



PROCEDURE FOR EMPLOYMENT AND MONITORING OF SURVEYORS AND AUDITORS

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CONTROL OF DOCUMENT MODIFICATIONS

Version N°	Date of modifications entry into force	Amended Pages	Relation between amended Paragraph



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1. Objectives.

- .1 The purpose of this Procedure is to provide guidelines and requirements to carry out the admission, authorization, monitoring, evaluation and control over surveyors and auditors. The Procedure also provide provisions and requirements for employment and control of Non-Exclusive Surveyors.

2. Application.

- .1 This Procedure is applied to carry out the following activities:
 - .1 Admission, authorization, monitoring, evaluation and control over surveyors and auditors.
 - .2 Employ and control of non-exclusive surveyors.
- .2 It needs to be emphasized that, in the context of the language of this Procedure, the word "shall" when used, mean that the relevant provision is mandatory.
- .3 This Procedure shall enter into force on **01 April 2022**.

3. Scope.

- .1 This Procedure shall be applied by the technical staff of the Marine Division to carry out the activities specified in Section 2 above, paragraph 2.1.

4. Relevant documentation.

- .1 The following documentation is relevant for the control of the Procedure:
 - .1 IMO-Code for Recognized Organizations (RO Code), Part II, Section 4.2, and Appendix I and Appendix II, as amended.
 - .2 IACS-Procedural Requirements No.5-Definition of Exclusive Surveyor and Non-Exclusive Surveyor and Procedure for Employment and Control of Non-Exclusive Surveyors.
 - .3 PMA-MMC-272-Exclusive Surveyors.
 - .4 Procedure PO02-P01 for technical supervision of ships in service.

5. Responsibilities.

- .1 The Marine Division is responsible for:
 - .1 Admitting, authorizing, monitoring and evaluating of surveyors and auditors.
 - .2 Maintaining a control over surveyors and auditors.
 - .3 Employing and controlling the non-exclusive Surveyors.

6. Definitions.

- .1 **Surveyor:** means a person exclusively employed by ICS Class, who is duly qualified, trained and authorized to carry out surveys and to conclude whether or not compliance has been achieved. Such an exclusive surveyor is not permitted to undertake other employment.
- .2 **Auditor:** means a person exclusively employed by ICS Class, who is duly qualified, trained and authorized to carry out audits and to conclude whether or not compliance has been achieved. Such an exclusive auditor is not permitted to undertake other employment.
- .3 **Non-exclusive surveyor:** means a person who enters into an agreement with ICS Class to act on its behalf and who is also free to work on behalf of other organizations.
- .4 **Technical staff of the Marine Division:** means a person duly qualified and authorized to perform technical activities as surveyor, auditor or plan approval. This person is also qualified and authorized to determine the conformity of the technical supervision, classification and statutory certification of ships carried out by attending surveyors/auditors.
- .5 **Ship in service:** means a ship that is not under construction.



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7. Admission of Surveyors and Auditors.

- .1 To be admitted to ICS Class as part of the Survey or Audit Staff, it is required to have and demonstrate a specific formal education, technical qualification, suitable theoretical and practical training and work experience in carrying out surveys and audits. The requirements (competence criteria) to be admitted to ICS Class as part of the Survey or Audit Staff are established in Annex 1 of this Procedure.
- .2 The candidate's request to be admitted to ICS Class as part of the Survey or Audit Staff can be submitted at any Inspection Office, Representative Offices or directly at the Head Office (Operation Department or Marine Division).
- .3 The candidate's request shall be submitted via email. The request shall be supported by the following documentation:
 - .1 Application Form for Surveyors and Auditors duly completed and signed by the applicant. This document shall include: General candidate information, academic and technical qualifications, general work experience, years of work experience and the candidate's interest type of surveying and auditing.
 - .2 Candidate's Curriculum Vitae (CV). The CV shall be as detailed as possible with regards to the candidate's formal education, technical qualification, theoretical and practical training, skills and work experience in carrying out surveys and audits.
 - .3 Survey and Audit Log for Surveyors and Auditors duly completed and signed by the applicant. In this form shall be documented the last twelve (12) months of activities in carrying out surveys and audits in order to evaluate any previous documented practical experience.
 - .4 Training and Continuing Professional Development (CPD) Log for Surveyors and Auditors duly completed by the applicant. This form has been designed to document and determine any training and qualification needs of the surveyors and auditors with regards to the requirements for training and qualification established in Appendix 1 and Appendix 2 of the RO Code.
 - .5 Documented evidences and certifications on theoretical and practical training and work experience that the candidate may have in relation to:
 - .1 Classification and statutory surveys and audits, including hull and machinery surveys, statutory surveys for LLC 66/88, SOLAS 74/88, MARPOL 73/78 and BWM, 2004 Conventions, statutory inspections for MLC, 2006 and statutory audits for ISM and ISPS Codes.
 - .2 Certificate of competence as a seafarer (highest ranking obtained), if any.
 - .3 Documented evidence of previous or current appointment (ID card, Authorization Letter, etc.) issued by any other organization, such as a flag State Administration, Classification Society, Recognized Organization and P&I Clubs.
 - .4 Any reference letters from previous jobs, if available.
 - .6 Copy of a color digital picture in a high-resolution format (.pdf, .jpg, etc.) which will be necessary for the subsequent making of the surveyor/auditor ID Card.
- .4 The candidate's request supported by the documentation listed in paragraph 7.3 above, shall be thoroughly reviewed and assessed by the technical staff of the Marine Division to determine if the candidate can be admitted to ICS Class as part of the Survey or Audit Staff in accordance with the requirements (competence criteria) established in Annex 1 of this Procedure. The decision will be provided to the applicant in writing.



