

THE IMO MEMBER STATE AUDIT SCHEME (IMSAS)

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Contents

1. Why to be audited? (background)
2. Evolution of the Audit Scheme
3. Audit Analysis under VIMSAS
4. III Code – audit standard and guidance
5. Pre Audit Questionnaire
6. Progress report in the implementation of IMSAS (C 121/6)

1. WHY TO BE AUDITED?

- Who are the actors in ensuring compliance with international maritime standards?
- IMO has no enforcement and compliance monitoring powers.
- New approaches and new tools for performance measurement

SELF-ASSESSMENT OF FLAG STATE PERFORMANCE RESOLUTION A.912(22)

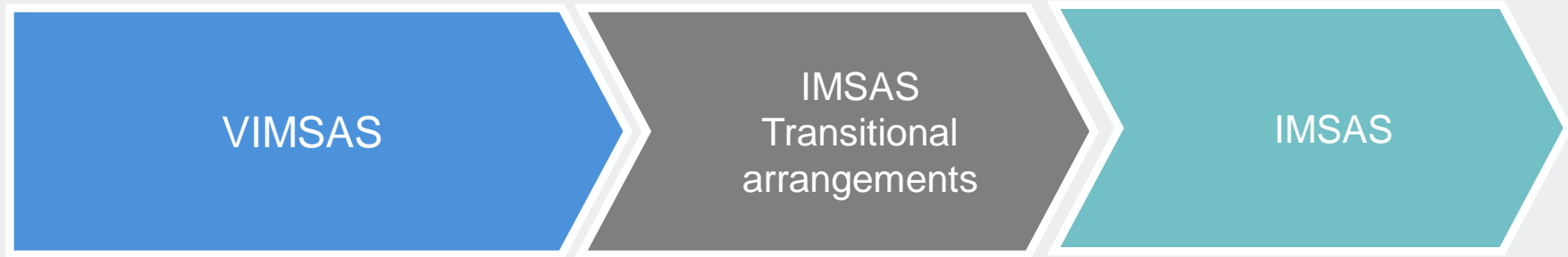
1. WHY TO BE AUDITED? (cont.)

- Assembly Resolution A.847(20) – *Guidelines on Implementation of Mandatory instruments to make it a Flag State Code*
- Assembly Resolution A.946(23) – *the Voluntary IMO Member State Audit Scheme (VIMSAS)*
- Assembly Resolution A.973(24) – *Code for the implementation of mandatory IMO instruments; (the Audit Standard)*
- Assembly Resolution A.974(24) – *Framework and Procedures for the Voluntary IMO Member State Audit Scheme*

Expected benefits of making the Scheme mandatory

- **Mandatory audits** under the Scheme commenced in **2016**
- The process is inclusive of all, therefore **all States** will benefit from the Scheme
- The diversity of State structures, ability and specific maritime interests will **inform the regulatory framework** for the future
- The administrative and organizational aspects of the Scheme will not rely exclusively on the decision of individual Member State; but become a collective pool of resources
- The concept of a management system is introduced globally in the implementation and enforcement of State obligations and responsibilities relating to maritime transport

2. EVOLUTION OF IMO AUDIT SCHEME - Audit standard



2006 – 2013
Code on the
implementation of
IMO instruments

Framework and
Procedures - res.
A.974(24)

Resolution
A.1070(28)
Dec 2013 – 2015
IMO Instruments
Implementation (III)
Code

Framework and
Procedures - res.
A.1067(28)

Resolution
A.1070(28)
2016 – ...
IMO Instruments
Implementation
(III) Code

Framework and
Procedures - res.
A.1067(28)

3. Audit Analysis under VIMSAS

■ Review of the consolidated audit summary reports

Review of the consolidated audit summary reports

■ Study:

