



# QUALITY/ENVIRONMENT MANUAL

for an  
INTEGRATED MANAGEMENT SYSTEM  
against the requirements of  
ISO 9002 - 1994 / ISO 14001 - 1996

ISSUE 2

Revision No. 1

Approved

A handwritten signature in black ink that reads 'Anthony Carlsson'.

Date:- 16.3.99

Uncontrolled  
Not Subject to Revision  
or Update



## Company Quality & Environment Policy

The aim of the Company is to provide complete customer satisfaction to the best of our abilities and to ensure that all internal arrangements and practices are suitable for that purpose. The Environmental Policy is to maintain an effective system, appropriate to the scale and environment impact of its activities and services, as Shipping and Forwarding Agents.

In addition, the Company will comply with relevant applicable legislation, regulations and other requirements to which the Company subscribes. This commitment extends to the continual improvement of Quality and Environmental performance together with the prevention of pollution.

To achieve this result the Company has adopted a policy of operating a co-ordinated Quality/Environment System, to meet the requirements of ISO 9002 and ISO 14001, by providing the framework for setting and reviewing environmental objectives and targets.

It is the Company's policy to maintain a programme of IT Solutions, including the use of PC's and EDI, to cover all aspects of the services provided, with the facility to adjust the programmes to suit the specific requirements of individual contracts.

It is understood by the Company that only through the medium of enforcing Standards by the use of IT Solutions can Quality/Environment Standards be assured to a consistent level in a Service Industry, subject to the needs and expectations of customers.

The aim of the IT Solutions is not to remove the flexibility, which is needed on occasions, but to provide a medium of documentation and communication relevant to a specific contract. This will ensure that the work undertaken can be monitored, by the Quality/Environment Representative, in order to confirm compliance with the Contract and Standards.

Directors and Managers have the responsibility to ensure that all personnel engaged in tasks which can influence Quality/Environment are aware of their obligations under the Standards and are provided with adequate suitable resources.

The Quality/Environment Representative is authorised to maintain and monitor the Integrated Quality/Environment System and to report to the Company's Management Review Meeting on the continued suitability and achievement of Quality/Environment objectives.

The Company is aware of its responsibility to provide resources for the control of the Integrated Quality and Environmental Management System including, where appropriate, skills, technology and finance. Maximum effort is directed towards providing satisfactory services whilst ensuring that any problems that do arise are resolved in an expedient and professional manner.

The Company's Integrated Management System policy, procedures and where appropriate Quality/Environmental instructions, are documented, controlled, implemented, maintained and communicated to all employees of the Company and is available to the public on the Company's web site.

CHAIRMAN: I require all personnel to be aware of their responsibilities for Quality and Environment Policy, Procedures and Instructions. Personnel are to apply them in relation to their responsibilities and performance of their work.