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- .5 As a result of the verification and evaluation carried out on the candidate's request, in accordance with paragraph 7.4 above, the evaluator shall complete the Admission Form for Surveyors and Auditors. This form shall only be completed when the candidate has been admitted to ICS Class as part of the Survey or Audit Staff.
- .6 Before being admitted to ICS Class as part of the Survey or Audit Staff, the candidate shall be duly advised of the following provision: When a candidate is admitted to ICS Class as part of the Survey or Audit Staff, in accordance with the requirements and provisions of this Section, that candidate is not authorized as a surveyor or auditor to carry out any type of survey or audit on any ship or Company and, accordingly, that candidate may not issue any type of certificate, report or other document on behalf of ICS Class until duly authorized in accordance with Section 8 below.

8. Authorization of Surveyors and Auditors.

- .1 To carry out any type of survey or audit on ships and Companies, including the issuance of the relevant certificates and reports on behalf of ICS Class and flag State Administrations, all surveyors and auditors shall be duly authorized in accordance with the requirements and provisions of this Section. In accordance with Appendix 1 and Appendix 2 of the RO Code, and ICS Class own provisions, the requirements (competence criteria) to be authorized to carry out surveys and audits are established in Annexes 2 to 6 of this Procedure, as follows:
 - .1 Annex 2- Requirements to be authorized to carry out surveys.
 - .2 Annex 3- Requirements to be authorized to carry out ISM Code audits.
 - .3 Annex 4- Requirements to be authorized to carry out ISPS Code audits.
 - .4 Annex 5- Requirements to be authorized to carry out MLC inspection.
 - .5 Annex 6- Requirements to be authorized to carry out BWM survey.
- .2 The authorization process for surveyors and auditors shall be carried out by the technical staff of the Marine Division as follows:
 - .1 The information contained in the forms specified below, supported by documented evidences and certifications on theoretical and practical training and work experience, shall be thoroughly assessed and compared with the requirements (competence criteria) established in Annexes 2 to 6 of this Procedure, as appropriate.
 - .1 Survey and Audit Log for Surveyors and Auditors.
 - .2 Training and Continuing Professional Development (CPD) Log for Surveyors and Auditors.
 - .2 The surveys and audits that are authorized to the surveyor or auditor shall be specified in the form Authorized Activities for Surveyors and Auditors. In this form shall also be specified the type of authorization granted to the surveyor or auditor to carry out the authorized surveys and audits in accordance with paragraph 8.3 below.
 - .3 The surveyor or auditor shall be included in the List of Authorized Surveyor and Auditors.
- .3 The types of authorization granted by the Marine Division to carry out the authorized surveys and audits are as follows:
 - .1 Full authorization (**F**): The surveyor or auditor can carry out the authorized surveys and audits without any type of supervision, including the approval of the relevant Manuals and Plans of the ship and its operations (Plan Approval) and the issuance or endorsement of the relevant certificates and reports. The authorized surveys and audits include initial, annual, periodical, intermediate and renewal.
The requirements that the surveyor or auditor shall meet to obtain full authorization are established in paragraph 8.4 below.



