

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

**PROCEDURES FOR THE CONTROL OF SURVEYORS AND SUPPLIERS OF SERVICES ON BOARD**

	POSITION	DATE	SIGNATURE
PREPARED BY	QUALITY MANAGER		
REVIEWED BY	TECHNICAL DIRECTOR		
APPROVED BY	GENERAL MANAGER		

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

## 1. OBJECTIVE

Delineate the parameters and requirements for the procedures of evaluation, selection, approval and monitoring of surveyors and offices supplying services in order to ensure a high quality level.

## 2. SCOPE

Control of Surveyors: evaluation and selection of surveyors, administrative control and monitoring periodic evaluations of surveyors and appropriate measures, extraordinary evaluations of surveyors and appropriate measures.

Control of service suppliers on board: verification of the service suppliers on board when required.

## 3. RESPONSIBILITY

- 3.1. The Technical Department is responsible for enforcing and implementing the standards and guidelines presented in this procedure.
- 3.2. The Technical Officer is responsible for supporting the management in enforcing full compliance of this procedure, keeping control and monitoring of the surveyors to ensure full compliance with the requirements of the agreement.

## 4. DEFINITIONS

- 4.1. CONTROL: Is the analysis / evaluation that the Technical Department periodically carries out to the surveyors and offices providing services with the objective to determine whether the work performed during a certain period is acceptable. The analysis should conclude to whether the surveyors is kept as such or is withdrawn.
- 4.2. EVALUATION: Is the analysis that the Technical Officer carries out with the documentation duly rendered by the applicant when supplying the Application / Update Form for the purpose of determining whether it meets the minimum requirements established by NASHA, and if it has the experience and qualities to be deemed as a surveyor.
- 4.3. SURVEYORS: Personnel performing the survey, verification, testing or calibration activity of one or more characteristics of the entity by comparing the results with the specific requirements for establishing conformity in each characteristic.
- 4.4. SERVICE SUPPLIERS ON BOARD: Are those that perform specific works required on vessels; these includes Radio technicians, Companies to perform thickness measurements, divers, Companies for inspection of Lifesaving Equipment, Companies for inspection of firefighting equipment, etc.

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

4.5. **SELECTION:** is the result of the analysis conducted by the Technical Officer on the information contained in the Application Form and by means of the Surveyors Approval Form. In which the approval and scope of the surveyor is concluded.

## 5. ACTIVITIES

### 5.1. Control of Surveyors

#### 5.1.1. *Evaluation and Selection of Surveyors*

##### General Manager / Technical Director

5.1.1.1. Sends a Service Proposal (F-GR-01-04-01) or receives the documentation of the new applicant.

##### Technical Department

5.1.1.2. Reviews the application and verifies that it contains all the information requested. If necessary the applicant will be requested to provide additional information.

5.1.1.3. Evaluates and selects the surveyors with the information received. For this activity, the Surveyor Approval Form is to be completed and the information received from the candidate is compared with the minimum requirements that must have a personnel according to the OR Code and the Organization itself, which are detailed below:

5.1.1.3.1. Degree from an institution of higher education in the field of engineering or physical science (minimum two year program); or

5.1.1.3.1.2. Qualifications from a marine or nautical institution and relevant experience on board a ship as a qualified officer entitled;

5.1.1.3.1.3. English language proficiency proportional to the scope of the certifications and statutory services.

5.1.1.3.2. For surveyors applying to render Classification services, they shall be required the pertaining experience in the field related to:

- Ship maintenance and repairs or
- Supervision of new shipbuilding or survey tasks or
- Classification as surveyors from other Classification Societies or
- Flag Inspector or
- Surveyor with proper training in marine engineering and structural area (documented).

