

## Description of the internal audit function of SMS

According to the requirements of MSA, the vessel management system needs to implement a separate internal audit function.

Users can log in to the website of OLSaaS, and operate in "SMS Management" → "Internal Audit" interface according to the following steps 1-9:

互海科技 Workbench 21380 Vessel Monitor Find Help

Management

Annual Internal Audit Plan Internal Audit Implementation Plan

2022 Add Annual Plan Edit

2. Click the drop-down arrow, select a specific year, and then click "Add Annual Plan".

No data, please add an annual internal audit plan.

SMS Management

Internal Audit

1. Click in turn to enter the "Internal Audit" interface.

Annual Internal Audit Plan Internal Audit Implementation Plan

Audited Unit\* Last Audit Interval January February March April May June July August September October November December Reminder Date Operation

Add

3. Click "Add"

Made by: Approved by:

Attachment: Upload Attachment

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Annual Internal Audit Plan Internal Audit Implementation Plan

Audited Unit\* Last Audit Interval January February March April May June July August September October November December Reminder Date Operation

4. Click on the blank space of the box, jump out of the departments of the company set up, and select the audited department as required.

- 互海科技 (0人)
- 董事會 (2人)
- 銷售部 (18人)
- 法務部 (0人)
- 技術部 (7人)
- 產品部 (0人)
- 運營部 (9人)

Annual Internal Audit Plan Internal Audit Implementation Plan

Audited Unit*	Last Audit	Interval	January	February	March	April	May	June	July	August	September	October	November	December	Reminder Date	Operation
技术部	-	-				To be planned									N/A 30days 60days 90days	Delete

Add **Click to add internal audit plans of other departments.**

Made by:  Approved by:

Attachment:  
 **The size of a single uploaded file cannot exceed 1GB.**

5. After selecting the department, you need to select a specific month, click the mouse on the lower side of the target month, the word "To be planned" will appear under the month, and select the reminder date on the right.  
 (Select 30 days/60 days/90 days as needed), if you need to add the internal audit plan of other departments, you can continue to click "Add" in the upper left.

At the same time, you can fill in the tabulator, reviewer and upload attachments, etc., and finally click "Save" on the lower right.

The internal audit plan that has been formulated will become "to be planned".

Annual Internal Audit Plan Internal Audit Implementation Plan

2023   **For the annual internal audit plan that has been formulated and saved, (as shown in the current interface), click "Edit" to modify.**

First Half Year  Second Half Year

Audited Unit	Last Audit	Interval	January	February	March	April	May	June
技术部	-	-				Original Plan		Rectification
市场部	-	-						Completed
销售部	-	-						Executing
轮机部	-	-						To be executed
运营部	-	-						To be executed

Statement: 1. **To be planned** Detailed internal audit implementation plan to be set. 2. **To be executed** Internal audit implementation plan to be executed 3. **Executing** Internal audit is in progress.  
 4. **Rectification** NCRs are being rectified. 5. **Accepting** NCRs are being accepted. 6. **Completed** Internal audit has been completed and nonconformities have been accepted.

Made by: hcx Approved by: 测试

Attachment:

After the annual internal audit plan is confirmed, a specific internal audit implementation plan needs to be formulated. You need to switch to the internal audit implementation plan interface.

The following figure:

Annual Internal Audit Plan Internal Audit Implementation Plan

2022   **When there are many plans, batch planning/batch execution can be done after selecting documents.**

#	Audit Type	Audited Unit	Last Audit	Planned Month	Audit Date	Interval	Audit Content	Audit Basis	Audit Team L...	Auditor	Attachment	Status	Operation
1	Routine audit	运营部	-	8	-	-					0	To be planned	Edit

6. Find the annual internal audit plan with the status of "To be planned" and click "Edit" on the right.

## Edit Internal Audit Implementation Plan



**Audited Unit\***

**Audit Date\***

**Audit Team Leader\***

**Audit Type\***

**Auditor\***

**Audit Content\***

**Audit Basis\***

Note: As long as the tasks to be scheduled are set in the annual internal audit plan, the approved type here cannot be modified to other types.

### Attachment:

[Upload Attachment](#)

The size of a single uploaded file cannot exceed 1GB.

Publish a notice to the audited unit After checking, the personnel of the audited unit (department) who have internal review and viewing permissions can view this announcement.

7. To improve all the contents of the internal audit implementation plan, you can upload attachments, but also can check "Publish a notice to the audited unit", after filling in, if you click "Save", you can continue to modify the content next time; if you click "Submit", it will change to "To be executed" status.



