA are certificates, legislation and other documents which are suitably protected before dispatch by mail or by courier.

Documents and files within the FIMA are stored to ensure that they are accessible and are preserved in a useable condition.

10.6.5 Post-Delivery Activities

As applicable, FIMA conducts the following activities which are considered "post-delivery activities":

- Customer Satisfaction Surveys
- Follow-up vessel inspections

Post-delivery activities are conducted in compliance with the management system defined herein.

10.6.6 Process Change Control

FIMA reviews and controls both planned and unplanned changes to processes to the extent necessary to ensure continuing conformity with all requirements.

Process change management is defined in the ***Change Management Procedure***.

10.6.7 Measurement and Release of Marine Authority services

Acceptance criteria for Marine Authority services are defined in appropriate subordinate documentation. Reviews, inspections and tests are conducted at appropriate stages to verify that the service requirements have been met. This is done before Marine Authority services are released or delivered.



Each process utilizes different methods for measuring and releasing Marine Authority services. These methods are defined in the relevant high-level processes.

10.6.8 Control of Nonconforming Outputs

FIMA ensures that Marine Authority services or other process outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.

The FIMA quality management system has been written to try and ensure that a nonconformity does not occur. Being realistic, there are occasions when something will slip through and it is everyone's responsibility to highlight any weaknesses they find and report them to the Programme Director Maritime.

Non-conformities highlighted before services are issued from the office will save embarrassment to customers and FIMA and employees are encouraged to question anything they believe to be wrong before it is issued.

The control of any reported nonconformities are dealt with by the Programme Director Maritime and records of the nonconformity and actions taken to control it kept as part of the quality records. This is one of the mandatory documented procedures that are shown within the QMS. The controls for such nonconformances are defined in the **Control of Nonconforming Services Procedure**.



11.0 Continuous Improvement

11.1 General

FIMA uses the management system to improve its processes, products and services. Such improvements aim to address the needs and expectations of customers as well as other interested parties, to the extent possible.

Improvement shall be driven by an analysis of data related to:

- a) conformity of Marine Authority services;
- b) the degree of customer satisfaction;
- c) the performance and effectiveness of the management system;
- d) the effectiveness of planning;
- e) the effectiveness of actions taken to address risks and opportunities;
- f) the performance of external providers;
- g) other improvements to the management system.

11.2 Customer Satisfaction

As one of the measurements of the performance of the management system, FIMA monitors information relating to customer perception as to whether the organisation has met customer requirements. The methods for obtaining and using this information include:

- recording customer complaints
- submittal of customer satisfaction surveys

The corrective action request system shall be used to develop and implement plans for customer satisfaction improvement that address deficiencies identified by these evaluations and assess the effectiveness of the results.

11.3 Internal Audit

FIMA conducts internal audits at planned intervals to determine whether the management system conforms to contractual and regulatory requirements, to the requirements of ISO 9001, and to management system requirements. Audits also seek to ensure that the management system has been effectively implemented and is maintained.

These activities are defined in the ***Internal Auditing Procedure***.

11.4 Corrective Action Request

FIMA takes corrective action to eliminate the cause of nonconformity in order to prevent *recurrence*. Likewise, the organisation takes preventive action to eliminate the causes of potential nonconformities in order to prevent their *occurrence*.

These activities are done through the use of the formal Corrective Action Request system and are defined in the ***Corrective Action Request Procedure***.