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- .2 Partial authorization under the supervision of a qualified surveyor or auditor, on a case-by-case basis (Authorization **P1**): The surveyor or auditor shall carry out the authorized surveys and audits, including the issuance or endorsement of the relevant certificates and reports, under the supervision of a qualified surveyor or auditor having full authorization. The authorization does not include the approval of the relevant Manuals and Plans of the ship and its operations (Plan Approval). The authorized surveys and audits may only include annual, periodical and intermediate. Authorization P1 may be granted with practical training purpose to achieve the full authorization.
The requirements that the surveyor or auditor shall meet to obtain partial authorization P1 are established in paragraph 8.5 below.
- .3 Partial authorization under the supervision of the technical staff of the Marine Division, on a case-by-case basis (Authorization **P2**). The surveyor or auditor shall carry out the authorized surveys and audits, including the issuance or endorsement of the relevant certificates and reports, under the supervision of the technical staff of the Marine Division. The authorization may include the approval of the relevant Manuals and Plans of the ship and its operations (Plan Approval). The authorized surveys and audits may include initial, annual, periodical, intermediate and renewal. Authorization P2 may be granted with practical training purpose to achieve the full authorization.
The requirements that the surveyor or auditor shall meet to obtain partial authorization P2 are established in paragraph 8.5 below.
- .4 The requirements that the surveyor or auditor shall meet to obtain full authorization to carry out the authorized surveys and audits are as follows:
 - .1 Theoretical and practical training modules completed by the surveyor or auditor shall satisfy the requirements (competence criteria) established in Annexes 2 to 6 of this Procedure for surveys and audits, as appropriate.
 - .2 Competence gained through the theoretical training modules shall be demonstrated through written examination or through suitable computer tests including evidence of examinations, tests and certifications received.
 - .3 Competence gained through the practical training modules shall be demonstrated through documented evidences and certifications received.
- .5 The requirements that the surveyor or auditor shall meet to obtain partial authorization P1 or P2 to carry out the authorized surveys and audits “under supervision”, are as follows:
 - .1 Theoretical training modules completed by the surveyor or auditor shall satisfy the requirements (competence criteria) established in Annexes 2 to 6 of this Procedure for surveys and audits, as appropriate.
 - .2 Competence gained through the theoretical training modules shall be demonstrated through written examination or through suitable computer tests including evidence of examinations, tests and certifications received.
 - .3 Competence gained through the work and practical experience shall be demonstrated through documented evidences and certifications received. The level of competence achieved by the surveyor or auditor through their work and practical experience shall be assessed and accepted by the technical staff of the Marine Division based on the requirements (competence criteria) established in Annexes 2 to 6 of this Procedure for surveys and audits, as appropriate, taking into account that there may be gaps in the practical training of the surveyor or auditor in relation to the aforementioned competence criteria.



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- .6 After being authorized, in accordance with the requirements and provisions established above, the surveyor or auditor shall be provided with the following documentation:
 - .1 Financial Agreement with ICS Class.
 - .2 Admission Form for Surveyors and Auditors.
 - .3 Authorized Activities for Surveyors and Auditors.
 - .4 Conditions of Services for Exclusive Surveyors, Auditors and other staff.
 - .5 Code of Ethics of ICS Class.
 - .6 Procedure PO02-P01 for technical supervision of ships in services.
 - .7 Procedure PO02-P03 for working at a safe work environment.
- .7 After signing the Financial Agreement with ICS Class, the Authorized Activities for Surveyors and Auditors and the Conditions of Services for Exclusive Surveyors, Auditors and other staff, the surveyor or auditor shall be provided with the following credentials:
 - .1 Number of the Inspection (Representative) Office, when appropriate.
 - .2 ICS Class-ID Card.
 - .3 ICS Class-Rubber stamp.
- .8 Depending on the extent of their employment, and in addition to the documentation specified in paragraph 8.6 above, the surveyor or auditor shall also be provided with the following documentation, as necessary:
 - .1 ICS Class-Rules for the Classification and Construction of Ships.
 - .2 Lloyd's Register Rulefinder.
 - .3 Technical Instructives related to the survey or audit he is authorized to perform.
 - .4 Applicable forms that shall be used and issued by surveyors or auditors to facilitate survey/audit planning, to conduct survey/audit and to document the results of such survey/audit, related to the survey or audit that he is authorized to perform (certificates, supplements, records, survey reports, verification lists etc.).
 - .5 Written advice issued by the Marine Division detailing the survey or audit required on a job-by-job basis. This document is applicable when the type of authorization granted is partial authorization under the supervision of the technical staff of the aforementioned Division.
- .9 The requirements and provisions of this Section shall also be applied to those authorized surveyors or auditors who need to increase the number of their authorized activities (surveys and audits) for gaining a new qualification or change the type of authorization, from partial to full authorization.

9. Monitoring and evaluation of Surveyors and Auditors.

- .1 The monitoring of the surveyors and auditors shall be carried out through periodic evaluation of their performance during the execution of the technical supervision, classification and statutory certification of ships and Companies.
- .2 In accordance with Appendix 1 of the RO Code, point A.1.9.2, "for monitoring of practical training for survey and plan approval staff", the evaluation of a surveyor or auditor shall be carried out by the technical staff of the Marine Division at least once every other calendar year (2 years) after being authorized to carry out any type of survey or audit pursuant to Section 8 above. The criteria for evaluating the performance of surveyors or auditors are established in Annex 7 of this Procedure.