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

5.1.1.4. Verify that the documents contain evidence that the applicant has completed training according to the modules described in the OR Code, or having training / certification in the following points:

5.1.1.4.1. Modules of the OR Code as applicable: 2A (Hull Structure), 2B (Machinery Systems), 2C (Subdivision and Stability), 2D (Load Line), 2E (Tonnage), 2F (Structural Fire Protection), 2G (Safety Equipment), 2H (Oil Pollution Prevention), 2I (NLS Pollution Prevention), 2J (Radio) – (Radio Technicians), 2K (Carriage of Dangerous Chemicals in Bulk), 2L (Carriage of Liquefied gases in bulk), 4B (Radio Survey Qualifications), or

5.1.1.4.2. Certification of Marine Surveyor (Marine Surveyor); or

5.1.1.4.3. Certification as Flag Surveyor, pointing the extent to which it has certified; or

5.1.1.4.4. To carry out the SMC/DOC audit, must have:

- Training / Certification as ISM auditor pursuant with the provisions of IMO Resolution A. 1022 (26): Item 3 of Annex (Standard of Competence for ISM Code).

5.1.1.4.5. To carry out ISSC audit, must have:

- Certification as: Onboard Security Officer or Port Facility Security Auditor for ISPS Code.

5.1.1.4.6. To carry out MLC audit, must have:

- Certification of Maritime Labour Inspector, complying with the provisions of the Maritime Labour Convention, 2006 (MLC, 2006).

**Note:** Theresponsibilitiesandrequirements ofthetechnicalstaff (headquarters) are as described in the job description.

+

5.1.1.5. Analyzes the content of the information provided by the candidate according to the requirements for each certificate, concluding his evaluation when:

5.1.1.5.1. Approved as a surveyor, proceeds to verify the activities that the aforesaid may exercise, according to the RO Code by type of Certificate.

5.1.1.5.2. Not approved as a surveyor, records in the Surveyor's Approval Form the reasons why the application is not approved.

5.1.1.6. Sends documentation along with the Surveyor's Application (F-GR-4.1.01) and Approval (F-GR-04/02/01) establishing the certificates that

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

the aforesaid may issue to the General Manager or Technical Director for final verification and approval.

**Note:** Prior to the approval, we will request authorization to the Maritime Administration, in order to confirm that surveyor does not has any other agreement, according the circular MMC 272.

General Manager or Technical Director

5.1.1.7. Evaluates and finally decides the approval or rejection of the application, stamping his signature on the approval form.

5.1.1.8. Sends the documents to the Quality Assistant for:

5.1.1.8.1. The numerical assignment:

5.1.1.8.1.1. If being an exclusive surveyor for NASHA it is set as follows:

**Example:** 15-01

15	Consecutive number of the Company
01	Consecutive number of the Surveyor

5.1.1.8.1.2. If a company that is under the surveyor's exchange agreement between Recognized Organizations the number 35 shall be appointed, with prior approval of the administration, according to the circular MMC 272.

**Example:** 35-01

35	Exclusive number for the Surveyor's Exchange agreement between Recognized Organization
01	Consecutive number of the Company

**Note:** the number appointed to the company will be used by all surveyors who are laboring under it.

5.1.1.8.2. Respective preparation of the Identification Card (ID) for the Approved Surveyor.

**Note:** Excepting the making of identification card (ID) for surveyors who are paying their services under the Surveyor's exchange agreement between Recognized Organizations (F-GR-01-04-08).

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

### 5.1.2. *Control and Administrative Monitoring*

#### Quality Assistant

- 5.1.2.1. Proceeds to incorporate into the appropriate office file the surveyor that has been selected by the General Management or Technical Management along with its own ID number. Such file being organized numerically by office shall indicate in the individual section for ID numbers designated to each surveyor.
- 5.1.2.2. Once approved, in the Surveyor's file the following information shall be kept:
- 5.1.2.2.1. Request form.
  - 5.1.2.2.2. Curriculum Vitae (CV).
  - 5.1.2.2.3. Surveyor's Evaluation and Approval Form
  - 5.1.2.2.4. Copy of ID
  - 5.1.2.2.5. Copies of certificates and seminars obtained
  - 5.1.2.2.6. Contract or Agreement of the Representative Office
  - 5.1.2.2.7. Contract or agreement as **NASHA's** exclusive surveyor for statutory and / or Class certification, as applicable.