DATE: 5th October, 1999

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**QM Ref. ISO 14001**

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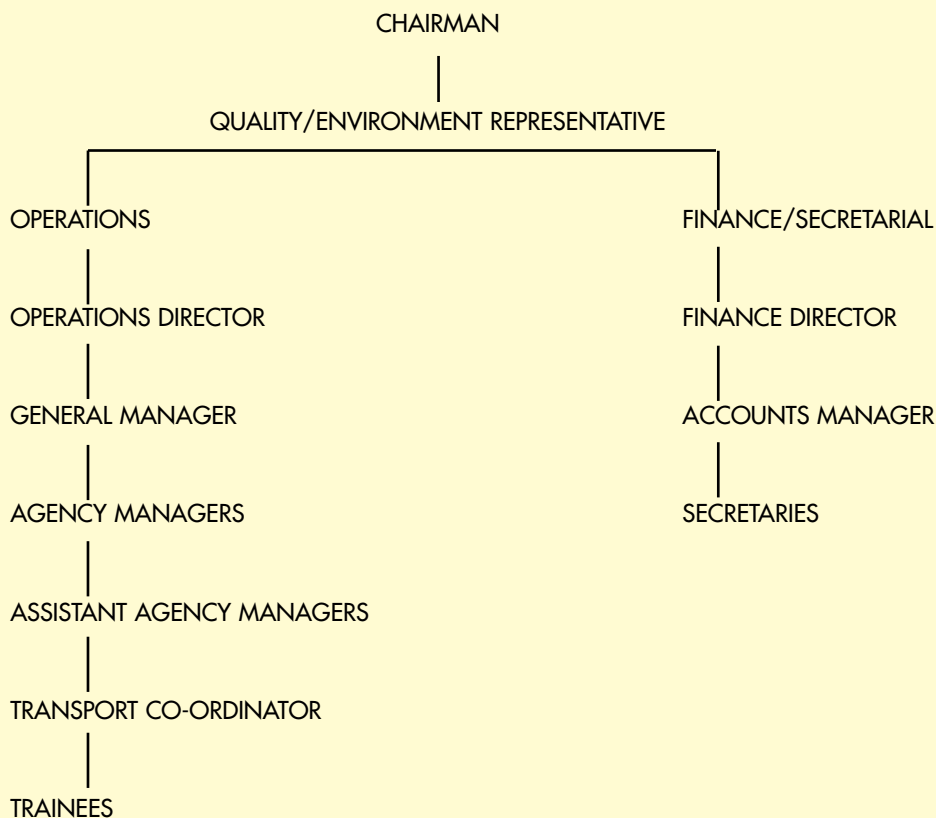


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## 4.1 ORGANISATION

### 4.1.1 CHART





#### 4.1.2 RESPONSIBILITIES

##### 4.1.2.1 ALL EMPLOYEES

In general all employees are responsible for the correct input and use of computer information, assisting in the identification of their own Training needs and the reporting of Non-conformances.

##### 4.1.2.2 ASSISTANT AGENCY MANAGERS

Assistant Agency Managers have received all training necessary for Agency Manager and their responsibilities are identical to Agency Managers, but further experience is necessary before being considered as an Agency Manager and, as such, their work is subject to closer supervision.

##### 4.1.2.3 AGENCY MANAGERS / TRANSPORT CO-ORDINATOR

It is the aim of the Company that all Managers are fully trained in all aspects of the service, including Quality and the Environment, so that any one Manager can control and supervise a contract from commencement to completion.

They are each accountable for their actions and the verification of records.

Specific Responsibilities include:-

- A) Agency Manager
  - i) To ensure that the requirements of Principals can be met.
  - ii) Reporting the use of Non-Appraised Sub Contractors.
  - iii) Calculation of estimated port expenses.
  - iv) Recording all expenses incurred on behalf of a Principal.
  - v) Liasing with all interested parties on the vessel, cargo and any other matters which may occur during the vessel port call
  
- B) Transport Co-ordinator
  - i) Reporting the use of Non-Appraised Sub Contractors.
  - ii) The control, identification and safe custody of materials landed from vessels.
  - iii) Providing regular stock check information to the Principals
  - iv) Maintaining liaison with Agency Manager, advising any discrepancies in respect of material or any sub-contractor non-performance.

##### 4.1.2.4 GENERAL MANAGER

In addition to the above, the General Manager has responsibility for:-

- The day to day supervision of work.
- Supervision of all contracts at other UK Ports
- Review New Contracts for acceptability
- Deputise for Operations Director

##### 4.1.2.5 OPERATIONS DIRECTOR

In addition to the above, the Operations Director has responsibility for:-

- Supervision and allocation of Contracts
- Supervision and control of Revenue collection.



#### 4.1.2.6 QUALITY/ENVIRONMENT REPRESENTATIVE

The Company has appointed a Quality/Environment Representative who is independent of the service process and has complete freedom of movement in carrying out his functions which include:-

Identifying the need for Quality/Environment Documentation, including Procedures and Work Instructions.

The maintenance and issuing of all Quality/Environment Documentation, including the appraisal of sub-contractors, maintaining records of Training and Qualifications, and the analysis and reporting of Non-conformances.

The planning and implementation of Internal Quality/Environment Audits.