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- .3 For evaluating the performance of surveyors or auditors, shall be completed the checklist established in the form Monitoring and Evaluation of Surveyors and Auditors. This checklist includes the evaluation criteria in accordance with Annex 7 of this Procedure, the evaluation scores and the final conclusions of the evaluation.
- .4 Where a person carries out both survey and audit work, they shall be evaluated in both work activities. Only one type of survey for a qualified surveyor and one type of audit for a qualified auditor need be monitored during the evaluation. However, and depending on the results obtained in monitoring, the evaluation may be extended to other types of surveys or audits Persons doing plan approval shall also be evaluated at least once every other calendar year.
- .5 That surveyor or auditor who, at the time of the evaluation, has not reported any activity in two (2) consecutive years, that is, who has not carried out any survey or audit in the last two (2) years, shall be cancelled. To be re-admitted and again authorized as an ICS Class surveyor or auditor (only by a case-by-case basis under the approval of the Principal Surveyor), they shall meet the requirements and provisions of Sections 7 and 8 above for admission and authorization of surveyors and auditors.
- .6 In addition to previous paragraph 9.5, any surveyor or auditor may be cancelled at any time by the Marine Division due to the following reasons:
 - .1 Bad results obtained in the periodic evaluation.
 - .2 Failures or non-conformities encountered by the technical staff of the Marine Division during the assessment and verification of the certification services provided by the surveyor or auditor.
 - .3 Non-compliance with instructions provided by the Marine Division.
 - .4 Non-compliance with instructions provided by the flag State Administration.
 - .5 Malpractices or bad performance reported by the flag State Administration, Port State Control or other competent authority.
 - .6 Responsibility attributed in a ship found with deficiencies by the flag State Administration.
 - .7 Responsibility attributed in a ship detained by the Port State Control.
 - .8 Responsibility attributed in complaints and claims from ships, shipowners and operators.
 - .9 Non-compliance with the Financial Agreement signed with ICS Class.
 - .10 Non-compliance with the conditions of services for exclusive surveyors and auditors.
 - .11 Non-compliance with the Code of Ethics of ICS Class.
 - .12 Any other reason that, in the opinion of the Maritime Division, has affected the reputation of ICS Class as a Classification Society and Recognized Organization.
- .7 The evaluation shall conclude with respect to:
 - .1 Ratification of the authorization without warnings and remarks.
 - .2 Ratification of the authorization with warnings and remarks.
 - .3 Temporary suspension of the authorization with conditions imposed.
 - .4 Cancellation of the authorization due to bad results obtained in the evaluation.
 - .5 Training needs to maintain the authorization or to obtain new authorizations.
- .8 The evaluation of each surveyor or auditor shall be undertaken by the Principal Surveyor of the Marine Division and approved by the General Manager of ICS Class. The final results of the evaluations shall be reported to Inspection Offices, surveyors and auditors.
- .9 When any of the reasons listed in paragraph 9.6 above occur, the performance of the involved surveyor or auditor may be unscheduled evaluated using the checklist established in paragraph 9.3 above. The final conclusion of this evaluation shall satisfy the provisions of paragraph 9.7 above. This evaluation shall be undertaken by the Principal Surveyor of the Marine Division and approved by the General Manager of ICS Class.



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10. Control over Surveyors and Auditors.

- .1 In order to maintain an updated control over the information related to the surveyors and auditors, that include; the personal information, the academic and technical qualifications obtained, the training needs, the certifications received, the work experience, the authorized activities (surveys or audits) and the results of the performance evaluation, a digital folder shall be enabled in the Marine Division for each surveyor or auditor.
- .2 Each digital folder enabled is part of the record Control over Surveyors and Auditors of this Procedure. Each digital folder shall be identified with the name of the surveyor or auditor, and shall contain at least the following information and documentation:
 - .1 Personal identification document.
 - .2 ICS Class-ID Card.
 - .3 Financial Agreement with ICS Class.
 - .4 Conditions of Services for Exclusive Surveyors, Auditors and other staff.
 - .5 Code of Ethics of ICS Class.
 - .6 Application Form for Surveyors and Auditors.
 - .7 Curriculum Vitae (CV).
 - .8 Survey and Audit Log for Surveyors and Auditors.
 - .9 Training and CPD Log for Surveyors and Auditors.
 - .10 Admission Form for Surveyors and Auditors.
 - .11 Authorized Activities for Surveyors and Auditors.
 - .12 Monitoring and Evaluation of Surveyors and Auditors for each evaluation undertaken.
 - .13 Documented evidences and certifications on theoretical and practical training and work experience.
 - .14 Warning letter, suspension or others disciplinary actions taken against the surveyor or auditor, if any.

11. Employment and control of Non-Exclusive Surveyors.

.1 Employment.

