

Monitoring of Recognized Organizations by EMSA

Bernardino Rio

Senior assessor

**Unit Safety assessments and
inspections**

EMSA monitoring of ROs

- EMSA founding regulation, Article 2:

"(iii) assist the Commission in the performance of any task assigned to it by existing and future Community legislation on maritime safety, ship pollution prevention and ship pollution response, notably legislation applicable to classification societies,..."

EMSA inspections vs MS monitoring

	COM together with MS requesting recognition	Authorising MS
Assessment of compliance with recognition criteria and obligations in the Regulation	Inspection of RO offices as well as random inspection of ships... (EMSA) (Reg. 391/2009. Art.8)	N/A
Verification that the RO effectively carries out the task to the satisfaction of the Administration	N/A	Monitor the RO (Directive 2009/15. Art. 9)

EMSA monitoring of ROs

- Collection and analysis of information
- Visits to ships together with RO surveyors
- Inspection visits to RO offices, including inspection and witnessing of RO activities at shipyards.

EMSA monitoring of ROs

- Collection and analysis of information (1)
 - IMO
 - IACS
 - PSC databases on regular basis
 - Specialized publications
 - Information directly received from MS (PSC reports, Audit reports, etc.)
 - Annual request for information sent to ROs

EMSA monitoring of ROs

- Collection and analysis of information (2)
 - Output
 - RO profiles
 - Identification of (potential) failures / focus areas
 - Request for further info to RO
 - Visit to ship

EMSA monitoring of ROs

- Visits to ships together with RO surveyors
 - ‘Project Visits to ships’
 - EMSA’s own initiative



EMSA monitoring of ROs

Inspection visits

- Inspection visits to RO locations
 - Inspection programme
 - Implementation of the programme
 - Scheduling inspections
 - Inspection activities
 - Monitoring and reviewing the programme

EMSA monitoring of ROs

Inspection visits

- Inspection programme
 - Resources
 - 10 Assessors
 - Different backgrounds: naval architect, marine engineering, nautical
 - Trained as ISO 9001 auditors
 - From administrations, classification societies, shipping and shipbuilding industry.

EMSA monitoring of ROs

Inspection visits

- Implementation of the programme (1)
 - Scheduling inspections
 - Annual framework plan
 - Number of inspections - target
 - Key issues
 - Coordination with COM assessment
 - ROs
 - Input from previous inspections
 - Detailed quarterly plans
 - ROs and locations
 - Dates
 - Inspection teams

EMSA monitoring of ROs

Inspection visits

- Implementation of the programme (2)
 - Inspection activities
 - Preparation
 - Execution
 - Reporting
 - Follow-up

EMSA monitoring of ROs

Inspection visits

- Preparation
 - Notification of dates and location
 - » RO
 - » MS
 - Request for information to RO
 - » Quality documents, rules and instructions
 - » Information on staff and activities
 - » Lists of surveys
 - Analysis of information from other sources
 - » EMSA continuous monitoring, PSC, etc.
 - » RO profile
 - Location inspection plan

EMSA monitoring of ROs

Inspection visits

- Execution
 - Participation of MS
 - » MS are invited to take part in EMSA inspections
 - » MS representative is not an observer but a team member

EMSA monitoring of ROs

Inspection visits

- Execution
 - Interviews, observation of activities, review of documents
 - Top to Bottom approach
 - » Examination of RO policies, procedures and practices
 - » Do they address the requirements?
 - » Do they ensure compliance?
 - » Verification of implementation through review of files
 - Bottom to Top approach
 - » Review of cases of defective services (e.g. PSC detentions related to RO responsibility)
 - » Review of related files (ship, location, surveyor...)

EMSA monitoring of ROs

Inspection visits

- Execution
 - Sampling of ship files for review:
 - » On the basis of factors such as ship type, age, PSC record
 - » Selection of cases identified through monitoring
 - » Random sampling

EMSA monitoring of ROs

Inspection visits

- Reporting
 - Draft report to:
 - » participating MS, for comments
 - » RO, for factual corrections
 - » Comments/corrections to be provided in 10 working days
 - Final report to:
 - » MS
 - » RO with invitation to submit (voluntary) corrective action plan to EMSA
 - » COM

EMSA monitoring of ROs

Inspection visits

- Follow-up
 - Review of corrective action plan sent by RO
 - » Request for further clarifications, where necessary
 - » Analysis of the plan sent to COM
 - Verification of implementation and effectiveness during next inspections