The Quality/Environment Representative has full authority and freedom for any action that he may deem appropriate to meet the aims of the Standards. This may include the delegation, from time to time, to a Consultant to advise and assist in the maintenance of the Company's Integrated Quality/Environment System. Whilst reporting to the Chairman it is understood that he is, in effect, acting as an "Agent" of the customer in order to ensure that the customers requirements are fully complied with.

#### 4.1.2.7 THE CHAIRMAN / MANAGING DIRECTOR

The Chairman / Managing Director of the Company is ultimately responsible for all policies and procedures in respect of the Quality/Environment System.

In addition he will ensure that the Quality/Environment of Service to the customers is maintained and improved by constant review of the system through Internal Audits and Management Reviews.

Delegation of these responsibilities as demonstrated on the company's organisation chart, has established a line of information and communication sufficient to enable decisions regarding policy or procedural changes to be initiated readily and effectively.

#### 4.1.3 VERIFICATION RESOURCES & PERSONNEL

All management and staff are trained in the particular area of responsibility for which they are employed. Regular reviews of staff training, in consideration of customers requirements and expectations, are conducted.

Sufficient and adequate resources in the form of computer hardware, software, communications and any other items likely to maintain or improve the Quality/Environment of service provided, are identified and provided. Regular reviews of these resources are undertaken and recorded at Management Review Meetings.

#### 4.4.7 (ISO 14001 ) EMERGENCY PREPAREDNESS & RESPONSE

The Company's aim is to identify potential emergency situations and to be prepared to take action to minimise the risk of an accident occurring. The Quality/Environment Representative is responsible for ensuring that, where practicable, emergency procedures are exercised periodically. A review will be undertaken of the emergency procedures, particularly following an accident or incident.



#### 4.1.4 MANAGEMENT REVIEW

##### 4.1.4.1 AIMS AND FREQUENCY

The suitability and effectiveness of the Quality/Environment system is reviewed formally at meetings convened specifically for the purpose. These Quality/Environment review meetings are scheduled by the Quality/Environment Representative in association with the internal audit programmes and are agreed to by the Chairman.

They are normally held once a year but may take place more frequently, if considered necessary.

##### 4.1.4.2 ATTENDANCE

The Quality/Environment review meeting is held by the Chairman and personnel in attendance include, but are not limited to:-

- Operations Director
- Quality/Environment Representative

##### 4.1.4.3 AGENDA

A typical agenda includes:-

- Minutes of the previous Meeting
- Results of Internal Quality/Environment Audits
- Corrective Actions
- Customer Feedback/Complaints
- Analysis of Non-conformances
- Adequacy of the Quality/Environment System

##### 4.1.4.4 MINUTES

Minutes of the meetings are recorded

## 4.2 QUALITY/ENVIRONMENT SYSTEM

### 4.2.1 OUTLINE

The Quality/Environment system is documented in three tiers and considers each of the requirements specified in ISO 9002-1994 / ISO 14001-1996

### 4.3.1 ( ISO 14001 - 1996 ) ENVIRONMENTAL ASPECTS

The aim of the Company is to identify and document the significant environmental aspects of its activities or services, which it can control and over which it can be expected to have an influence, in order to determine those which have, or can, have significant impacts on the environment. These are taken into consideration when determining environmental objectives. The Quality/Environment Representative ensures that documentation, covering the significant environmental aspects, are regularly reviewed and kept up to date.

### 4.3.2 ( ISO 14001 - 1996 ) LEGAL AND OTHER REQUIREMENTS

The Company have established and maintain documentation which identifies and shows access to legal and other requirements, to which the Company subscribes, that are applicable to the environmental aspects of its activities and services.



#### 4.3.3 ( ISO 14001 - 1996 ) OBJECTIVES AND TARGETS

The Company have established and maintain documented objectives and targets, at each relevant function within the Company. In setting these objectives and targets, the Company have considered the significant environmental aspects, technological options, financial, operational and business requirements together with the views of interested parties, including customers.