- .1 The employment of non-exclusive surveyors shall be limited to locations not easily served by exclusive surveyors.
- .2 The employment of a non-exclusive surveyor due to non-availability of an exclusive surveyor shall be authorized by the flag State Administration on a case-by-case basis. The Marine Division shall make sure that the hired non-exclusive surveyor is duly qualified, trained and authorized to execute all duties by a Recognized Organization (RO) authorized by the relevant flag State Administration within their level of work responsibility.
- .3 The suitability of the non-exclusive surveyor shall be determined before engagement, either:
 - .1 By a previously demonstrated capability to provide a proper service, or
 - .2 By direct assessment by a suitably qualified exclusive surveyor.
- .4 The qualifications of a non-exclusive surveyor shall include:
 - .1 A degree or equivalent from an institution recognized within a relevant field of engineering or physical science, or a qualification from a suitable marine or nautical institution and relevant seagoing experience as a certified ship officer, and
 - .2 Suitable work experience relevant to the processes he or she is authorized to perform.



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- .5 In assessing suitability and qualifications, the experience from class-related work as stated in a CV or other document, shall also be taken into account.
- .6 Proposals for the employment of non-exclusive surveyors together with a CV giving details of education and experience shall be submitted to the Marine Division for assessment and consideration, including the final approval by the Principal Surveyor.
- .7 Records are to be kept of the justification for engagement.
- .8 Non-exclusive surveyors shall fulfill the qualification and training requirements of the quality system procedures and process instructions relevant to the tasks that each is authorized to perform.
- .9 The non-exclusive surveyor is to be engaged by means of a:
 - .1 Contract giving conditions of service in line with the conditions of services for exclusive surveyors, auditors and other staff;
 - .2 General and specific instructions, as necessary;
 - .3 The form Authorized Activities for Surveyors and Auditors with the scope of survey to be carried out. This form shall be approved by the Principal Surveyor of the Marine Division and the General Manager of ICS Class; and
 - .4 The Quotation and the Authorization Number issued by the Operation Department to carry out the authorized survey.
- .10 Depending on the extent of his employment, non-exclusive surveyor shall be supplied with copies of:
 - .1 Rules for the Classification and Construction of Ships.
 - .2 Procedure PO02-P01 for technical supervision of ships in services.
 - .3 Technical Instructive related to the survey he is authorized to perform.
 - .4 Applicable forms that shall be used/issued by Surveyors to facilitate survey planning, to conduct survey, and to document the results of such survey, related to the survey he is authorized to carry out (interim certificates, supplements, records, survey reports, etc.).
 - .5 Written advice detailing the service required on a job-by-job basis by the controlling exclusive Inspection Office or the Maritime Division, as appropriate.

.2 Control.

- .1 Effective controls shall be maintained over the non-exclusive surveyor by the controlling exclusive Inspection Office, by means of:
 - .1 Examination of survey reports and interim certificates issued.
 - .2 Activity monitoring in accordance with Procedures PO02-P01 for technical supervision of ships in services.
- .2 Effective controls shall be maintained over the non-exclusive surveyor by the technical staff of the Marine Division, by means of: The assessment and verification of the certification services provided by the surveyor in accordance with Procedures PO02-P04 for full-term certification, including the examination of survey reports and interim certificates issued.
- .3 The surveys carried out by non-exclusive surveyors may be subject to a subsequent confirmatory survey being carried out by an exclusive surveyor.
- .4 A comprehensive list of non-exclusive surveyors engaged shall be maintained centrally by the Marine Division. Records are to be kept of the justification for engagement, including the documents listed in paragraph 11.1.9 above supporting the engagement of the non-exclusive surveyor.



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12. Follow-up and measurement of the results.

- .1 Compliance with this Procedure is monitored, measured, analyzed and evaluated by the technical staff of the Marine Division through the review and verification of the results of the following activities:
 - .1 Admission, Authorization, Monitoring and Evaluation of Surveyors and Auditors.
 - .2 Control over Surveyors and Auditors.
 - .5 Employment and control of Non-Exclusive Surveyors.

13. Follow-up and measurement resources.

- .1 Compliance with this Procedure is monitored, measured, analyzed and evaluated by the technical staff of the Marine Division with due competence and authorization for this purpose.
- .2 The results of the monitoring, measurement, analysis and evaluation of the activities regulated in this Procedure, carried out by the technical staff of the Marine Division, are reviewed, verified, approved and released by the Principal Surveyor of that Division.

14. Documented information revoked.

- .1 PE02-P02-Procedure for the Selection, Authorization, Evaluation and Control of Surveyors & Auditors, Version 01 (08-2018).
- .2 Statutory Notice No. 30/2019- Conditions of Service for Exclusive Surveyors, Auditors and other Staff.
- .3 Statutory Notice No. 121/2016- Evaluation of Surveyors (2016).
- .4 Statutory Notice No. 132/2017- BWMC, Requirements for ICS Surveyors.