■ Comm

■ Flag S

■ Coastal

■ Port S

■ Analys

■ Major

■ Root causes

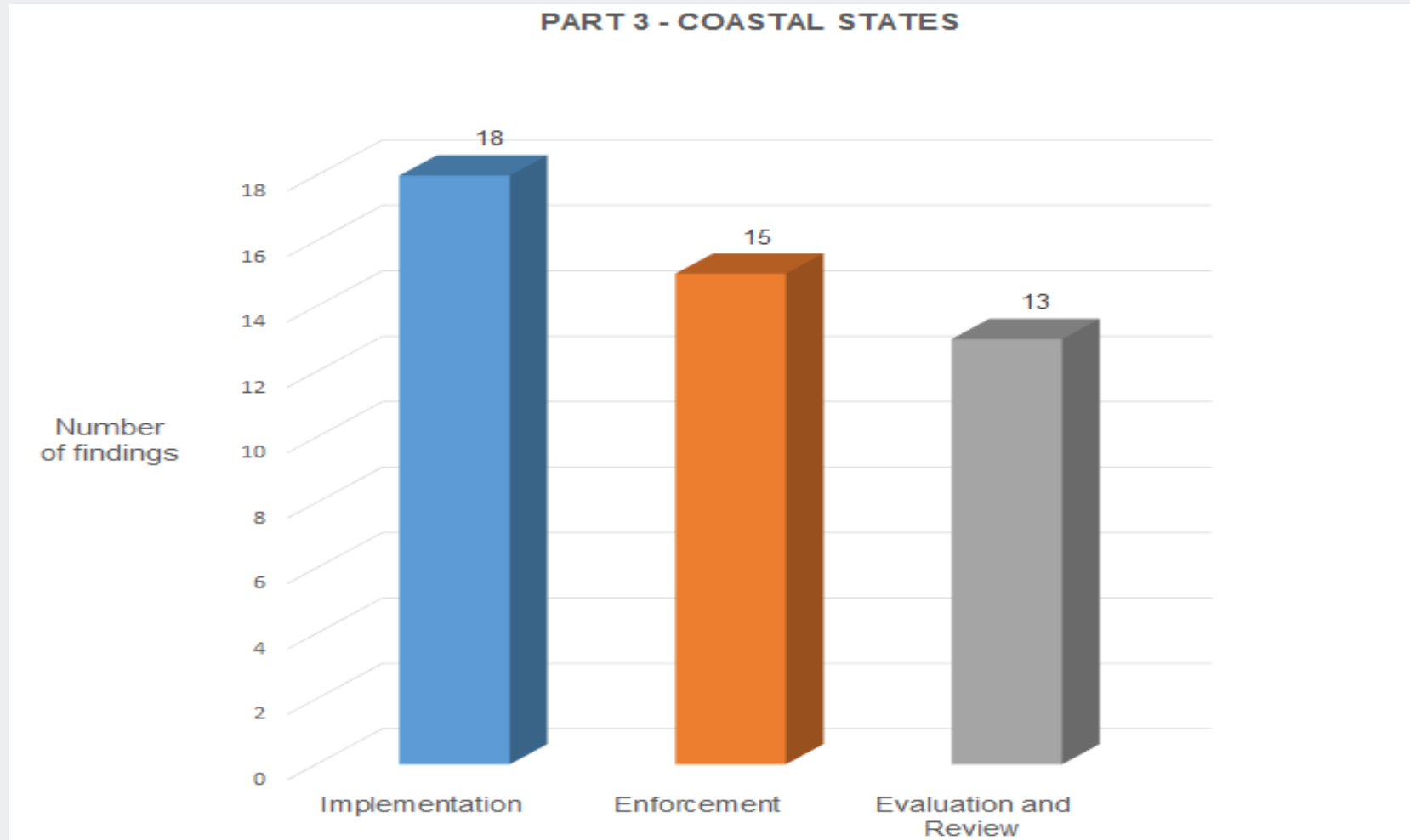
- MSC and MEPC requested FSI Sub-Committee to develop a methodology for analysis of consolidated audit summary reports (CASRs)
- Preliminary study into the methodology for analysis of CASRs contained in document FSI 18/14 and first review of three CASRs available in document FSI 18/INF.7
- Study presented here contained in document **III/1/9** and review of 59 audits available in document **III/1/INF.23**