#### 4.3.4 ( ISO 14001 - 1996 ) ENVIRONMENTAL MANAGEMENT PROGRAMME

The Company have established and maintain a programme for achieving its objectives and targets. It includes designation of responsibility for achieving objectives and targets at each relevant function and level of the Company, together with the means and time-frame by which they are to be achieved. If a new development or project is implemented, the programme will be amended to reflect these changes, where applicable.

#### 4.2.2 QUALITY/ENVIRONMENT MANUAL

The Quality/Environment manual describes the policy and practices by Carlbom Shipping Limited to satisfy specified requirements and allocates responsibilities within the Company.

#### 4.2.3 PROCEDURES

Procedures define the control and activities that are implemented to fulfil the requirements of the Quality/Environment manual and allocate responsibilities within the Quality/Environment system.

#### 4.2.4 WORK INSTRUCTIONS.

Work instructions exist to prescribe and control those activities that are pertinent to the satisfactory performance of the service, where absence would have a detrimental effect to the Quality/Environment of service.

Certain forms are used in carrying out the service, which are of a pro-forma nature and are controlled.

#### 4.2.5 CONTROL OF DOCUMENTATION

Quality/Environment documentation is controlled, mostly by computer, and further information is indicated, in this manual, in the section dealing with iDocument Control.

#### 4.2.6 ACCESS OF CUSTOMERS REPRESENTATIVE

Reasonable access and facilities are made available to enable the Principal, or his representative, to confirm that the Quality/Environment system is effective and that the service provided is in conformance with the contract requirements. The information made available, or derived, from such access is considered as confidential between the Principal and Carlbom Shipping Limited and is not to be used for purposes, other than contract requirements, or divulged to any third party without prior written consent from the Chairman.

### 4.3 CONTRACT REVIEW

#### 4.3.1 RESPONSIBILITIES

The responsibilities for current contracts have been defined by reason of working practices and by the rules of The Institute of Chartered Shipbrokers.

However the Company undertakes upon renewal of current contracts to endeavour to enter into a more detailed contract

#### 4.3.2 FULFILLMENT

Each nomination received for Carlbom Shipping Limited, to act as agents, is reviewed by the agency manager to ensure that the Principal's requirements can be met. All nominations are confirmed in writing.



#### 4.3.3 BASIS

The review is based on the normally expected duties of an agent, defined in the procedures, and also takes account of variations specified by Principals.

#### 4.4.3 (ISO 14001)- COMMUNICATION

All matters relating to communication with clients, and other interested parties, are covered under the procedures for Contract Review. ( PRC02/QPROC ) and Agency ( PRC10/QPROC )

### 4.4 DESIGN CONTROL

Design is not a specified function of the Company and it is therefore considered inappropriate to document this section.

### 4.5 DOCUMENT CONTROL

#### 4.5.1 CONTROLLED DOCUMENTS

Documents which are essential for performing Quality/Environment related activities are maintained as controlled documents in accordance with procedure.

##### 4.5.1.1 METHODS OF CONTROL

The procedure specifies the format, identification, contents and status for each type of controlled document.

##### 4.5.1.2 COMPUTER PRODUCED DOCUMENTS

The majority of Documents used are provided by the Computer system, as and when required.

No copies of these documents are held, apart from a central file of all documents, currently in use.

Where these documents are provided, in a specific format to meet the needs of a specific contract or customer, steps are taken to ensure that the finished document meets with the requirements of that customer.

##### 4.5.1.3 CONTROLLED DOCUMENTS

The specific controlled documents are:-

The Quality/Environment Manual  
Procedures

Work Instructions/Legal and other requirements ( Industry codes of practice, Port Regulations, etc. )

Forms and Pro-formas (retained on PC Network)

##### 4.5.1.4 CHANGES AND MODIFICATIONS

The Company will ensure that before implementing any changes to documents, that the amended documents meets with the approval of all personnel that are required to utilise or refer to them, including where appropriate, Principals.