15. Records.

- .1 PE02-P02/R1- Application Form for Surveyors and Auditors.
- .2 PE02-P02/R2- Survey and Audit Log for Surveyors and Auditors.
- .3 PE02-P02/R3- Training and Continuing Professional Development (CPD) Log for Surveyors and Auditors.
- .4 PE02-P02/R4- Admission Form for Surveyors and Auditors.
- .5 PE02-P02/R5- Authorized Activities for Surveyors and Auditors.
- .6 PE02-P02/R6- List of Authorized Surveyor and Auditors.
- .7 PE02-P02/R7- Conditions of Services for Exclusive Surveyors, Auditors and other staff.
- .8 PE02-P02/R8- Code of Ethics of ICS Class.
- .9 PE02-P02/R9- Monitoring and Evaluation of Surveyors and Auditors.
- .10 PE02-P02/R10- Control over Surveyors and Auditors (digital folders).

16. Annexes.

- Annex 1- Requirements to be admitted to ICS Class as part of the Survey or Audit Staff.
Annex 2- Requirements to be authorized to carry out surveys.
Annex 3- Requirements to be authorized to carry out ISM Code audits.
Annex 4- Requirements to be authorized to carry out ISPS Code audits.
Annex 5- Requirements to be authorized to carry out MLC inspection.
Annex 6- Requirements to be authorized to carry out BWM surveys.
Annex 7- Criteria for evaluating the performance of Surveyor or Auditor.



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Annex 1

Requirements to be admitted to ICS Class as part of the Survey or Audit Staff (Competence criteria)

1. The candidate shall have, as a minimum, the following formal education:
 - .1 Qualifications from a tertiary institution within a relevant field of engineering or physical science (minimum two-year programme); or
 - .2 Qualifications from a marine or nautical institution and relevant seagoing experience as a certificated ship officer, and
 - .3 Proficiency in the English language commensurate with the scope of classification, statutory certification and services.
2. The candidate shall have appropriate experience in carrying out inspections, surveys or examination of ships to assess, control and report on their technical condition. The requirements to have the appropriate experience may include one of the following:
 - .1 At least two (2) years' experience as a full-time marine surveyor, accumulated in the last five (5) years; or
 - .2 At least five (5) years' seagoing experience as a full-time ship officer, accumulated in the last eight (8) years.
3. Through documented evidences and certifications received, the candidate shall demonstrate a depth of knowledge and work experience in carrying out surveys related to: structure, machinery, electrical and mechanical systems, equipment (navigational, safety, radio, etc.) and general condition of the ships.
4. In assessing suitability and qualifications of the candidate, the experience from class-related work in accordance with classification Rules, and from statutory certification and services in accordance with the applicable IMO International Conventions and Codes and national legislation, as stated in the Curriculum Vitae (CV) or other records submitted by the applicant, shall also be taken into account.



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Annex 2

Requirements to be authorized to carry out surveys (Competence criteria)

In accordance with Appendix 1 and Appendix 2 of the RO Code.

1. The surveyor shall demonstrate a depth of knowledge and understanding of:
 - .1 Activity and functions of classification societies.
 - .2 Activity and functions of IMO and maritime Administrations.
 - .3 Classification of ships.
 - .4 Types of certificates and reports issued on completion of class and statutory surveys.
 - .5 Quality Management System.
 - .6 Personal safety regulations.
 - .7 ICS Class Conditions of services for exclusive surveyors, auditors and other staff.
 - .8 ICS Class Code of Ethics.
2. The surveyor shall demonstrate that he is sufficiently familiar with the applicable Rules, technical standards, statutory regulations and any additional requirements specific to the type of survey for which he/she will be authorized.
3. The surveyor shall demonstrate sufficiently proficient to carry out survey or design assessment work independently, in accordance with Appendix 2 of the RO Code for specific criteria for each certificate. The specific criteria for the International Ballast Water Management Certificate are established in Annex 6 below.
4. The surveyor's practical training and work experience shall be commensurate with the complexity of design assessment (review of technical design of ships, review of technical documentation on materials and equipment) for which he/she will be authorized.
5. The surveyor's practical training and work experience shall be commensurate with the complexity of the survey (types or categories of surveys, types of ships, specific subjects (hull, machinery, and electrical engineering) and types of certificates to be issued) for which he/she will be authorized.



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Annex 3

Requirements to be authorized to carry out ISM Code audits (Competence criteria)

In accordance with Appendix 1 and Appendix 2 of the RO Code.