■ Conclusion

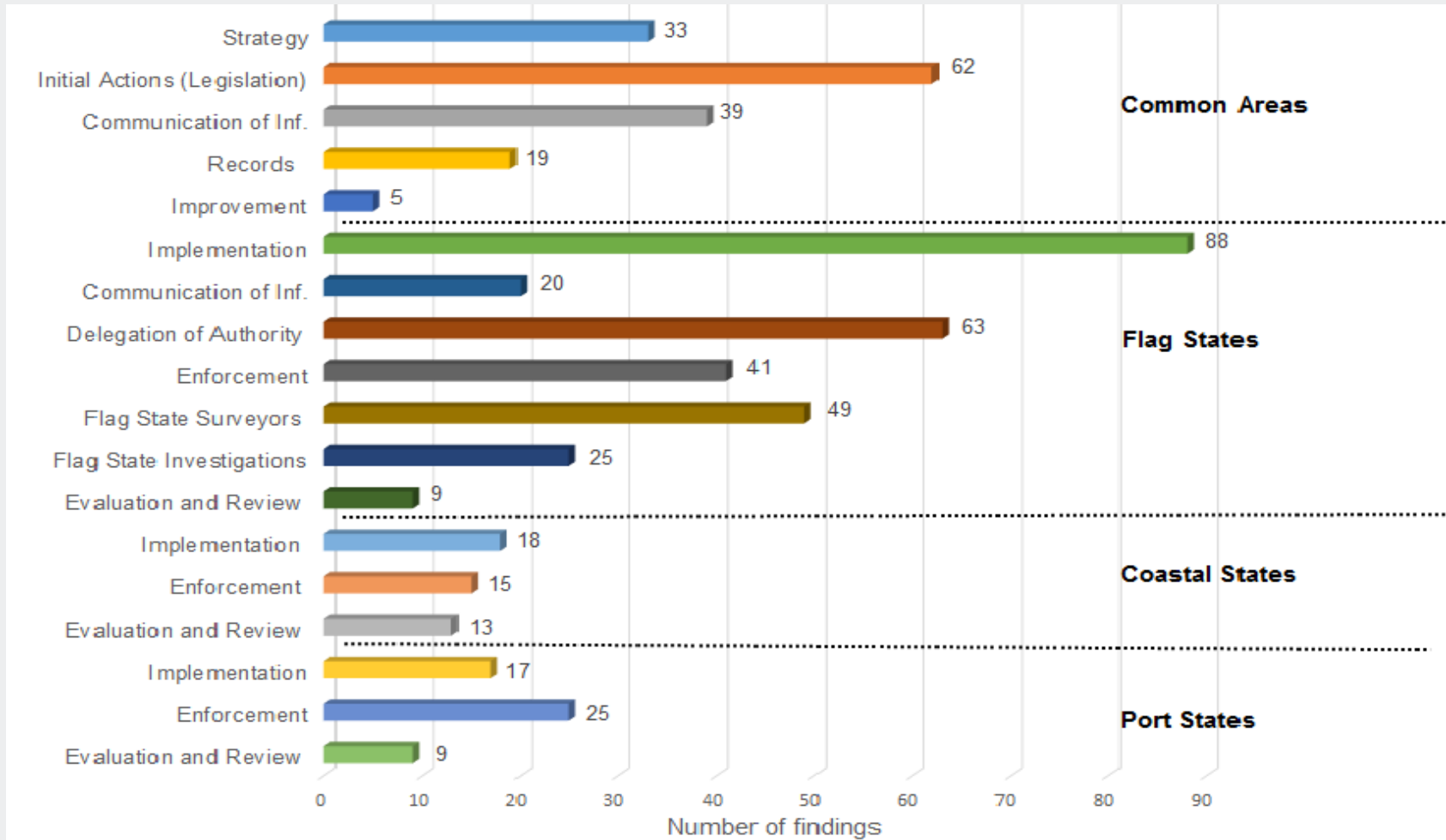
Review of the consolidated audit summary reports

