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# No.6 Procedure for Activity Monitoring of Surveyors, Plan Approval Staff and Auditors/Inspectors

(Rev.0  
July 2009)  
(Rev.1  
Mar 2010)  
(Rev.2  
Sept 2011  
Complete  
Revision)  
(Rev.3  
Nov 2014)  
(Rev.4  
Aug 2020)

## 1 Purpose

The purpose of Activity Monitoring is:

- To determine whether the individuals maintain the competence and capability to satisfactorily perform the work for which they are qualified, consistent with the Society's policies and practices.
- To identify needs for continual improvement in aligning the technical services across the organisation.
- To identify need for improvements in the guidance, processes, training and supporting tools provided for the technical staff.

## 2 Definitions

### 2.1 Activity Monitoring

Activity Monitoring is an assessment by the Society of the Society's technical staff, conducted by a monitor, for plan approval or in the course of a survey, audit or MLC inspection.

### 2.2 Monitor

"Monitor" is the designated person who carries out the Activity Monitoring.

### 2.3 Technical Staff

Technical staff are personnel qualified to carry out surveys, or plan approvals (see PR7) or Marine Management Systems Audits (see also PR10) and MLC Inspections (see also PR10B).

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Note:

1. This Procedural Requirement applies from 1 July 2009.
2. Rev.1 of this Procedural Requirement applies from 1 April 2010.
3. For the purpose of this PR, assessment of ship yards and service suppliers are not considered as 'Marine Management System Audits'.
4. Rev.2 of this Procedural Requirement applies from 1 July 2012.
5. Rev.3 of this Procedural Requirement applies from 1 January 2015.
6. Rev.4 of this Procedural Requirement applies from 1 January 2021.

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### 2.4 Field of work

The field of work encompasses various processes and different types of surveys, audits, MLC inspections and plan approvals. The exact content may vary with a Society's system, but for the purposes of this procedure the following three fields of work are to be addressed:

1. Plan approval
2. Surveys
  - a. of materials and equipment, or
  - b. during construction and installation, or
  - c. during service
3. Audits
  - a. Marine Management Systems audits, or
  - b. MLC Inspections.

The above fields cover class and statutory scope of work, as applicable.

## 3 Activity Monitoring

### 3.1 Initiating of Activity Monitoring

Activity Monitoring may be initiated by headquarters, regional or local offices as per Society's structure.

### 3.42 Designation of Monitors

Activity Monitoring shall be carried out by designated persons who are qualified in plan approval, survey, or audit/inspection being monitored, as appropriate.

Alternatively, a specialist (i.e., an individual with appropriate knowledge and experience) from the relevant department in the activity being monitored, who is designated by the responsible headquarters department or regional management can also carry out the Activity Monitoring.

### 3.23 Frequency of Activity Monitoring

Activity Monitoring shall be carried out at least once every other calendar year for each field of work for which the individual is qualified. Only one type of survey (see 2.4.2) for a qualified surveyor and one type of audit/inspection (see 2.4.3) for a qualified auditor/MLC inspector need be monitored within the two-year cycle. Failure to complete the Activity Monitoring within the required timeframe will result in the individual not being permitted to carry out any activity in the field of work until the Activity mMonitoring is satisfactorily completed.

The individual whose Activity mMonitoring is overdue, may be assigned to carry out the next activity job, only if that activity job is monitored.

Control of any exceptions to this should be documented in the society's procedures.

### 3.34 Selection of the activity

The activity within the field of work selected for Activity mMonitoring shall be representative of the work of the individual being monitored and therefore be sufficient to enable the mMonitor to effectively assess the performance of the individual against his/her qualifications.

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### 3.45 Preparation

Preparation for ~~a~~Activity ~~m~~Monitoring ~~should~~ shall include familiarisation with the processes, requirements and tools (e.g. software) associated with the activity to be monitored.

### 3.56 Scope of Activity Monitoring

The scope of the Activity ~~m~~Monitoring shall be sufficient to effectively evaluate the performance of the individual at work. Activity Monitoring may be conducted through, but should not be limited to, reviewing report and certificate accuracy, meeting objectives, received complaints, PSC detention feedback. Plan approval Activity ~~m~~Monitoring may be carried out after completion of plan approval work.

Activity Monitoring is to include, as applicable, but not limited to, an evaluation of the individual's:

- personal safety awareness and adherence to the Society's safety policy;
- professional behaviour and performance;
- preparation, execution and follow-up of the activity;
- understanding and application of the relevant requirements;
- technical capabilities, including proper judgement and decision making;
- reporting and communication, both internal and external.

Activity Monitoring may be combined with a vertical contract audit<sup>1</sup>.

## 4 Reporting

The report shall include evaluation of the performance of the individual at work as indicated in 3.56.

Any deviation from the required activities is considered to be a variance and is to be reported along with the proposed course of action to correct it.

The report shall also include conclusions with respect to:

- whether the individuals maintain the competence and capability to satisfactorily perform the work for which they are qualified, consistent with the Society's policies and practices (including particularly positive aspects);
- any areas for improvement;
- any recommended training requirements.

The completed report is to be sent to the individual's line manager.

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<sup>1</sup> Ref.: IACS Procedures Volume 3

**No.6**  
(cont)**5 Evaluation**

The ~~individual's line manager~~ appropriate management, which may vary with a Society's system, shall review the completed report and where necessary will ensure that the proposed course of action, as appropriate, is implemented.

Results of Activity Monitoring shall be taken into account as part of the individual's annual performance review (see PR 7) and ongoing training needs.

The society shall, ~~at least once every other calendar year~~, annually analyse the results of all ~~a~~Activity mMonitoring for each field of work, to identify possible improvements across the organisation. The society shall categorise variances or adopt an equivalent methodology to facilitate analysis and to identify trends, if any.

**6 Documents and records**

The Society is to:

- 6.1 document the ~~a~~Activity mMonitoring methodology, including how it is reported.
- 6.2 document how Monitors are designated.
- 6.3 document the consequence(s) and action(s) to be taken if ~~a~~Activity mMonitoring is not completed within the required timeframe.
- 6.4 maintain records to demonstrate that all personnel required to be monitored have been monitored within the required timeframe.
- 6.5 maintain records on the analysis of the results of Activity mMonitoring activity for possible improvements across the organisation.

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