

# MARINE SAFETY AND SECURITY MANAGEMENT SYSTEM

## TIER II – PROCEDURE

### RISK-BASED MONITORING OF VESSELS ENROLLED IN THE DELEGATED STATUTORY INSPECTION PROGRAM (DSIP)

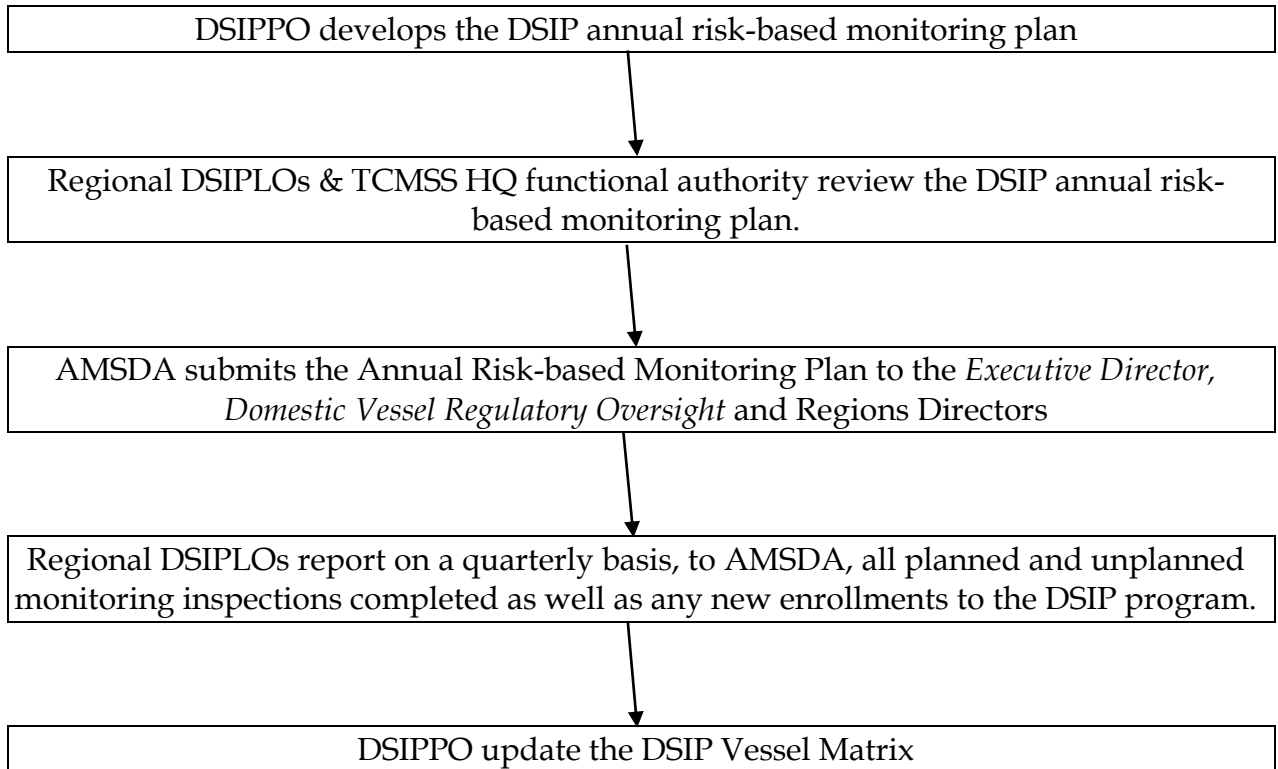
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1st Review	

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#### 1 Process Flowchart



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#### 2 Purpose

- 2.1 This procedure provides guidelines on the risk-based methodology by which vessels enrolled in the Delegated Statutory Inspection Program (DSIP) are selected annually for monitoring inspections by Transport Canada Marine Safety and Security (TCMSS).
- 2.2 Results from the monitoring inspections of the vessels enrolled in DSIP, are used to assist TCMSS in evaluating the performance of a Recognized Organizations, the condition of the vessels enrolled in DSIP, as well as the overall performance of the program.