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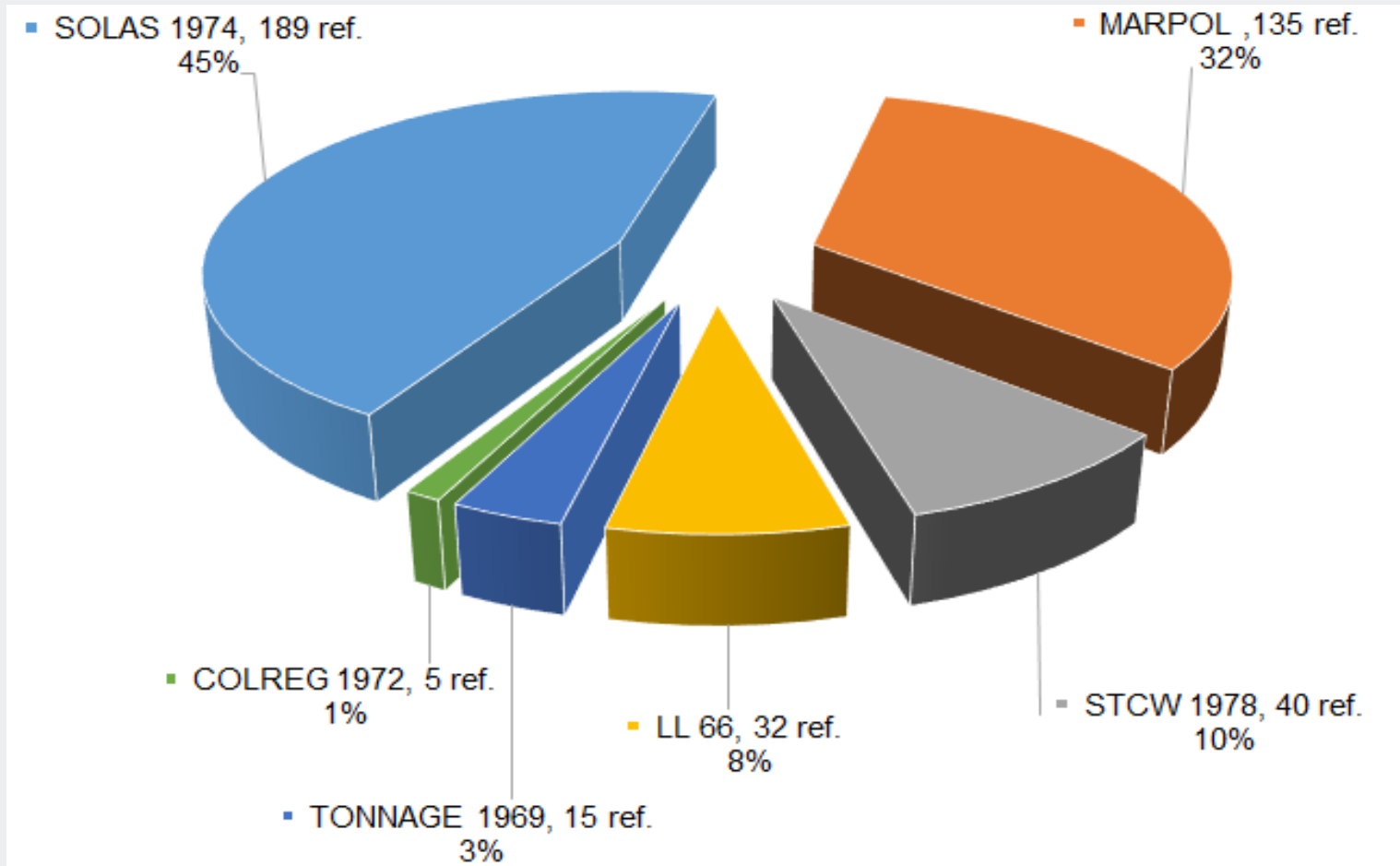
Number of findings under part 3 of the Code – Coastal States



