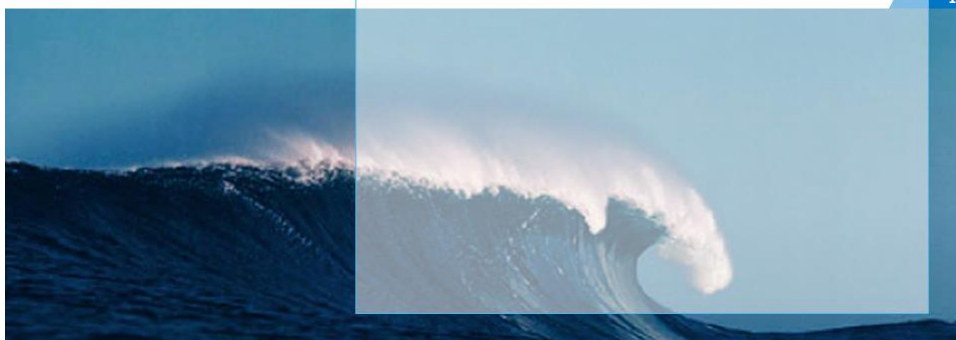


**PRESENTATION****EMSA inspections of  
Recognised  
Organisations**

1

**EMSA INSPECTION OF ROs**

The main Union legislation that deals with recognised organisations is Regulation (EC) No 391/2009 and Directive 2009/15/EC

Commission assesses each of the EU recognised organisations once every two years.

EMSA has been entrusted by the Commission with the task of carrying out the necessary inspections on its behalf

2

**EMSA INSPECTION OF ROs****Regulation (EC) 391/2009****Inspection process****Resources / Output**

3

**Regulation (EC) 391/2009****OBJECTIVE**

- Establish measures to be followed by the **organisations** entrusted with the inspection, survey and certification of ships

4

## Regulation (EC) 391/2009

### Ships

- Falling within the scope of the international conventions

### International conventions

- SOLAS
- MARPOL
- LOAD LINES
- Related Codes of mandatory status

### Inspections and surveys

- Mandatory under international conventions

5

## Regulation (EC) 391/2009

### Recognition process

- Request for recognition by MS
- Assessment by COM together with requesting MS
- Recognition granted by COM if criteria met
- Possibility of limited recognition

### Recognition criteria

- Annex I
- Articles 8(4), 9, 10 and 11

### Commission powers

- Require preventive and remedial action
- Impose fines and periodic penalty payments
- Withdrawal of recognition

### Periodical assessment

- COM together with requesting MS
- Verification that ROs meet the obligations under the Regulation and fulfill the minimum criteria in Annex I

6

## Regulation (EC) 391/2009

### Article 11

#### QUALITY ASSESSMENT AND CERTIFICATION ENTITY

- ROs to set it up by 17 June 2011

#### Tasks

- Assessment of ROs QMS in accordance with ISO 9001
- Certification of ROs QMS
- Issue of interpretations of QM Standards
- Recommendations for the improvement of ROs processes and internal control mechanisms

#### COM assessment

- The quality assessment and certification entity shall be periodically assessed by the Commission

