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# 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)

(Rev.3

Nov

2014)

## 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 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.

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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.

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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 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~~ 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.

**3.2 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 audit<sup>1</sup>.

**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.

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<sup>1</sup> 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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