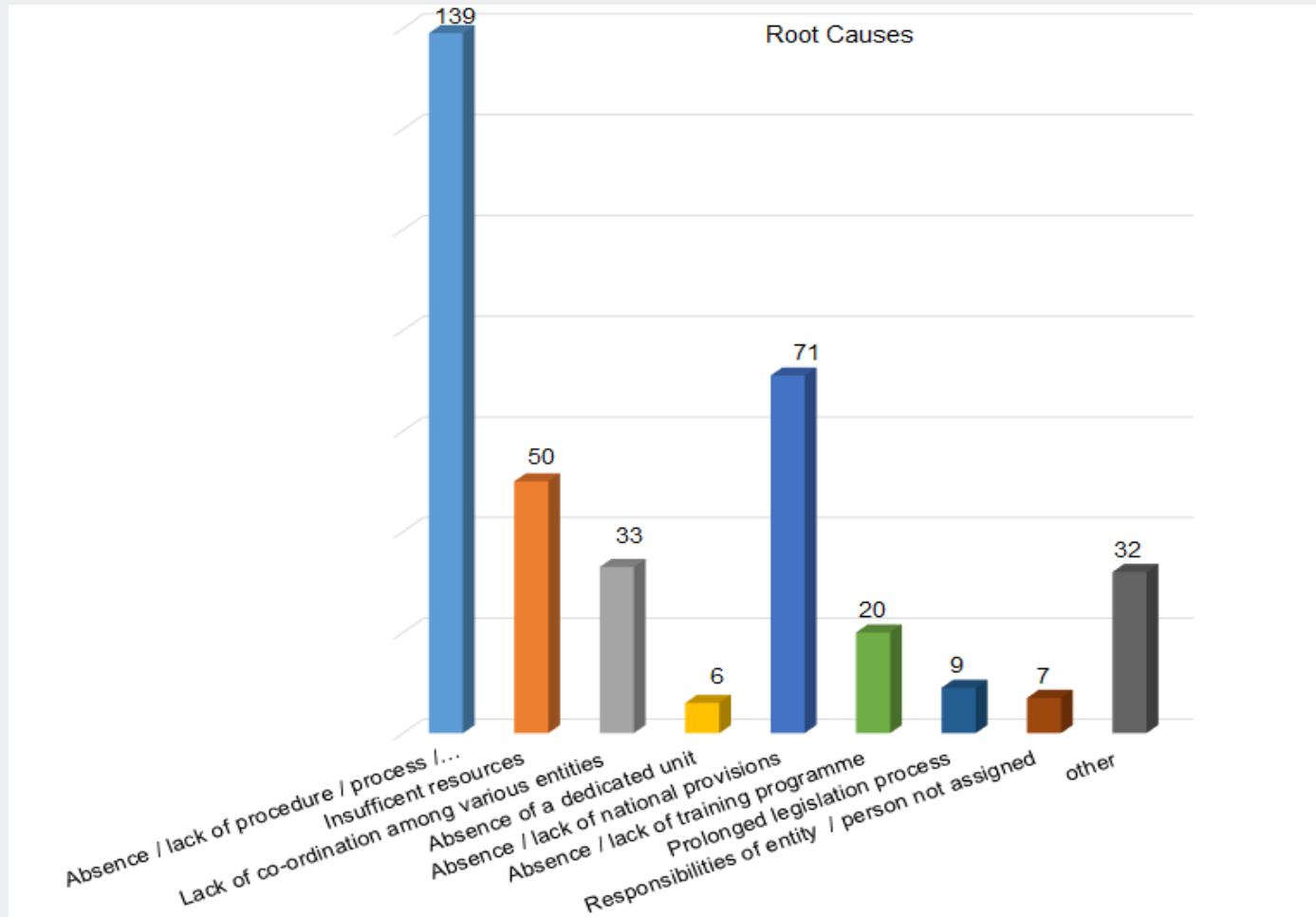
Analysis of audit results by parts of the Code



