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## Surveys – Enhanced Authorisation Scheme

### Notice to all operators, shipowners, masters and UK Recognised Organisations

*This notice should be read in conjunction with MSN 1672 (as amended), MSN 1751 (as amended) and MSN 1848.*

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#### Summary

This guidance note advises on:

- The requirements of the Enhanced Authorisation Scheme (EAS) for shipowners/operators and Recognised Organisations during its phase-in period;
- The appropriate certification to be issued to participants of the scheme;
- The requirements for ships (new buildings, flag-ins and existing vessels) under the Enhanced Authorisation Scheme (EAS);
- Circumstances where EAS may be revoked from participating ships.
- EAS is new and is different from the existing Alternative Compliance Scheme (ACS) and is published separately (MGN 568)

### 1. Introduction/ Background

1.1 Following recommendations from the UK Maritime Growth Study and a review of current survey authorisation, an Enhanced Authorisation Scheme (EAS) has been introduced. EAS provides for partial or *full authorisation* to UK Recognised Organisations for survey and audit of selected UK registered ships operated by eligible shipping companies; linked to a flag inspection regime and based on a risk profile.

1.2 For ships not on EAS, the Alternative Compliance Scheme (ACS) remains available for eligible vessels.

1.3 Both schemes provide for authorisation of survey work to the United Kingdom's (UK) authorised Recognised Organisations; whilst allowing the Maritime and Coastguard Agency (MCA) to maintain an oversight of the structure and equipment of the ship and its management systems through flag inspections. Authorisation for audits for ISM Documents of Compliance is not covered under either EAS or ACS.



1.4 EAS will require a phase in period in order to implement on a voluntary basis across the UK ship register, during this time EAS and ACS will be run in parallel. Once EAS is fully implemented, ACS may be withdrawn.

1.5 The operation of the Enhanced Authorisation Scheme is set out below.

## **ENHANCED AUTHORISATION SCHEME (EAS)**

### **2. Eligibility for EAS During Phase-in Period**

2.1 The Enhanced Authorisation Scheme is available to “Selected Ships”, other than passenger ships, which trade internationally and to which the principal maritime conventions apply and are operated by an “Eligible Shipping Company”.

2.2 “Selected Ships” are those ships categorised by the MCA as ‘low’ or ‘standard’ on the risk profiling carried out by the MCA (see Annex 3).

2.3 “Eligible Shipping Companies” are those existing shipping companies in the UK Ship Register, whose ships are eligible for Enhanced Authorisation.

2.4 A list of Selected Ships and Eligible Shipping Companies will be maintained by the MCA. This information will be shared with ROs as agreed with eligible shipping companies. Changes to ship managers may result in the vessel being removed from the Selected Ships list.

2.5 The basis of the scheme is that selected ships have a known risk profile. Ships are not normally eligible for the scheme until they have a proven track record under PSC and have been inspected by MCA (Flag State Inspection). Newbuild ships may become eligible after their initial inspection (normally carried out within 6 months of registration). Flag-in ships with a proven PSC record would be eligible once inspected by MCA, provided the managing company has not changed; where a change of management has also taken place, the same policy applies to flag-in ships as to newbuild vessels. If a ship already on EAS has a change of management, the risk profile must be confirmed by MCA in order for the ship to remain on the scheme.

### **3. Entry into EAS During Phase-in Period**

3.1 Individual shipping companies who are eligible will be approached by the UK Ship Register. EAS is a voluntary scheme and companies will be advised which ships are selected and entry to the scheme will be agreed in discussion with the company.

3.2 Those companies taking up EAS will be asked to provide written agreement to the conditions of the scheme.

3.3 The companies may choose any of the United Kingdom Recognised Organisations (ROs) with whom the MCA has signed an agreement covering the EAS. A current list of such ROs will be maintained by the MCA and will be made available to eligible shipping companies.

3.4 The conditions of the scheme are:

- a) Once accepted, ships will remain on the scheme, unless they are considered High risk, in which case they will be removed from the scheme.
- b) The company agree to pay MCA fees to cover the cost of flag inspections.
- c) The company will facilitate and maintain flag inspections at the stipulated schedule.
- d) The company will actively facilitate MCA monitoring of RO performance through



Vertical Contract Audits (VCA) on ships enrolled or to be enrolled under the EAS.

### 3.5 Flag Inspections

3.5.1 As a condition of EAS, the company agree to the MCA carrying out flag inspections of their ships. The frequency of such inspections is based on the ship risk profile (see annex 3)– for example Low profile the inspection will be once in five years and for those with a Standard risk profile, it will be twice in five years and those on Raised will be subject to annual inspections. These inspections will be carried out by MCA surveyors and be similar to that of an Expanded Inspection under Port State Control, with additional aspects to cover any particular risk areas for that ship and operational standards related to ISM, ISPS or MLC. The timing of such inspections will be at mutually agreed times with the shipping company, consistent with maintaining the above frequency of inspections. The costs of such inspections will be met by the shipping company. Where practical, the MCA will aim to schedule surveyor's time to keep such costs to a minimum.