7

## Regulation (EC) 391/2009

### REQUIREMENTS

Administrative

Experience

Independence,  
Impartiality  
and IntegrityOrganization  
and  
Management

Rules

Cooperation

Information

Transfer of  
Class

Quality System

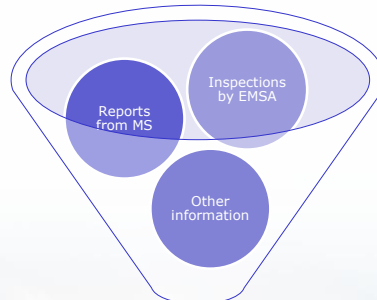
Personnel

Compliance

8



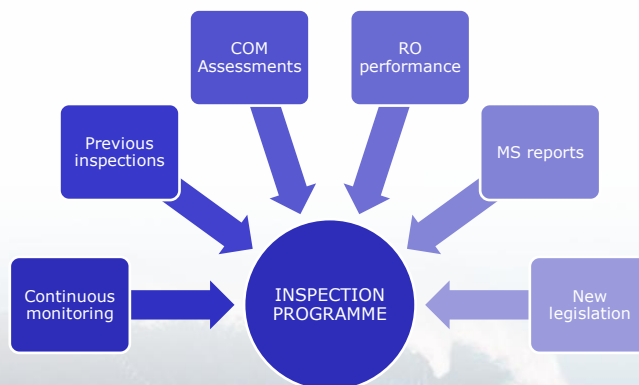
## COMMISSION ASSESSMENT



COMMISSION  
ASSESSMENT

9

## EMSA INSPECTIONS OF ROs Risk Based Approach



INSPECTIONS ARE PLANNED IN ACCORDANCE WITH THE AGENCY'S ANNUAL WORK PROGRAMME  
AND IN CONCERT WITH THE COMMISSION

10

## EMSA INSPECTIONS OF ROs



11

INSPECTIONS ARE PLANNED IN ACCORDANCE WITH THE AGENCY'S ANNUAL WORK PROGRAMME AND IN CONCERT WITH THE COMMISSION

## EMSA INSPECTIONS OF ROs Risk Factors

### Where to go?

- From previous inspections, RO had problems in supervision of new buildings
- RO has started new building surveys in a greenfield shipyard in China
- ...

### What to look for?

- Sufficient staff?
- Effective controls?
- Same problems as in previous inspection?
- ...

12

INSPECTIONS ARE PLANNED IN ACCORDANCE WITH THE AGENCY'S ANNUAL WORK PROGRAMME AND IN CONCERT WITH THE COMMISSION

## EMSA INSPECTIONS OF ROs

### OBJECTIVES

- Verify compliance with the requirements

### SCOPE

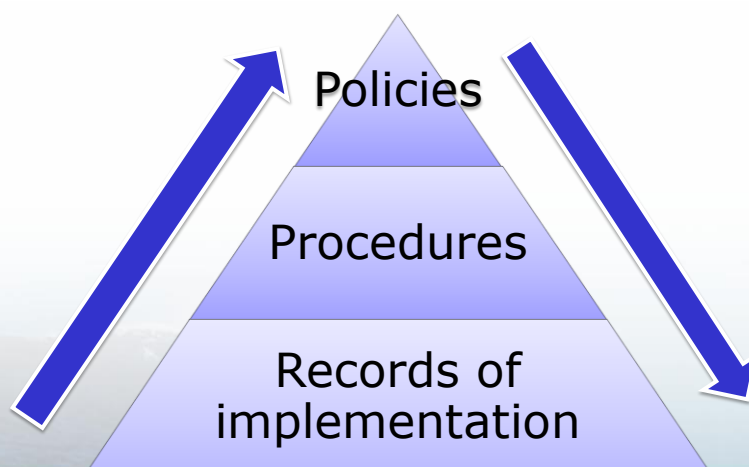
- Determined according to:
  - RO
  - Location
  - Type and importance of activities
  - ...

### OUTPUT

- Factual report to COM, RO and participating MS
- COM uses reports to carry out assessments

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## EMSA INSPECTIONS OF ROs



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## EMSA INSPECTIONS OF ROs

### REQUEST FOR RO INFORMATION

- UPDATED PROCEDURES
- DETAILED INFORMATION ABOUT LOCATION

### COORDINATION WITH RECOGNISING MS

### PREPARATION

### ANALYSIS OF INFORMATION

- FOCUS AREAS
- SCOPE OF INSPECTION
- SELECTED FILES

### WORK PLAN, CHECKLISTS, 'AIDE-MEMOIRE'

15

## EMSA INSPECTIONS OF ROs

### STAFF INTERVIEWS

### EXAMINATION OF RECORDS

### INSPECTION

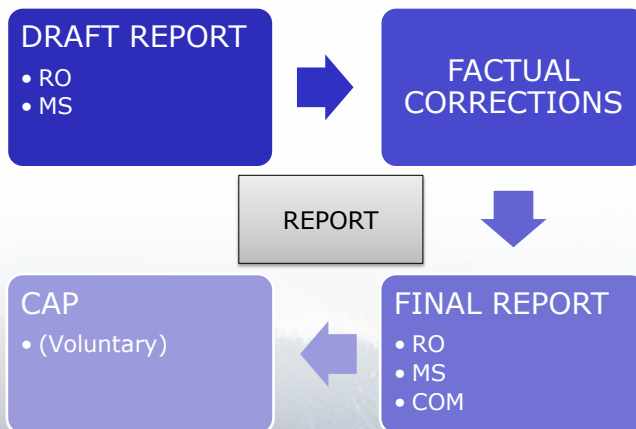
### OBSERVATION OF ACTIVITIES

### FINDINGS ORALLY PRESENTED AT CLOSING MEETING

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## EMSA INSPECTIONS OF ROs



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## EMSA

### Resources

- 11 Assessors
- 1 Project officer

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### Activity

- 190 Inspections since 2004

Thanks for your attention

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# QUESTIONS?

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