Non-conformities by mandatory IMO instruments



Analysis of root causes



MANDATORY IMO INSTRUMENTS

9 instruments included in the scope of the scheme:

- SOLAS 1974
- SOLAS PROTOCOL 1988
- MARPOL 73/78
- MARPOL PROTOCOL 1997
- STCW 1978
- LOAD LINES 1966 (LL66)
- LL 66 PROT 1988
- TONNAGE 1969
- COLREG 1972

MANDATORY IMO INSTRUMENTS

- Expected entry into force of amendments to make the use of the III Code and auditing mandatory:

	Adopted	Acceptance	Entry into force
SOLAS 1974	MSC 93 (05/14)	1/7/15	1/1/16
MARPOL and annexes	MEPC 66 (03/14)	1/7/15	1/1/16
LL 1966	A 28 (11/13)	unanimous acceptance 3 years (28/02/14 – 28/02/17)	12 months (28/02/2018)
		explicit acceptance	12 months
LL PROT 1988	MSC 93 (05/14)	1/7/15	1/1/16
STCW 1978	MSC 93 (05/14)	1/7/15	1/1/16
COLREG 1972	A 28 (11/13)	1/7/15	1/1/16
TONNAGE 1969	A 28 (11/13)	unanimous acceptance 2 years (28/02/14 – 28/02/16)	12 months (28/02/2017)
		explicit acceptance	12 months

Supporting reference document

- Resolution A.1121(30) - 2017 Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation (III) Code (to be kept under review):

Annex 1:	OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES
Annex 2:	SPECIFIC FLAG STATE OBLIGATIONS
Annex 3:	SPECIFIC COASTAL STATE OBLIGATIONS
Annex 4:	SPECIFIC PORT STATE OBLIGATIONS
Annex 5:	INSTRUMENTS MADE MANDATORY UNDER IMO CONVENTIONS
Annex 6:	SUMMARY OF AMENDMENTS TO MANDATORY INSTRUMENTS REFLECTED IN THE NON-EXHAUSTIVE LIST OF OBLIGATIONS (ANNEXES 1 TO 4)
Annex 7:	AMENDMENTS TO IMO INSTRUMENTS EXPECTED TO BE ACCEPTED AND TO ENTER INTO FORCE BETWEEN 1 JANUARY 2018 AND 1 JULY 2018

4. III CODE (RESOLUTION A.1070(28)) – Audit Standards

- Part 1 Common areas
- Part 2 Flag States
- Part 3 Coastal States
- Part 4 Port States



Part 3: Coastal States – Implementation (para 45 – 48)

- Rights, obligations and responsibilities may include, inter alia:
 - radiocommunication services
 - meteorological services
 - search and rescue services
 - hydrographic services
 - ships' routing
 - ship reporting systems
 - vessel traffic services
 - aids to navigation

5. Pre Audit Questionnaire (PAQ) -

General

Are you a member of the IHO?

Are you a member, or associate member, of an IHO Regional Hydrographic Commission?

Do you have a Hydrographic Office?

If not, is there another governmental, or nongovernmental, agency with responsibility for hydrographic matters?

Is the responsibility for providing hydrographic services officially assigned by your government, by decree or any other legal text, to an organization within your country?

Do you require Capacity-Building Support to help develop your hydrographic services?

If the answer to this question is yes, please indicate in which of the following areas support is required: Hydrographic Surveys, Production of paper and/or electronic charts, Promulgation of MSI, Training.

If you provide hydrographic services, are those related to safety of navigation accredited with quality assurance certification (e.g. ISO 9001)?

If yes, what does the certification apply to (surveys, charting, broadcasting nautical information)?

Pre Audit Questionnaire (PAQ) -

SOLAS regulations V/4 and V/9

Hydrographic Surveys

Do you conduct hydrographic surveys?

If yes, do you comply with the IHO Standards for Hydrographic Surveys (S-44)?

Do you conduct hydrographic surveys in cooperation with other countries, through bilateral agreements or otherwise?

If yes, please provide details.

Do you contract out hydrographic surveys to commercial companies?