**Note:** For surveyors who are serving under other recognized organization shall comply with items 5.1.2.2.2 and 5.1.2.2.5 (survey to be performed) and with prior permission of the administration.

#### Quality Assistant

- 5.1.2.3. Prepares, as directed by the General Manager, Contract or Agreement (F-GR-01/04/05) with the corresponding Representative Office and the exclusive agreement for the Surveyor (F-GR-4.7.01).

For companies that are under the condition of Surveyor's exchange agreement between Recognized Organizations the agreement (F-GR- 01-04-08) is prepared.

- 5.1.2.4. Sends to the Surveyor or Office the contract (s) or agreement (s) (as applicable) which describes working conditions for its acceptance.
- 5.1.2.5. Proceeds to update the List of Exclusive Surveyors (L-GR-01-04-03) and enables the access to NASHA's web page where all the instructive, procedures and forms will be available and to the extent to which the aforesaid is authorized to.

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

**Note:** as a guarantee or training, the internal training modules shall be sent to the surveyor (NASHA Modules L-GR-01-04-08). Once the instructor has sent the exams by module, the Approval Certificate as Surveyor (F-GR-01-04-02) shall be updated and at the same time the List of Exclusive Surveyors (L-GR-01-04-03).

Technical Director / Operations Manager

5.1.2.6. Prepares and sends in an annual basis the list of exclusive surveyors to the administration in pursuance to MMC 272.

Technical Department

5.1.2.7. Prepares and sends a package which contains a seal, NASHA's ID card(s)

5.1.3. **Communication with the Surveyor**

Technical Director / Surveyor

5.1.3.1. Keeps all the surveyors updated by means of emailing any modified documents or technical letters of whatever new regulation or amendment to which is to be complied with. Such will be posted in our web page.

5.1.4. **Periodical evaluation of Surveyors and appropriate measures.**

Quality Assistant

5.1.4.1. Prepares the Performance Evaluation Form (F-GR-01-04-06) for each active surveyor in accordance to the list of exclusive surveyors and handles such to the Technical Director or General Manager for its evaluation.

Technical Director and/or General Manager

5.1.4.2. Evaluates the performance of the surveyor and the office once a year.

Requirements to be evaluated:

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

5.1.4.2.1. "Productivity", volume of work with regards to the geographical area (by the Technical Director or General Manager), representing 30% of the evaluation.

5.1.4.2.2. "Compliance and Cooperation", complying with the Quality Procedures and Technical Instructive, support and cooperation with Head office (by Technical Director or General Manager), representing 30% of the evaluation.

5.1.4.2.3. "Objectivity", impartial criteria during the verification of enforcing international and national maritime regulations at the vessel surveys, (by the Technical Director or General Manager), including any fines due to negligence, representing 40% of the evaluation.

Technical Department/ General Manager

5.1.4.3. After obtaining the results from the evaluation, taking into account the previously mentioned areas (productivity, compliance and cooperation, objectivity), the status shall be determined for the surveyor, which such will be established on a 0-100 scale as follows:

1. **OUTSTANDING (91-100):** The surveyor demonstrated an excellent performance, surpassing widely the patterns and levels established for the services.
2. **SUPERIOR (81-90):** the surveyor demonstrated a good performance, according to the patterns and levels established for the services.
3. **GOOD (71-80):** The surveyor fulfilled the expectations.
4. **REGULAR (51-70):** The surveyor needs to improve.
5. **UNSATISFACTORY (0-50):** The surveyor was found below expectations. Required to apply more endeavor and enter the training program.

**Note:** In case the results from the evaluation are less than 71, the surveyor must be contacted.

5.1.4.4. Prepares a warning letter, if necessary, and one proceeds to train the surveyor targeting the weak points.

5.1.5. **Extraordinary evaluations and appropriate measures.**

Technical Department

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------



	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

- 5.1.5.1. Carries out nonscheduled evaluations, whether partial or individual, in those cases for evidenced complaints that have been received from approved surveyor(s) or received by clients or other surveyors, maritime Administrations or when detected by the office.
- 5.1.5.2. Requests to the affected office / surveyor(s), their defense against the complaints and their supporting evidence.
- 5.1.5.3. Presents all the related documentation with regards to this case to the Technical Director and/or General Manager.