1. The auditor shall demonstrate a depth of knowledge and understanding of:
 - .1 Principles and practice of management systems auditing based on the standard ISO 19011 or equivalent.
 - .2 Requirements of the ISM Code and its interpretation and application.
 - .3 Mandatory rules and regulations and applicable codes, guidelines and standards recommended by the IMO, Administrations, Classification Societies and maritime industry organizations.
 - .4 Basic shipboard operations, including emergency preparedness and response.
2. The auditor shall demonstrate that he has the ability to apply such knowledge and understanding and that he is capable of carrying out effective verification audits of the shore-based and shipboard aspects of marine management systems against the ISM Code as applicable.
3. The auditor shall possess the competence to:
 - .1 Determine whether the management system elements conform or do not conform with the requirements of the ISM Code;
 - .2 Determine the effectiveness of the Company's safety management system, or that of the ship, in order to ensure compliance with rules and regulations as evidenced by the statutory and classification survey records;
 - .3 Assess the effectiveness of the safety management system to ensure compliance with other rules and regulations which are not covered by statutory and classification surveys and to enable verification of compliance with these rules and regulations; and
 - .4 assess whether the safe practices recommended by the IMO, Administrations, Classification Societies and maritime industry organizations have been taken into account.
4. The competences described above may be acquired as a result of any combination of the following:
 - .1 Previous relevant qualifications and experience.
 - .2 Theoretical training.
 - .3 Practical training in accordance with Appendix 2 of the RO Code (specific criteria for the International Safety Management Code certification).
5. The auditor shall have at least five (5) years of experience in areas relevant to the technical or operational aspects of shipboard operational management (selection criteria to be accepted for training). Such experience may be gained in the following ways:
 - .1 Ship classification or statutory surveys; or
 - .2 Sea-going service as a certificated watch-keeping officer; or
 - .3 Employment in a technical role (for example: technical manager, superintendent, operations manager) in a ship management company; or
 - .4 Any combination of these three.
6. The auditor shall have completed at least four (4) training audits under supervision of suitably qualified and experienced auditors and in accordance with the following criteria:
 - .1 At least one (1) shall be a Company audit.
 - .2 At least one (1) shall be a shipboard audit.
 - .3 The training audits may be initial, renewal, annual or intermediate. Additional audit may be used only when audit covering all elements of the ISM Code and SMS.



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7. A qualified auditor who has not performed at least two (2) audits in any two (2) calendar year period shall be required to undergo two (2) revalidation audits under the supervision of a suitably qualified and experienced auditor. These audits may be on ship or Company.
8. A qualified auditor who has not performed any audits in any five-year period shall be required to undergo revalidation training to include a one-day refresher course and two audits under the supervision of a suitably qualified and experienced auditor. The one-day refresher course should include familiarization with the latest version of the audit and certification procedures, changes in regulatory requirements, new or updated reporting systems, the most recent guidance on the interpretation and application of the ISM Code, etc. This course may be delivered by alternative learning methods (distance learning, video conference, webinars, etc.)



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Annex 4

Requirements to be authorized to carry out ISPS Code audits (Competence criteria) In accordance with Appendix 1 and Appendix 2 of the RO Code.

1. The Maritime Security Auditor shall demonstrate a depth of knowledge and understanding of:
 - .1 Principles and practice of management systems auditing based on the standard ISO 19011 or equivalent.
 - .2 Knowledge of ISM Code.
 - .3 The requirements of the ISPS Code and its interpretation and application.
 - .4 Mandatory rules and regulations and applicable codes, guidelines and standards recommended by the IMO, Administrations, Classification Societies and maritime industry organizations.
 - .5 Basic shipboard operations including emergency preparedness and response.
2. The auditor shall demonstrate that he has the ability to apply such knowledge and understanding and that he is capable of carrying out effective verification audits of the Security System and associated security equipment of the ship against the ISPS Code as applicable.
3. The auditor shall possess the competence to:
 - .1 Determine whether the Security System and associated security equipment of the ship conform or do not conform with the requirements of the ISPS Code;
 - .2 Determine the effectiveness of the Security System in order to ensure compliance with the ISPS Code; and
 - .3 Assess whether the security practices recommended by the IMO, Administrations, RSO and maritime industry organizations have been taken into account.
4. The auditor shall have completed and approved any of the following ISPS Code training courses:
 - .1 Ship Security Officer.
 - .2 Company Security Officer.
 - .3 Company and Ship Security Officer.
 - .4 Port Facility Security Officer.
 - .5 Maritime Security Auditor.
 - .6 Internal Auditor.
5. The Auditor shall be able to conduct verification audits of compliance with the ISPS Code having knowledge of:
 - .1 All requirements of the ISPS Code.
 - .2 National Legislation with regard to security issues.
 - .3 Ship operations and the Ship/Port interfaces.
 - .4 Maritime Security Practices.
6. The competences described above may be acquired as a result of any combination of the following:
 - .1 Previous relevant qualifications and experience.
 - .2 Theoretical training.
 - .3 Practical training.



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7. The auditor shall have completed at least two (2) training audits under supervision of suitably qualified and experienced auditors. The training audits may be initial, renewal or intermediate. Additional audit may be used only when audit covering all elements of the ISPS Code.
8. A qualified auditor who has not performed at least two (2) audits in any two (2) calendar year period shall be required to undergo two (2) revalidation audits under the supervision of a suitably qualified and experienced Auditor.
9. A qualified Auditor who has not performed any audits in any five-year period shall be required to undergo revalidation training to include a one-day refresher course and two audits under the supervision of a suitably qualified and experienced Auditor. The one-day refresher course should include familiarization with the latest version of the audit and certification procedures, changes in regulatory requirements, new or updated reporting systems, the most recent guidance on the interpretation and application of the ISPS Code, etc. This course may be delivered by alternative learning methods (distance learning, video conference, webinars, etc.)