Annual Internal Audit Plan Internal Audit Implementation Plan

2023

<input type="checkbox"/>	#	Audit Type	Audited Unit	Last Audit	Planned Month	Audit Date	Interval	Audit Content	Audit Basis	Audit Team L...	Auditor	Attachment	Status	Operation
<input type="checkbox"/>	3	Routine audit	运营部	-	6	2023-06-07	-	check	SMS documents	jack	rose	0	To be executed	<a href="#">Execute</a>
<input type="checkbox"/>	5	Routine audit	轮机部	-	6	2023-06-07	-	轮机部执行体系文件	体系文件编制	孙大至	孙毅小小111	0	To be executed	<a href="#">Execute</a>

8. After the internal audit implementation plan is submitted, it becomes "To be executed" status, and click "Execute"

← Internal Audit Implementation Plan Details

Internal Audit Implementation Plan

Click to modify the contents of the internal audit implementation plan → [Edit](#)

#	Audit Type	Audited Unit	Last Audit	Planned Month	Audit Date*	Interval	Audit Content*	Audit Basis*	Audit Team Leader*	Auditor*	Attachment	Status
1	Routine audit	运营部	-	6	2023-06-07	-	check	SMS documents	jack	rose	0	To be executed

Internal Audit Execution

[Record](#) [NCR](#) [Issue List](#) ← Manually switch to the "NCR/Issue List" interface (mouse click directly to switch), you can create NCR/Issue List, and after NCR/Issue List is created, the task will be directly pushed to the processor's workbench.

First Meeting  Please enter the time. Attachment: 4 [View/Upload Attachment](#)

Closing Meeting  Please enter the time. Attachment: 4 [View/Upload Attachment](#)

Internal Audit Checklist Attachment: 1 [View/Upload Attachment](#)

Audit Report Attachment: 1 [View/Upload Attachment](#)

Other Attachment Attachment: 5 [View/Upload Attachment](#)

Audit Result

0 / 500

9. Do the first and last meeting, internal audit inspection, audit report, NCR and other records, support uploading multiple attachments, click "Save".

[Completed](#) [Save](#) [Cancel](#)

The list of NCR/Issue List created in the "Execute" stage of the internal audit implementation plan can be rectified by the responsible department on the interface of "System Management→ Safety Inspection → NCR/Issue List", or it can be operated on interface of "Workbench→ Workflow Task → Execute → NCR to be executed":

← System Management

Management

Vessel Service

Expense Management

Voyage Number Management

Vessel Report

Patrol Inspection

**SMS Management**

SMS Files

Internal Audit

**Security Check**

NCR Issue List

[Create NCR](#) In the "System Management → Safety Inspection" interface, the list of NCR/Issue List of the type of "System Internal Audit" is screened, click the row to enter the details, and perform operation and rectification.  Select Time Range [Reset](#)

No.	Report Name	Inspection Object	Dept.	Internal Audit	Audit Authority	Audit Date	Status	Attachment	Operation
1	121	Shore-based	技术部	Internal Check	小王	2023-06-07	Executing(1)		<a href="#">Export</a>
2	这是个没有明显的不符合项	Shore-based	销售部	Internal Check	萧景球	2023-06-02	Executing(1)		<a href="#">Export</a>
3	这是个没有明显的不符合项	Shore-based	销售部	Internal Check	萧景球	2023-06-02	Executing(1)		<a href="#">Export</a>
4	111	Shore-based	销售部	Internal Check	1111212	2023-06-01	Executing(1)		<a href="#">Export</a>
5	内审不符合项	Shore-based	销售部	Internal Check	萧景球	2023-05-31	Finished(1)		<a href="#">Export</a>
6	测试测试测试 测试测试测试	Shore-based	甲板部	Internal Check	徐森海	2023-05-31	Finished(1)		<a href="#">Export</a>
7	pp	Shore-based		Internal Check		2023-05-10	Executing(1)		<a href="#">Export</a>

Workbench 21380 Vessel Monitor Find Help Switching System Self Managed Vessel

To-do List Overall Warning Popups Setting

Workflow Task All (764) Approve (199) **Execute (187)** Accept (378)

Waiting Task All (20616) Due (1283) Overdue (19225)

29 Execute NCR 1 Execute Rectify

In the "Workbench→ Workflow Task → Execute → NCR/Issue List to be executed", click into the list interface for rectification.