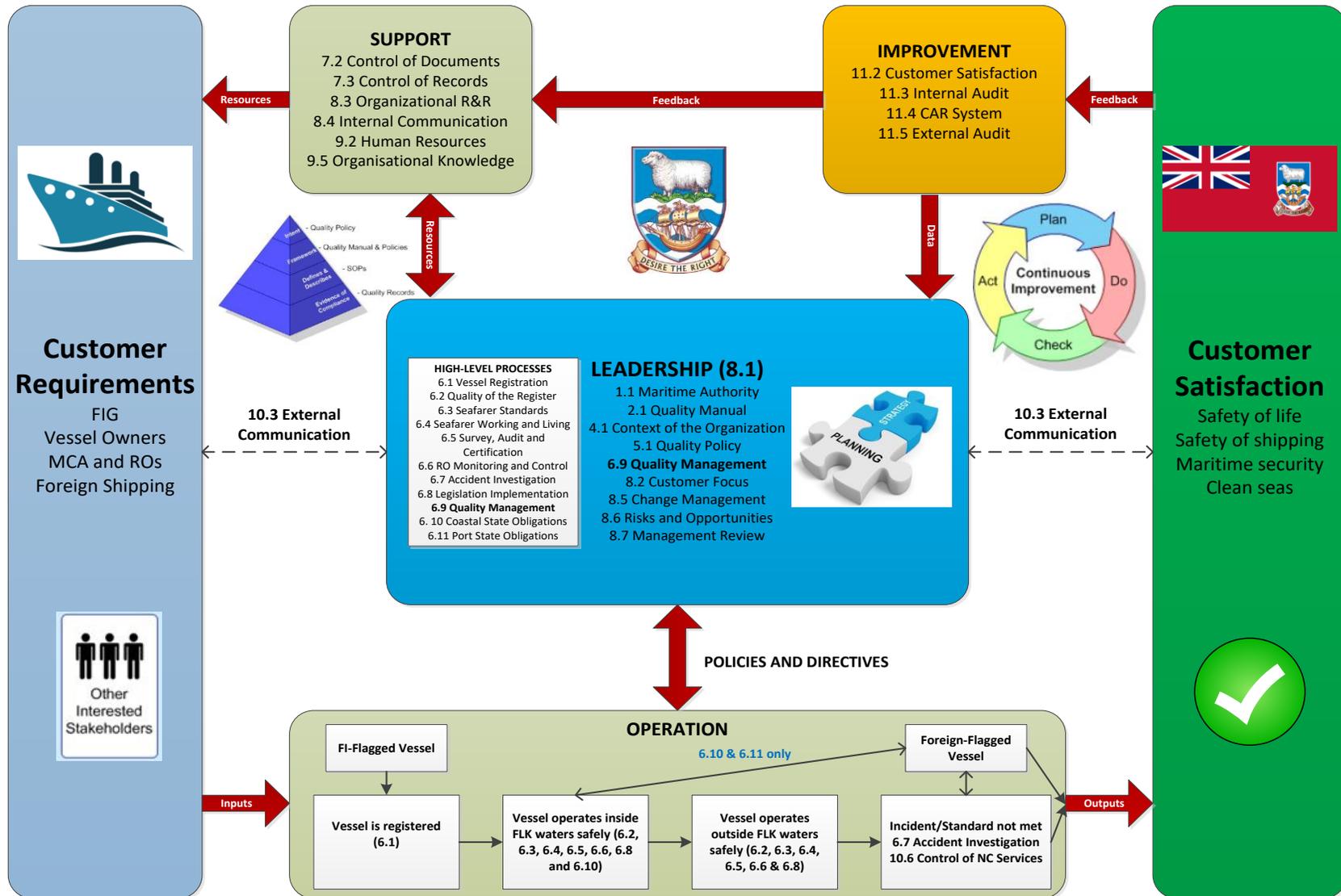
11.5 External Audit

FIMA is subject to Cat 2 External Monitoring Visits by the UK Maritime and Coastguard Agency (MCA) every four years. Recommendations from these audits form part of the FIMA Quality Management Action Plan (QMAP) and are tracked until successful closure.

FIMA will also be subject to an annual external ISO audit for certification purposes.



Appendix A: Overall Process Sequence & Interaction





Appendix B: ISO 9001:2015 Cross Reference

ISO 9001:2015 Clause	Section in Manual
4.0 Context of the Organisation (all)	
4.1 Understanding the Organisation & Its Context	4.1 Determining Our Strategic Direction
4.2 Understanding the needs & expectations of interested parties	4.1 Determining Our Strategic Direction
4.3 Determining the scope of the QMS	4.2 Scope of the Management System
4.4 Management system and its processes	6.0 Management System Processes
5.0 Leadership	
5.1 Leadership & Commitment	8.1 Management Leadership and Commitment
5.1.1 General	8.1 Management Leadership and Commitment
5.1.2 Customer focus	8.2 Customer Focus
5.2 Policy	5.0 Quality Policy
5.3 Organisational Roles Responsibilities and Authorities	5.4 Organisational Roles and Responsibilities and Authorities
6.0 Planning	
6.1 Actions to address risks and opportunities	8.6 Risks and Opportunities
6.2 Quality objectives and planning to achieve them	6.2 Process Controls & Objectives
6.3 Planning of changes	8.5 Change Management
7.0 Support	
7.1 Resources	
7.1.1 General	9.1 Provision of Resources
7.1.2 People	9.2 Human Resources
7.1.3 Infrastructure	9.3 Infrastructure
7.1.4 Environment for the operation of processes	9.4 Work Environment
7.1.5 Monitoring and measuring resources	9.3 Infrastructure
7.1.6 Organisational knowledge	9.5 Organisational Knowledge
7.2 Competence	9.2 Human Resources
7.3 Awareness	9.2 Human Resources
7.4 Communication	8.5 Internal Communication
7.5 Documented information	7.0 Documentation & Records
8.0 Operation	
8.1 Operational planning and control	10.1 Operational Planning and Control
8.2 Requirements for products and services	
8.2.1 Customer communication	10.3 Customer Communication
8.2.2 Determining the requirements related to products & services	10.2 Customer Related Activities
8.2.3 Review of requirements related to products & services	10.2 Customer Related Activities
8.2.4 Changes to requirements for products and services	10.2 Customer Related Activities
8.3 Design and development of products and services	10.4 Design and Development
8.4 Control of externally provided processes, products & services	10.5 Purchasing
8.5 Production and service provision	



ISO 9001:2015 Clause	Section in Manual
8.5.1 Control of production and service provision	10.6.1 Control of Provision of Marine Authority services
8.5.2 Identification and traceability	10.6.2 Identification and Traceability
8.5.3 Property belonging to customers or external providers	10.6.3 Property Belonging to Third Parties
8.5.4 Preservation	10.6.4 Preservation
8.5.5 Post-delivery activities	10.6.5 Post-Delivery Activities
8.5.6 Control of changes	10.6.6 Process Change Control
8.6 Release of products and services	10.6.7 Measurement and Release of Marine Authority services
8.7 Control of nonconforming outputs	10.6.8 Control of Nonconforming Outputs
9.0 Performance evaluation	
9.1 Monitoring, measurement, analysis and evaluation	
9.1.1 General	11.1 Improvement: General
9.1.2 Customer satisfaction	11.2 Customer Satisfaction
9.1.3 Analysis and evaluation	11.1 Improvement: General
9.2 Internal audit	11.3 Internal Audit
9.3 Management review	8.7 Management Review
10.0 Improvement	
10.1 General	11.1 Improvement: General
10.2 Nonconformity and corrective action	11.4 Corrective Action Request
10.3 Continual improvement	11.1 Improvement: General