#### 4.5.2 UNCONTROLLED DOCUMENTS

Uncontrolled copies of Quality/Environment related documents may be issued when so authorised. Such copies are clearly marked:-

### UNCONTROLLED

not subject to revision or update and, although current at the time of issue, will not be subject to subsequent update or revision.



#### **4.6 PURCHASING.**

Purchased products and services, which may affect compliance with contract requirements, are controlled in accordance with a procedure. Equipment, materials and spares are generally in accordance with a manufacturer's Standard specification of proven Quality/Environment criteria and, in many cases, approved by a qualified third party.

##### **4.6.1 CONTRACT OR STATUTE IMPOSED SUPPLIERS AND SUB-CONTRACTORS**

Where the appointment of a specified supplier or sub-contractor is stipulated by the Customer, or by Statute, Carlbom Shipping does not undertake a review, or approval of, that supplier or sub-contractor. However, Carlbom Shipping undertakes to take all reasonable steps to ensure that the service supplied meets the needs of the Customer.

##### **4.6.2 EVALUATION OF SUPPLIERS AND SUB-CONTRACTORS**

The suppliers or sub-contractors are evaluated for their ability to demonstrate that they maintain suitable control of their product or service. A list of approved suppliers and sub-contractors for goods and services is maintained on a database. Approved suppliers are selected on the basis of one or more of the following criteria:-

- Evidence of previous satisfactory performance in supplying similar goods or services.
- Satisfactory assessment, by a competent body, to an appropriate Quality/Environment System Standard.
- Satisfactory assessment by the Quality/Environment Representative, or his delegate.
- Direct inspection of goods, on receipt.
- Temporary approval, with specified verification

##### **4.6.3 MAINTENANCE OF SUB-CONTRACTORS APPROVAL**

Review of a Sub-contractor's Quality/Environment performance records is a factor in determining purchasing policy. Sub-contractors who fail to maintain the required Standards of performance lose their approved status and are either subject to special controls or are no longer considered for future orders.

##### **4.6.4 PURCHASING DATA**

All information, relevant to the purchased goods or service, is specified on the purchase document and is stated in the procedure.

##### **4.6.5 VERIFICATION OF PRODUCT / SERVICE**

Carlbom Shipping ensures the timely delivery of goods or services to ships and obtaining evidence of the satisfactory receipt. It is not the responsibility of Carlbom Shipping to ensure the Quality/Environment properties, or adequacy of the goods or service, except where specifically requested.



#### **4.7 CUSTOMER SUPPLIED ITEMS**

The use of the word 'goods' includes any funds paid in advance by the Principal.

If a Principal arranges for the delivery of goods, or his own equipment, to Carlbom Shipping, then provision is made to verify its condition on receipt, if so requested by the Principal, to control and protect it during storage, to deliver onboard and return if appropriate. These items will be uniquely identified to prevent misuse.

#### **4.8 SERVICE IDENTIFICATION & TRACEABILITY.**

Wherever Carlbom Shipping Limited undertakes the provision of a service, that a numeric reference number uniquely identifies service.

All Quality/Environment documents relative to that specific service, or contract, carry the same unique identification.

A master list (Agency Log Book) is maintained to ensure traceability in cases of non-conformity, customer complaint and liability.

This also relates to specific contracts whereby the Company arranges storage and delivery of certain commodities.

Procedural documents exist to control this activity and assure the traceability required by the Principal.

#### **4.9 OPERATING CONTROL.**

All necessary actions and duties required to satisfy a Principal are identified during contract review.

Established procedures and work instructions are available to ensure the required services are provided and controlled.

Additional contract specific instructions are provided when their need is identified during the contract review or as a result of Principals requirements.

All procedures are confirmed as adequate for the required operations by:-

compliance with statutory requirements; in-house adoption or demonstrated adequacy.

On going monitoring and surveillance is maintained, throughout each contract, and the results are subject to review by management.

#### **4.10 INSPECTION & TESTING**

##### **4.10.1 GENERAL**

Activities are subject to inspection and surveillance at specific stages. The frequency and means of reporting of such inspections is in accordance with written instructions or documented procedures.

