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

(Rev.0

July

2009)

(Rev.1

Mar

2010)

(Rev.2

Sept

2011

Complete

Revision)

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 or audit.

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).

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.

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2.4 Field of work

The field of work encompasses various processes and different types of surveys, audits 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. Marine Management Systems Audits.

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

3 Monitoring**3.1 Designation of Monitors**

Activity Monitoring shall be carried out by designated persons who are qualified in plan approval, surveys or Marine Management Systems Audit 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.

3.2 Frequency of 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.

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 monitoring is satisfactorily completed.

The individual whose monitoring 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.

3.3 Selection of the activity

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

3.4 Preparation

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

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3.5 Scope of Monitoring

The scope of the monitoring shall be sufficient to effectively evaluate the performance of the individual at work. Plan approval monitoring may be carried out after completion of plan approval work.

Monitoring is to include, as applicable, 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 audit¹.

4 Reporting

The report shall include evaluation of the performance of the individual at work as indicated in 3.5.

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.

5 Evaluation

The individual's line manager 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.

¹ Ref.: IACS Procedures Volume 3

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The society shall, at least once every other calendar year, analyse the results of all activity monitoring 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 activity monitoring 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 activity monitoring 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 monitoring activity for possible improvements across the organisation.

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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).

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 audit⁴.

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.

⁴ 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.