



# Principles of Monitoring

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Stephan Assheuer





# 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

- used 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