##### **4.10.2 RECEIVING INSPECTIONS**

Equipment, goods, provisions etc. supplied to the vessel, or repair of equipment on board the vessel, are verified for receipt by the master or his delegate.

Verification inspection includes:-

Confirmation of delivery note relating to number of packages Check that goods are free of transit damage Ensuring conformity with Masters / Owners instructions for supply of service.

Where equipment, goods, provisions etc. are found to be satisfactory the appropriate document is annotated and the equipment is identified.

Non-compliant equipment, goods, provisions etc. are also identified and appropriate action taken and documented in accordance with procedures.



#### 4.10.3 IN-PROCESS INSPECTIONS

Procedures and operations, carried out during the provision of services required by contract, are subject to inspection and verification in accordance with procedures.

Deficiencies in service or in operations are formally advised to management and appropriate corrective action taken. Each Agency representative is responsible for the self-checking and the monitoring of effective Service.

#### 4.10.4 FINAL INSPECTION

Although ongoing management surveillance is maintained it is appropriate to carry out inspections and corrective actions after sailing. The personnel utilised in these inspections are identified in procedures.

Deficiencies found and corrective actions taken are controlled and documented.

#### 4.10.5 INSPECTION RECORDS

Records of inspections are maintained.

### **4.11 INSPECTION, MEASURING AND TEST EQUIPMENT.**

This activity is not applicable to the service provided by Carlbom Shipping and as such no Quality/Environment documentation has been prepared to control it.

However, should some control be found to be necessary at a future date as a result of customer feedback or non-conformances, then the Quality/Environment System will be amended accordingly.

### **4.12 INDICATION OF INSPECTION STATUS.**

All equipment, including ships and machinery, which require formal inspection have identification and documentation to provide inspection status.

The status of goods, stores, provisions necessary for the operations of ships may be verified from their supporting documentation and, when necessary, direct labelling.

Ship files are notated when an inspection has been carried out on them.

### **4.13 CONTROL OF NON-CONFORMANCES**

#### 4.13.1 REVIEW AND DISPOSITION

Customer feedback and non-conformance reporting monitor the measurement of the Company's success in maintaining Standards. The Company will maintain a register of all communication received from customers relative to the performance of the Company.

#### 4.13.2 NON-CONFORMANCE

A Non-conformance is the failure of Carlbom Shipping to provide the service expected by the Principal.

A non-conformance is also any deviation from the approved Quality/Environment System.

The Company records and acts upon these reports as prescribed in procedures.



#### **4.14 CORRECTIVE AND PREVENTIVE ACTION**

It is the responsibility of the Quality/Environment Representative to monitor the performance of the Company and to examine the records to ensure that adequate action has been taken to identify, where applicable, assignable causes and to implement effective actions so as to prevent further recurrence of the non-conformance. It may be that, in some circumstances, a short term solution is required, followed by a more permanent solution when all the facts have been considered and analysed.

##### **4.5.1 ( ISO 14001 ñ 1996 ) MONITORING AND MEASUREMENT**

The Company have established a system to monitor and measure, on a regular basis, the key characteristics of its operations and activities that can have a significant impact on the environment. In addition, they will periodically evaluate compliance with relevant environmental legislation, regulations and other requirements.

#### **4.15 HANDLING, STORAGE, PACKAGING, PRESERVATION & DELIVERY**

##### **4.15.1 HANDLING.**

All goods handled by Carlbom Shipping are identified and controlled to ensure preservation and prevent loss.

##### **4.15.2 STORAGE**

Where applicable all items, which are the responsibility of Carlbom Shipping, are stored in a safe and secure area.

When sub-contractors are necessary they are approved in accordance with procedures.

##### **4.15.3 PACKAGING**

This aspect of the Standards is not applicable to the activities of Carlbom Shipping. However should a non-conformance occur which is attributable to a lack of control, then procedures or instructions will be formulated accordingly.

##### **4.15.4 PRESERVATION**

If and where applicable the integrity of items will be preserved in so far as it is practical to do so.