Technical Director and/or General Manager

- 5.1.5.4. Evaluates all the related criteria in relation to the complaint; among these, the lack of objectivity, dishonesty, attitude that indisposes the image and seriousness of our company, non-compliance of the procedures and instructive of the Quality System or non-compliance of the National and International Maritime Regulations.
- 5.1.5.5. May conclude the extraordinary evaluation with the continuity, warning, temporal suspension, acceptance of voluntary resignation or definitive cancelation.

Technical Department

- 5.1.5.6. Prepares a Warning, Temporal Suspension or Cancellation Letter, whichever the case, to be signed by the General Manager / Technical Director, and sends the Letter to the surveyor/office.
- 5.1.5.7. Informs the Operations Management about the result of the evaluation in order to proceed accordingly.

**5.1.6. Notification / Cancellation of a Surveyor**

Technical Department

- 5.1.6.1. Prepares a Warning Letter, signed and sealed by the Technical Director / General Manager, for the following situations:
  - 5.1.6.1.1. In case of one detention after an inspection has been carried out in a period of three (3) months.
  - 5.1.6.1.2. In case the vessel has been detained in two (2) occasions within a period of 1 year.
  - 5.1.6.1.3. In case of noncomplying with the established procedures of Head Office.

**Note:** Training shall be given for the previously mentioned items in connection to the warning letter.

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

5.1.6.2. Prepares Temporal Suspension (3 months) letter, signed and sealed by the Technical Director / General Manager, for the following situations:

5.1.6.2.1. In case of having 3 warning letters within a minimum period of 1 year.

5.1.6.2.2. In case a vessel has been detained three (3) times within a minimum period of 1 year.

**Note:** Training shall be provided for the aspects showing deficiency.

5.1.6.3. Prepares cancellation letter, signed and sealed by the Technical Director / General Manager for the following situations:

5.1.6.3.1. In case of having a vessel gets detained five (5) times within a two (2) year period.

5.1.6.3.2. In case of having 3 temporal suspensions.

5.1.6.3.3. In case of threatening the integrity of the company.

#### Quality Assistant

5.1.6.4. Keeps a copy in the file of the document sent to the penalized surveyor / vessel, in connection to the aforementioned cases.

#### **5.1.7. Annual Training Program**

#### Technical Director

5.1.7.1. Prepares an Annual Training Program (F-GR-01-01-03) stipulating the courses to be developed, whether on a refreshment approach or to cover the detected necessities of head office / exclusive surveyors.

5.1.7.2. Ensures that the content of the training is duly rendered for each as established in the program.

#### Technical Department

5.1.7.3. Provides monitoring to the Annual Training Program, for the purpose of sending via email the corresponding course of the month.

5.1.7.4. After receiving the exam, this will be reviewed and shall be proceed to prepare a certification; in case of not being sent by the surveyor, this shall be likewise taken into account for the annual evaluation and at the same time the surveyor shall be contacted in order to know the cause of not complying with such.

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

## 5.2. Control of Service suppliers on board

### 5.2.1. Verification of service suppliers onboard

5.2.1.1. The following shall be considered service suppliers onboard:

- 5.2.1.1.1. Radio Technicians,
- 5.2.1.1.2. Companies rendering thickness measurement services,
- 5.2.1.1.3. Divers (under water survey),
- 5.2.1.1.4. Companies for the Inspection of Lifesaving Equipment; Companies for the Inspection of Firefighting Equipment.

#### Technical Department

5.2.1.2. In the case of companies carrying out thickness measurements, it shall be verified that such have been approved or are approved by a Classification Society (IACS) or by a RO authorized by the administration.

Additionally it shall be requested:

- a) List of surveyors of the company,
- b) List of the equipment with the last calibration date.
- c) Possesses a Radiographic Testing (RT) or Ultrasonic Testing (UT) certification.