#### 3 Authority

- 3.1 This procedure is authorized by the *Marine Safety and Security Executive Committee* (MSSE) and is in accordance with the objectives of the *Canada Shipping Act, 2001 (CSA 2001)*.

#### 4 Background

- 4.1 The CSA, 2001 came into force on July 1st, 2007. Paragraphs 10(1)(c) and subsection 12(1) provide the authority to enter into agreements with any person, classification society or other organization.
- 4.2 The Policy “*Delegated Statutory Inspection Program*” came into force on January 13, 2014. Since that date, ARs of a Canadian registered vessel of 24 metres in length and above are required to obtain a Canadian Maritime Document (CMD) from a third party, authorized to perform vessel related activities on behalf of the Minister of Transport. These authorized third parties are known as Recognized Organization (RO).
- 4.3 The Minister of Transport has delegated statutory functions to ROs through the *Authorization and Agreement Governing the Delegation of Statutory Functions for Vessel Registered in Canada*.

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#### 5 Scope

- 5.1 This procedure applies to vessels enrolled in DSIP and the Marine Safety Inspector (MSI) involved with the performance evaluation of DSIP.
- 5.2 Furthermore, this procedure specifies the process to select, on an annual basis, vessels subject to monitoring inspections.
- 5.3 A risk matrix is maintained to assist in the selection of vessels subject to monitoring inspection, based on predetermined criteria such as: the type and size of the vessel, the operation of the vessel, and the historical performance of the vessel. Each criteria are weighed and calculated to provide an overall risk score (higher, moderate or lower) for each vessel enrolled.
- 5.4 TCMSS has set a target of 20% of the total number of vessels enrolled in DSIP (DSIP Fleet) for monitoring inspections on an annual basis, allowing for 100% of the DSIP Fleet to be monitored over a five year period.
- 5.5 Vessels are selected based on three levels of risk (higher, moderate or lower), allowing for a fair sampling of vessels.

#### 6 Responsibility

- 6.1 The *Director General, Marine Safety and Security*, is accountable for the implementation of this procedure.
- 6.2 The *Executive Director, Domestic Vessel Regulatory Oversight*, is the functional authority for the development, implementation, maintenance and continuous improvement of this procedure.
- 6.3 Regional Directors are responsible for the implementation and oversight of the monitoring of vessels identified as a result of this procedure.
- 6.4 Comments or queries related to this procedure and its application should be addressed to:

*Manager, National Marine Safety Program  
Safety Management Systems and Authorizations (AMSDA)  
330 Sparks Street  
Ottawa (Ontario) K1A 0N8  
<[dsip-pdio@tc.gc.ca](mailto:dsip-pdio@tc.gc.ca)>*

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#### 7 Procedure

##### 7.1 Developing the Annual Risk-based Monitoring Plan

- 7.1.1 The DSIP Program Officer (DSIPPO) is responsible for the planning and development of the DSIP annual risk-based monitoring plan.
- 7.1.2 By the end of the first week of March of each year, DSIPPO submits a preliminary list of target vessels to be monitored to the DSIP Liaison Officers (DSIPLOs) in each region for their initial review and feedback.
- 7.1.3 DSIPPO informs DSIP Fleet functional managers and obtain input on potential areas of concern regarding the monitoring plan.
- 7.1.4 DSIPPO makes any necessary adjustments to the list of vessels based on feedback from the DSIPLOs and TCMSS HQ functional authority (i.e. vessel not in operation, laid up etc.) and make sure to maintain the target of 20% of vessels identified for monitoring inspection each year.
- 7.1.5 Through AMSDA, the DSIPPO submits the *Annual Risk-based Monitoring Plan* to the Executive Director, Domestic Vessel Regulatory Oversight and distributed a copy to the Regions Directors and the DSIPLO for their awareness and inspection planning.