## 4. Responsibilities under EAS – see Annex 1

### EAS - GENERAL

#### 5. Letter of Notification of Extended Authorisation

5.1 A Letter of Notification of Extended Authorisation is issued to owners of eligible ships. This letter will normally be issued annually after the risk profile has been updated. A ship will be subject to flag inspections at the intervals specified according to its individual risk profile.

#### 6. Damage surveys and Marine Casualties

6.1 Nothing in the Schemes shall be interpreted as limiting or restricting the authority of the MCA to exercise its responsibilities over ships as provided in existing laws and regulations. Whenever an accident occurs to a ship or a defect is discovered which affects the safety of the ship, the master or owner shall report at the earliest opportunity to the MCA and RO as required by SOLAS Chapter 1, Reg 11(c)). The Marine Accident Investigation Branch (MAIB) may conduct marine accident investigations as authorised and required by UK legislation.

6.2 The RO will be requested to report any statutory deficiencies and conditions of class found and the action taken to MCA (even if rectified before completion of the survey).

#### 7. Revocation of Certificates and Detentions

7.1 The MCA retains the authority to deny or revoke certification under EAS, or take other action as considered appropriate under any of the following circumstances:

- the ship's involvement in a serious marine accident, casualty or pollution incident;
- failure to correct a Recognised Organisation's condition of class or statutory deficiency within the permitted time;
- expired or invalid documents;
- Port State Control (PSC) detention; or,
- Repeated failure in rectifying deficiencies identified at PSC inspections and/or surveys.

A detention will normally result in an additional inspection of the ship within 6 weeks and could lead to a vessel being inspected more frequently by the MCA.



## **8. Equivalences, Exemptions and Temporary Dispensations**

8.1 All equivalences, exemptions or temporary dispensation letters (TDLs) remain the responsibility of MCA.

### **Annex 1 Responsibilities under EAS**

### **Annex 2 Scope of Enhanced Authorisation**

### **Annex 3 Risk Profiling**

## **More Information**

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***Safer Lives, Safer Ships, Cleaner Seas***



## ANNEX 1

### Responsibilities under EAS

No.	Owner / Operator	MCA	Recognised Organisation
1	None	MCA maintains risk based profiling system. Provides UKSR with list of Eligible Companies and Selected Ships.	None
2	Consider approach from UKSR. Agree terms and conditions of scheme.	UKSR approaches Eligible Companies with list of Selected Ships.	None
3	None	MCA notify RO of Eligible Companies and Selected Ships.	None
4	Agrees timing of flag inspections to maintain EAS. Fees for Inspection paid to MCA.	MCA agrees timing of flag inspections, carry out inspections and issues a Report of Inspection	None
5	Agrees timing of surveys, audits or MLC inspections to maintain valid statutory certification. Fees for services are paid to RO.	None	RO issues certification and provides feedback to MCA in accordance with their policies and agreement with MCA.



## ANNEX 2

### Scope of Enhanced Authorisation

Enhanced Authorisation is the full authorisation to perform, plan, review, carry out surveys, audits or MLC statutory inspections and possible endorsements or issue interim certificates or full term certificates for selected ships of eligible shipping companies in relation to the following functions (in addition to those statutory functions already authorised to the RO):

<b>Table of enhanced authorisations</b>					
<b>AUDITS</b>	<b>INTERIM</b>	<b>INITIAL</b>	<b>INTERMEDIATE</b>	<b>RENEWAL</b>	<b>ADDITIONAL</b>
Safety Management Certificate (SMC)	Yes	Yes	Yes	Yes	Yes
International Ship Security Certificate (ISSC / ISPS)	Yes	Yes	Yes	Yes	Yes
Maritime Labour Certificate (Maritime Labour Convention (MLC))	Yes	Yes	Yes	Yes	Yes

ISM Document of Compliance will be carried out by MCA according to current practice.



## ANNEX 3

### Risk Profiling

The risk profile for individual ships is made up of several factors, the contribution of which to the overall profile is limited and is based on objective technical evidence and, on occasions, professional judgement of over-riding factors:

The profile takes account of:

- Port State Control (PSC) record
- General Inspection (GI) record
- RO Statutory Records
- Management Company ISM Performance
- Other Ship Factors (takes account of ship type/age/casualties/ship builder)
- Other non-specified Factors

The resulting profile falls into one of four fixed bands:

- Low (inspections approximately every 5 years with a window of +/- 1 year around ISM renewal date)
- Standard (inspections approximately every 2.5 years with a window of +/- 6 months around ISM renewal and the usual ISM intermediate audit window)
- Raised (inspections approximately every 12 months with the same window as SOLAS surveys)
- High (MCA revoke extended authorisation + 6 monthly inspections within 6 weeks following request by MCA)

The record for each ship is updated annually and a ship may move up or down the bands, depending on changes to the profile.

Each factor covers a rolling five year period with a declining importance of any detentions, deficiencies or non-conformities over time.