Nonconformance execution interface Non-conformity ReportDetails **Executing**

**NCR: 这是个没有明显的不符合项**

Audit Date: 2023-06-02 Audit Type: 体系内审 Inspection Object: Shore-based  
Dept.: 销售部 Audit Authority: 萧景球 Created By/Creation Date: 萧景球-1号/2023-06-01 10:21:55

Details

No.	Defect Code	Description*	Reason Analysis	Corrective Measures	Planned Finish Time / Actual	Completion Status	Status
1	2	3	3	3	2023-06-21		执行中

Completion Status

Actual Finish Date\*

Completion Status\*

Completion Status Attachment: [Upload Attachment](#)  
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Need to select the completion date, completion status, upload attachments, and finally click "Execute Now" at the bottom right.

Task Progress [Here](#) [Comment](#) [Execute Immediately](#)

**Nonconformance acceptance interface** Non-conformity ReportDetails [Access](#)

**NCR: 这个没有明确的不符合项**  
 Audit Date: 2023-06-02  
 Dept.: 销售部

**Audit Type:** 体系内审  
**Audit Authority:** 黄景球

**Inspection Object:** Shore-based  
**Created By/Creation Date:** 黄景球-1号/2023-06-01 10:21:55

**Details**

No.	Defect Code	Description*	Reason Analysis	Corrective Measures	Planned Finish Time / Actual	Completion Status	Status
1	2	3	3	3	2023-06-21 2023-07-12	done	验收中

Based on the actual non-conformance execution, operate "Accept/Reject"

**Task Progress** Here

← Internal Audit Implementation Plan Details

**Internal Audit Implementation Plan**

#	Audit Type	Audited Unit	Last Audit	Planned Month	Audit Date*	Interval	Audit Content*	Audit Basis*	Audit Team Leader*	Auditor*	Attachment	Status
1	Routine audit	销售部	-	6	2023-06-01	-	111	11	11	111	0	Executing

**Internal Audit Execution**

First Meeting: 2023-05-31 16:00 Attachment: 3

Closing Meeting: 2023-06-01 11:00 Attachment: 5

Internal Audit Checklist Attachment: 1

Audit Report Attachment: 1

Other Attachment Attachment: 6

Audit Result

done

After completing the details of the internal audit implementation plan, click "Completed"

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After completing the internal audit, the plan will change to "Finished" on the annual internal audit plan interface.

**Description:**

The internal audit plan added from the annual internal audit plan will automatically reach the "Internal Audit Implementation Plan" interface, and the audit types are: routine audit and cannot be changed.

Users can also add other types of plans to the internal audit implementation plan interface as required. Refer to the following steps:

Annual Internal Audit Plan Internal Audit Implementation Plan

2023  Batch Plan/Batch Execute 1. Switch to the "Internal Audit Implementation Plan" interface, select a specific year, and click "Add"

<input type="checkbox"/>	#	Audit Type	Audited Unit	Last Audit	Planned Month	Audit Date	Interval	Audit Content	Audit Basis	Audit Team L...	Auditor	Attachment
<input type="checkbox"/>	1	First audit	销售部	-	-	2023-07-01	-	销售部遵守公司体系检查情况	SMS文件第6条	梅长芬	黄景球	6
<input type="checkbox"/>	2	Routine audit	技术部	-	4	2023-06-22	-	1212	这竟审核依据	hcx	小王	4

## Add Internal Audit Implementation Plan



**Audited Unit\***

**Audit Date\***

**Audit Team Leader\***

**Audit Type\***   
Audit Type  
First Audit  
Special Audit

**Auditor\***

**Audit Content\***   
0 / 500

**Audit Basis\***

**Attachment:**  
[Upload Attachment](#)  
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Publish a notice to the audited unit

2. In the new internal audit implementation plan interface, improve all the content of the plan, among which, the audit type can select "First Approve/Special Approve", at the same time, you can upload attachments, check "publish a notice to the audited unit", and finally click "Save/Submit".

[Submit](#) [Save](#) [Cancel](#)

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Annual Internal Audit Plan   Internal Audit Implementation Plan

2023   [Add](#)   [Batch Plan/Batch Execute](#)   After the internal audit implementation plan is created, the specific audit type will be displayed in the list, and the plan status will show "To be executed".

#	Audit Type	Audited Unit	Last Audit	Planned Month	Audit Date	Interval	Audit Content	Audit Basis	Audit Team L...	Auditor	Attachment	Status	Operation
1	First audit	销售部	2023-07-01	-	2023-07-15	14	test	SMS document	jack	rose neko, cathy	0	To be executed	Execute