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Annex 5

Requirements to be authorized to carry out MLC inspection (Competence criteria) In accordance with ICS Class own requirements

1. The MLC Inspector shall demonstrate a depth of knowledge and understanding of:
 - .1 Principles and practice of management systems auditing based on the standard ISO 19011 or equivalent.
 - .2 Knowledge of ISM Code.
 - .3 The requirements of the MLC, 2006 and its interpretation and application.
 - .4 The requirements of the ILO Conventions and its interpretation and application.
 - .5 Basic shipboard operations, including the minimum requirements for seafarers to work on a ship (STCW Convention included), conditions of employment, accommodation, recreational facilities, food and catering, accident prevention, health protection, medical care, welfare and social security protection.
 - .6 Guidelines for flag State inspection as well as applicable national laws and regulations.
2. The inspector shall have completed and approved MLC, 2006 training course for inspectors as well as continuous updating as circumstances dictate in the knowledge, understanding and interpretation of the MLC, 2006. This updating may be through additional training courses, distant learning, in-house training or other suitable recognized method.



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Annex 6

Requirements to be authorized to carry out BWM surveys (Competence criteria) In accordance with ICS Class own requirements

1. The surveyor shall have successfully completed and approved the Ballast Water Management (BWM) Training Module for ICS Class Surveyors (mandatory). Other BWM Training Course are also recommended (optional).
2. The surveyor shall have documented previous experience and authorization in carrying initial, annual, intermediate and renewal surveys of the following certificates:
 - .1 Hull and Machinery (Class Certificates);
 - .2 International Load Line (ILL);
 - .3 Cargo Ship Safety Construction (CSSC); and
 - .4 IOPP (MARPOL, Annex I).



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Annex 7

Criteria for evaluating the performance of Surveyor or Auditor

The criteria for evaluating the performance of the Surveyor or Auditor are related to:

1. Maintenance or updating of qualifications through the following methods:
 - .1 Self-study (unassisted study);
 - .2 Courses and seminars;
 - .3 Extraordinary technical seminars in case of significant changes in the classification Rules or International Conventions, Codes, etc. (with examination if required); and
 - .4 Special training on specific works or type of survey in some areas of the activity, which are determined by activity monitoring or by a long-time absence of practical experience.
2. Competence and abilities of the surveyor or auditor in relation to:
 - .1 Personal safety awareness in accordance with Procedure PO02-P03 for working at a safe work environment.
 - .2 Maintaining awareness of any changes of the relevant regulations and applicable requirements to carry out the technical supervision, classification and statutory certification of ships and Companies.
 - .3 Knowledge and technical skills to carry out the technical supervision, classification and statutory certification of ships and Companies in accordance with Procedure PO02-P01 for technical supervision of ships in services, with respect to:
 - .1 understanding and application of the relevant regulations and applicable requirements;
 - .2 completion of surveys or audits, including the handling of detainable deficiencies/defects found in performing survey or audit;
 - .3 report any remarks, non-conformities, failures encountered in performing the surveys or audits;
 - .4 remain alert to any indication of evidence that can be influence in the results of surveys or audits and possibly require more extensive surveys or audits;
 - .5 issuance and endorsement of relevant certificates and reports; and
 - .6 report the surveys or audits results clearly, conclusively and without undue delay.
 - .4 Carrying out the authorized surveys and audits independently, in accordance with the ICS Class policies, practices and regulations.
3. Responsibility attributed to the surveyor or auditor in relation to:
 - .1 Major non-conformities or failures encountered by the technical staff of the Marine during the assessment and verification of the certification services provided by the surveyor or auditor.
 - .2 Non-compliance with instructions provided by the Marine Division.
 - .3 Non-compliance with instructions provided by the flag State Administration.
 - .4 Ships detained by the Port State Control.
 - .5 Ships found with deficiencies by the flag State Administration.
 - .6 Major non conformities detected during an ICS Class Quality Management System audit.
 - .7 Major non conformities or failures detected during an ICS Class verification by a flag State Administration.
 - .8 Bad performance or malpractices reported by the flag State Administration, Port State Control or other competent authority.
 - .9 Complaints and claims from ships, shipowners and operators.



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4. Compliance with the following documents:
 - .1 Financial Agreement signed with ICS Class.
 - .2 Conditions of services for ICS Class exclusive surveyors and auditors.
 - .3 Code of Ethics of ICS Class.
5. Warning letters, suspension letters or others disciplinary actions taken against the surveyor or auditor during the evaluation period.