##### 7.2 Information Gathering and Maintenance of DSIP Vessel Profiles

- 7.2.1 AMSDA ensures that the following document and its data sources are maintained on a regular basis and fully reviewed /updated by February of each year:
  - The “DSIP Vessel Matrix” (RDIMS #16974368)
  - The “Tracking of Requests for Exemption and Change of RO” (RDIMS 10912306).
  - The “DSIP Vessel Occurrences – TSB Marine Daily Reports (RDIMS 13883417)
  - The “SMS Risk Matrix and Tracker Sheet” (RDIMS 10574224).
- 7.2.2 The DSIP Vessel Matrix is also updated by consulting internal databases such as the Ship Inspection Reporting System (SIRS) and the Marine Enforcement Management System (MEMS) as well as external database such as the Marine transportation safety investigations and reports published by the Transport Safety Board of Canada.
- 7.2.3 Data reports from each RO containing information on activities conducted on Canadian Vessels for each calendar year.

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#### 7.3 Reporting on Monitoring Inspections/DSIP Fleet

- 7.3.1 Regional DSIPLOs report on a quarterly basis, to DSIPPO, any planned and unplanned monitoring inspections completed as well as any new enrollments to the DSIP program.
- 7.3.2 DSIPPO updates the DSIP Vessel Matrix in order to track the completion of the *Annual Risk-based Monitoring Plan* and facilitate reporting of these activities to internal and external stakeholders.
- 7.3.3 Regional DSIPLOs also provide monthly updates to AMSDA, on vessel status changes as part of a videoconference on all things related to the DSIP Program.

#### 8 Related Documents

- 8.1 *Canada Shipping Act, 2001* and regulations: <https://laws-lois.justice.gc.ca/eng/acts/C-10.15>
- 8.2 TIER I - Policy - *Delegated Statutory Inspection Program* (RDIMS 4791294)
- 8.3 TIER I - Policy - *Certification of Vessels of 24 Metres in Length and Above* (RDIMS 8388535).
- 8.4 TIER II – Procedure – *Enrolment in the Delegated Statutory Inspection Program* (RDIMS 4791259).
- 8.5 TIER II – Procedure - *Compliance Inspection Procedure for Operational Delegated Vessels* (RDIMS 5073673).
- 8.6 TIER III – Work Instructions – *Compliance Inspection Procedure for Operational Delegated Vessels* (RDIMS 5073673).
- 8.7 TIER III Work Instructions – *DSIP Work Instructions* (RDIMS 7265299).

#### 9 Definitions

- 9.1 *Authorized Representative* (AR), the person meeting the requirements of Section 14 of the *Canada Shipping Act, 2001*. In the case of a vessel under construction, or being imported into Canada, the AR is the person intending to operate the vessel once it is registered.
- 9.2 *Canadian Maritime Documents* (CMD) means a licence, permit, certificate or other document that is issued by the Minister of Transport under the CSA 2001 to verify that the person to whom or vessel to which it is issued has met requirements under the Act

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- 9.3 DSIP Fleet functional managers, individuals at TCMSS HQ who have functional authority regarding vessel enrolled in the Delegation Program.
- 9.4 DSIP Liaison Officer (DSIPLO), an individual, appointed by the Regional Director, who is the point of contact for all matters pertaining to DSIP in that region.
- 9.5 DSIP Program Officer (DSIPPO), an individual at TCMSS HQ assign duty related to the coordination of the Delegation Program.
- 9.6 Manager AMSDA (AMSDA), an individual at TCMSS HQ who has functional authority on the coordination of DSIP.
- 9.7 Recognized Organization (RO) is a classification society that has been delegated authority by the Minister to perform inspections or issue certificates on behalf of the Minister and under the authority of formal legal agreements.
- 9.8 Regional Director (RD), the Marine Safety Director of one of the five Transport Canada Regions, or a person authorized to act on behalf of the Director.
- 9.9 Ship Manager (SM), a qualified person authorized by the AR, who is responsible for managing the shore-based and on board operations of a vessel.

#### 10 Date of Application

- 10.1 The Marine Safety and Security Executive authorized the original version of this procedure on August 1<sup>st</sup> 2021.

#### 11 Date for Review

- 11.1 This procedure will be reviewed no later than three years after its date of application or its last revision.

#### 12 RDIMS Reference

- 12.1 The English version of this document is found under RDIMS reference number 16827296.
- 12.2 The French version of this document is found under RDIMS reference number 17694499.

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#### **13 Keywords**

- Delegated Statutory Inspection Program
- Vessel Monitoring
- Vessel Inspection
- Recognized Organization