If yes, do these surveys comply with S-44?

Please complete the following information relating to the status of hydrographic surveys as reported in IHO Publication S-55 "Status of Hydrographic Surveying and Nautical Charting Worldwide" - 3rd Edition.

Comments should be added wherever appropriate:

A1 The percentage of national waters, 0-200 m in depth, which is adequately surveyed:

A2 The percentage of national waters, greater than 200 m in depth, which is adequately surveyed:

Pre Audit Questionnaire (PAQ) -

B1 The percentage of national waters, 0-200 m in depth, which requires resurveying at a larger scale or to modern standards:

B2 The percentage of national waters, greater than 200 m in depth, which requires resurveying at a larger scale or to modern standards:

C1 The percentage of national waters, 0-200 m in depth, which has never been systematically surveyed:

C2 The percentage of national waters, greater than 200m in depth, which has never been systematically surveyed:

Nautical Charting

Do you produce nautical paper charts, RNCs, ENC, and nautical publications as defined in paragraph 2 of SOLAS regulation V/2?

If the answer to a. is yes, do you maintain these by issuing NtM/ER?

Do you have bilateral agreements with other countries for the production of nautical charts?

If yes, please give details.

Are the charts you produce available to worldwide shipping?

Do you have an agreement with a Regional ENC Coordinating Centre (RENC) for the distribution of ENCs and RNCs? If yes, please give details.

Please complete the following information relating to the status of nautical charting as reported in IHO Publication S-55 "Status of Hydrographic Surveying and Nautical Charting Worldwide" - 3rd Edition.

Comments should be added wherever appropriate:

Pre Audit Questionnaire (PAQ) -

Offshore passage and small-scale charts:

The percentage of national waters covered by INT* Charts:

The percentage of national waters covered by RNCs†:

The percentage of National waters covered by ENCst‡: [100] %.

Landfall, coastal passage and medium-scale charts:

The percentage of national waters covered by INT Charts:

The percentage of national waters covered by RNCs:

The percentage of National waters covered by ENCst:

Approaches, ports and large-scale charts:

The percentage of ports covered by INT Charts:

The percentage of ports covered by RNCs:

The percentage of ports covered by ENCst:

Pre Audit Questionnaire (PAQ) -

* INT = international Charts or national equivalent meeting the standards set out in IHO publication "Regulations of the IHO for International (INT) Charts and Chart Specifications of the IHO " (M-4).

† RNC = Raster Navigational Chart meeting the standards set out in IHO Publication "Product Specification for Raster Navigational Charts (RNCs)" (S-61).

‡ ENC = Electronic Navigational Charts meeting the standards set out in IHO Publication "IHO Transfer Standards for Digital Data" (S-57).

Maritime Safety Information

Are you a NAVAREA Coordinator? If so, for which area?

Are you a Sub-Area Coordinator? If so, for which sub-area?

Are you a National Coordinator? If not, who is your National Coordinator?

Please complete the following information relating to the promulgation of MSI as reported in IHO Publication S-55 "Status of Hydrographic Surveying and Nautical Charting Worldwide" - 3rd Edition. Answers may be Yes, No or Partial and comments should be added wherever appropriate:

Navigational Warnings:

Do you issue local warnings?

Do you issue coastal warnings?

Do you issue port information?

Do you issue NAVAREA warnings?

6. Progress report in the implementation of IMSAS (C 121/6)

NIOHC Members

Member State	Audit period
Bangladesh	Oct. 2017
Egypt	Nov. 2016
India	2022
Indonesia	2022
Myanmar	Feb. 2018
Pakistan	Mar. 2020
Saudi Arabia	Nov. 2019
Thailand	2021
United Kingdom	Sep. 2020