5.2.1.3. In the case of companies for inspection of Lifesaving equipment, companies for inspection of liferafts<sup>1</sup>, companies for inspection of lifeboat devices<sup>1</sup>, and companies for inspection of firefighting equipment, it shall be verified that such have been approved or are approved by a Classification Society (IACS) or by a RO authorized by the administration.

<sup>1</sup> As required by the merchant marine circular 258.

5.2.1.4. In the case of companies carrying out Under Water Survey, it shall be verified that such have been approved or are approved by a Classification Society (IACS) or by a RO authorized by the administration or certified divers may be also accepted.

Additionally it shall be requested:

- a) List of the surveyors of the company
- b) List of the equipment

5.2.1.5. Completes and sends the request for evaluation of companies (F-GR-01-04-10), along with the previously mentioned documents of item 5.2.1.2, 5.2.1.3 y 5.2.1.4 to the General Manager / Technical Director for its verification and approval.

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

**Note:** The F-GR-01-04-10 Form may be completed by Head Office after carrying out such review and evaluation.

5.2.1.6. In the case of Radio companies, it shall be verified that such have been approved or are approved by a Classification Society (IACS) or by a RO authorized by the administration, where the radio technician is included in the approved list of such company.

It shall be requested (if applicable):

- a) List of surveyors, each one of them with their respective Curriculum Vitae and/or documentation that certifies such as radio technician.

**Note:** In case the company does not comply with the provisions established in item 5.2.1.6, it shall be verified that the technicians are holders of module 2J, 4B (Radio) – (Radio Technicians) of the RO Code as established.

5.2.1.7. Completes and sends the request for evaluation of companies (F-GR-01-04-03), along with the previously mentioned documents of item 5.2.1.6.

General Manager / Technical Director

5.2.1.8. Evaluates and finally decides the approval or rejection of the application, stamping his signature on the approval form (F-GR-01-04-03 / F-GR-01-04-10).

Quality Assistant

5.2.1.9. Once approved, the service supplier proceeds to prepare the approval certification (F-GR-01-04-04).

**5.2.2. Periodical evaluation of service suppliers**

Quality Assistant

5.2.2.1. Prepares the Evaluation and Performance Form (F-GR-01-04-11).

Technical Department

5.2.2.2. Evaluates the performance of the service suppliers once a year.

**Note:** In case the results from the evaluation is less than 71, the surveyor that employed the services of the supplier shall be contacted and all possible causes must be determined for the deficiencies found during the evaluation and proceed with necessary measures.

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------

	<b>RESOURCE MANAGEMENT PROCEDURE</b>	<b>P-GR-01-04</b>
	<b>PROCEDURES FOR THE CONTROL OF SURVEYORS AND SERVICE SUPPLIERS ON BOARD</b>	<b>Revision 10</b>
		<b>14/11/2016</b>

## 6. RELATED DOCUMENTS

- 6.1. F-GR-01-04-01 – Application Form for NASHA Surveyors
- 6.2. F-GR-01-04-02 – Approval and Scope Certification for NASHA Surveyors
- 6.3. F-GR-01-04-03 – Application for assessment of firms engaged in servicing and testing of radio communication equipment
- 6.4. F-GR-01-04-04 - Approval of Manufacturers and Service Suppliers
- 6.5. L-GR-01-04-03 – List of NASHA Exclusive Surveyors.
- 6.6. F-GR-01-04-05 – Representative Office Agreement
- 6.7. F-GR-01-04-07 – Exclusive Surveyor Agreement
- 6.8. F-GR-01-04-08 - Recognized Organization (RO) Agreement
- 6.9. F-GR-01-04-06 – Periodical Performance Evaluation
- 6.10. L-GR-01-04-09 - NASHA Modules
- 6.11. F-GR-01-04-10 - Application For Services Supplier
- 6.12. F-GR-01-04-11 - Service Suppliers Evaluation Form

## 7. REFERENCE

- 7.1. RESOURCE MANAGEMENT PROCEDURE section of the Quality Manual of **NASHA.**

Prepared by: Quality Manager	Reviewed by: Technical Director	Approved by: General Manager
---------------------------------	------------------------------------	---------------------------------