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

(Rev.0
July
2009)
(Rev.1
Mar
2010)

1 Definition

Activity Monitoring is an assessment of the individuals of the Society's technical staff by an appointed assessor, at a survey, audit or plan approval.

The scope of the assessment is to evaluate the performance of the individual at work. Plan approval monitoring may be carried out after completion of work.

Technical staff are personnel qualified to carry out technical activity as survey staff or plan approval staff (see PR7), ISM audit staff or maritime security staff (see PR10).

Field of work is a scope of processes encompassing a number of types of surveys, audits and plan approval. The exact content may vary with a Society's system, but for the purposes of this procedure the following fields of work are to be addressed:

- Plan approval
- Survey of materials and equipment
- Survey during construction and installation
- Survey during service
- System audits (ISM, ISPS, ~~Service suppliers, etc.~~).

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

2 Purpose

Activity monitoring has the purpose:

- To assess whether the individuals are competent and capable of carrying out their authorised and assigned work independently, consistent with the Society 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 and/or tools provided for the staff.

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 is not considered as 'System audits'.

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3 Monitoring

Activity Monitoring may be initiated by headquarters, regional or local offices. It shall be carried out by persons who are qualified in the survey or audit being monitored.

It shall be carried out to the extent that the work of each surveyor (both exclusive and non-exclusive) or auditor engaged in survey or audit work will be monitored at least once every two years. Where a person carries out both survey and audit work, they shall be monitored in both work activities at least once every two years. Only one type of survey for a qualified surveyor and one type of audit for a qualified auditor need be monitored within the two-year cycle. Persons doing plan approval shall be monitored at least once every two years.

In the case of a non-exclusive surveyor who is little utilized (i.e. performs fewer than 18 surveys in the preceding two calendar years), it is sufficient that the person is monitored for his/her activities within the third calendar year.

Subsequent to the monitoring, the monitoring surveyor or auditor shall report the activity. Should any comments be necessary, or findings made, these will be included in the report, for review and corrective action.

4 Method

Activity Monitoring is to be performed by personnel authorised to undertake Activity Monitoring.

Preparation should include familiarisation with the processes, requirements and tools (e.g. software) associated with the activity to be witnessed during the activity monitoring.

The monitoring process should include a review of relevant performance information related to the individual's work. This may include: report and certificate accuracy, meeting objectives, received complaints, PSC detention feedback.

Survey, audit or plan approval activity selected for monitoring shall have an extent such as to cover a maximum possible range of activity and qualifications that can be monitored during the attendance.

Monitoring is to include, but not be limited to, evaluation of the individual's:

- personal safety awareness;
- understanding and application of the relevant requirements;
- technical capabilities;
- understanding of the customer related requirements;
- standards of reporting and communication.

Activity monitoring may be combined with vertical contract audit¹.

5 Reporting

Subsequent to the monitoring a report shall be made with conclusions with respect to:

- whether the individuals assessed are capable of carrying out their authorised and assigned work (including particularly positive aspects);
- any areas of improvement;
- any recommended training requirements.

¹ Ref.: [IACS REC 107 Guidance for Application of Vertical Contract Audits](#)

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6 Evaluation

The monitoring report shall be evaluated by the individual's management who will determine the individual's continued authorisation or possible training requirements to obtain further authorisation. The evaluation shall also be part of the annual performance review (Ref. PR 7, Sect. 10.3).

7 Implementation

The Society is to:

- 7.1 document the activity monitoring methodology, including how it is reported.
- 7.2 document how the authorisation to undertake activity monitoring is achieved.
- 7.3 document consequence and actions to undertake if activity monitoring timing is exceeded.
- 7.4 maintain records to demonstrate that all relevant staff have been monitored in the prescribed period.
- 7.5 maintain records to demonstrate level of technical performance and the effect of possible improvement activities across the organisation through the analysis of activity monitoring.

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