##### **4.15.5 DELIVERY**

Small, easily handled items are delivered by Agency Staff personally, or sub-contracted in accordance with procedure, and protected from loss or damage to the satisfaction of the Principal.

Where large items, or stored cargo, require to be delivered this activity is sub-contracted and controlled in accordance with procedures.

#### **4.16 QUALITY/ENVIRONMENT RECORDS**

##### **4.16.1 COMPUTER RECORDS**

These will be provided and maintained by reason of continuous appraisal of computer systems operated by the Company.

##### **4.16.2 OTHER RECORDS**

Records, which provide documentary evidence of the effective operation of the Quality/Environment Management System and the achievement of contractually specified requirements, are maintained for a minimum of 3 years.

Records are referred to in all procedures.



#### 4.16.3 PROVISION OF RECORDS

Personnel with responsibility for performing, verifying or controlling actions, inspections, surveillance and checks are required to ensure that the record is appropriate to the work done and is identifiable to the job or activity to which it is applied.

All records adequately define the work performed and are legible, accurate, complete and include any endorsement by authorised signatories.

#### 4.16.4 KEEPING OF RECORDS

Each document forming a Quality/Environment record is clearly identified, is complete and legible, and in a readily retrievable form but in a secure place, protected from damage or deterioration

#### 4.16.5 DISPOSAL OF RECORDS

The Quality/Environment Representative is advised of records, which are held beyond the 3 year period and after review, provides disposal instructions.

#### 4.16.6 PROVISION OF RECORDS TO A CUSTOMER

The Quality/Environment Representative, when so instructed by the Chairman, retrieves, checks and provides Quality/Environment records to customers.

### **4.17 INTERNAL QUALITY/ENVIRONMENT AUDITS**

The Quality/Environment System is audited periodically and systematically, in order to ensure its continuous effectiveness and compliance, with planned arrangements.

#### 4.17.1 AUDIT PROGRAMME

The audit programme is monitored by the Quality/Environment Representative to ensure that all aspects are audited at least once in any 12 month period. Audit frequencies are subject to continual appraisal and any critical, complex or problematical areas, which may require more frequent audit, are identified.

#### 4.17.2 CONDUCT OF AUDITS

Audits are conducted in accordance with documented procedures utilising, when appropriate, prescribed audit check lists. Audit results are recorded and non-compliance reports are issued, when required.

Results of audits are communicated to all relevant Agency staff and the necessary corrective actions agreed. Implementation and verification of agreed corrective actions are recorded on the non-compliance report.

#### 4.17.3 AUDIT RECORDS

Records of the internal audit programme, the internal audit reports and corrective actions, are maintained by the Quality/Environment Representative.



#### **4.18 TRAINING.**

The Company undertakes to provide facilities for the continuous training and monitoring of performance by all persons engaged in work which influences the Quality/Environment aspects of service.

The training / experience needs are identified for all personnel performing duties having a direct effect on the Quality/Environment aspects of service to a customer.

##### **4.18.1 IDENTIFICATION OF TRAINING / EXPERIENCE NEEDS**

Training requirements are periodically reviewed, by all Managers. The review takes account of:

The nature of the work

Existing qualification, experience or training

Additional training needs.

##### **4.18.2 TRAINING METHODS**

Training / experience requirements, once established, may be fulfilled by:-

External courses

On the job training

##### **4.18.3 TRAINING RECORDS**

The qualifications and experience of all personnel performing duties having a direct effect on the Quality/Environment aspects of the Company's services, are recorded.

#### **4.19 SERVICING.**

Servicing is not considered to be applicable in the provision of services offered by the company.

However, if Servicing becomes a specified requirement then a procedure will be documented in accordance with the Quality/Environment System.

#### **4.20 STATISTICAL TECHNIQUES.**

The application of statistical techniques, because of the services provided, is not considered to be an effective means of verifying conformance to specified requirements.

Should the use of statistical techniques be identified as useful at Quality/Environment management review meetings a suitable procedure will be prepared.

##### **4.21 END OF MANUAL**