



Principles of Monitoring

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Principles of Monitoring

- > The III Code Approach
- > The EU Approach
- Scope of Monitoring Activities
- Means of Monitoring









IMO

- > III Code, Delegation of Authority
- >A.739 / A.789
 - >739 Para 3, Verification and Monitoring
- ➤ RO Code replacing the above from 1 January 2015
 - ➤ Part 3 Oversight of Recognized Organizations (non-mandatory Part)









EU Directive 2009/15/EC

- >Article 9 requires that
 - 1. Each Member State shall satisfy itself...
 - 2. ...each Member State shall,..., monitor every RO...
- ➤ EU Regulation 391/2009
 - The European Commission establishes a list of classification societies which may be used by EU Member States to authorize ROs







Purpose of Monitoring/Oversight Activities

Assure yourself that ROs are doing what you want them to do!

- 1. According to your Contract
- 2. According to your International Obligations
- 3. According to your National Requirements









Scope of Monitoring/Oversight Activities

- Compliance with general requirements given in A.739(18) and in future the new RO Code
- > Execution of services
- > Implementation of national specifications
- Co-operation with the Flag State (reporting, documentation, etc.)
- Exceptional cases (detentions, damages, etc.)







Means of Monitoring

- **Audits**
- >Analysis of data
- ➤ Meetings with ROs











Audits (1)

- > Head Office Audit
 - >typically used as initial audit, for audits related to the QMS, basic Flag State implementation matters and similar
 - Effect is very much depending on the organizational structure of the RO







Audits (2)

- ➤ Branch / Site Office Audit
 - bused to verify implementation on site, depending on the structure of the RO also a possible means for initial verifications
 - > audits of smaller site offices are often of limited effect







Audits (3)

➤ Vertical Contract Audit

➤ 1.8 A Vertical Contract Audit (VCA) is a contract/order specific audit of production processes, including witnessing work during attendance at a survey, audit or plan approval in progress and, as applicable, including relevant sub-processes. A VCA is carried out at a location or a site (Survey Station/Approval Office/Site) to verify the correct application of relevant requirements in service realization for the specific work in that contract/order, and their interactions (relevant sub-processes include e.g. previous part surveys or UTM processes connected to the survey). Plan approval VCA may be carried out for completed tasks.







Audits (3/1)

➤ Vertical Contract Audit

>In most cases carried out as shipboard audits. Very effective measure to verify practical implementation of standards and qualification of surveyors.







Audits (4)

- >joint audits by a group of Flag States
 - > could be used for all of the above
- >observing audits
 - ►e.g. observing ACB audits





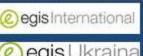




Analysis of data

- > Flag State Inspection reports
 - ➤ Comparison with survey reports, analysis of discrepancies
- ➤ Port State Inspection results
 - >Statistical analysis
 - > Individual analysis of specific cases









Analysis of data

- >Survey reports and certificates
 - > Review of reports and checklists
 - random
 - Systematically
- >Audit reports of third parties
 - >QMS audit reports, e.g. ACB audits
- >Accident / damage investigations







Meetings with ROs

- **≻**Bilateral
 - Regularly scheduled
 - standardized agenda
 - ➤ occasionally
 - actual topics
- ➤ Meeting with all ROs
 - regularly scheduled, e.g. annual
 - standardized agenda
 - special agenda, e.g. contract matters











Conclusion

- ➤ Variety of measures are available
- >Not limited to specific measures
- >Audits are only one of several means









Discussion