6. Progress report in the implementation of IMSAS (C 121/6)

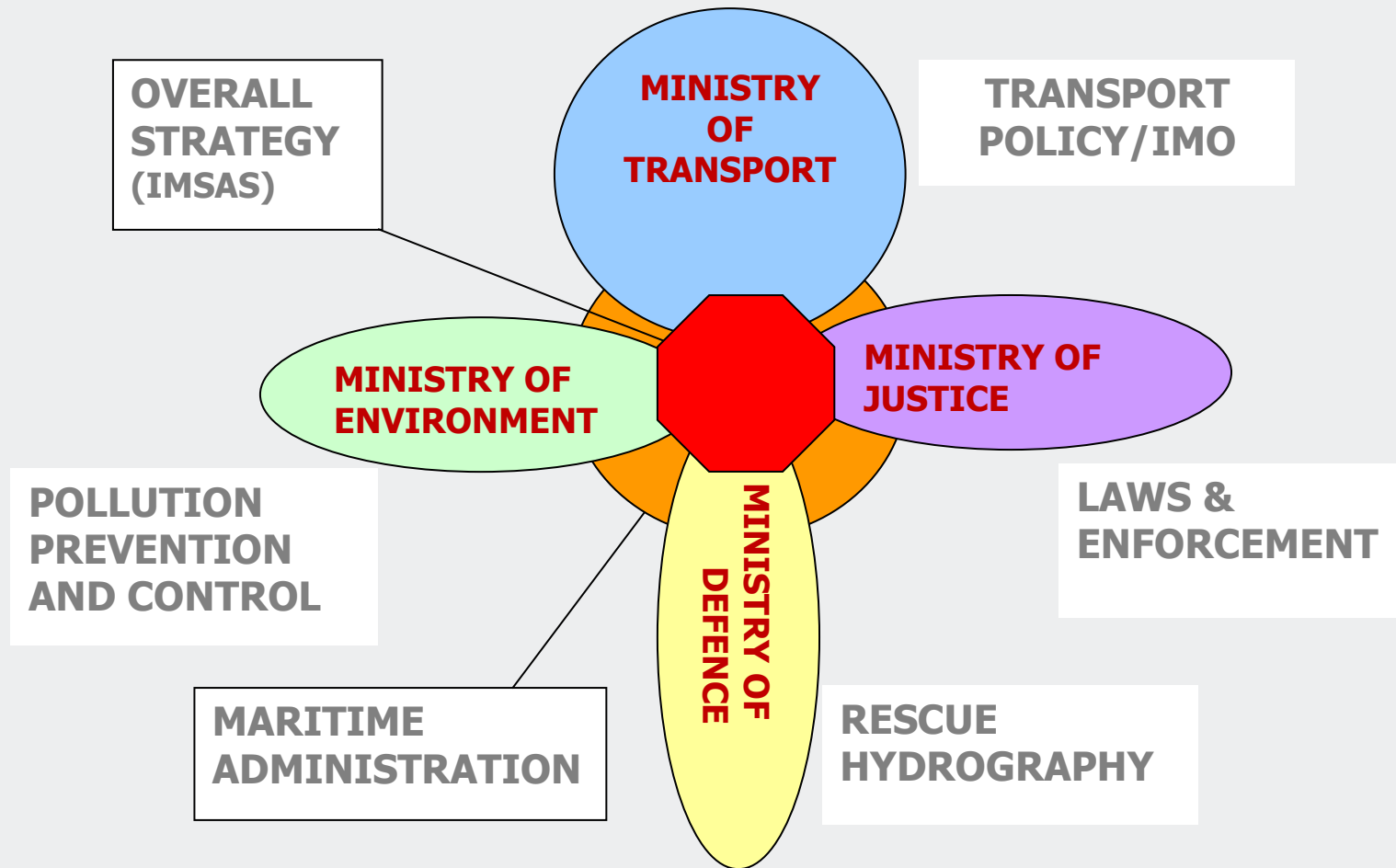
NIOHC Member

STATES	
Australia	2021
France	2021
Mauritius	April, 2016
Oman	March, 2017
Seychelles	June, 2016
United States	2021

NIOHC Observers

STATES	AUDITED IN
Russian Federation	2021
Somalia	Postponed
Yemen	Postponed

THE NATIONAL DIALOGUE - NEW NORM FOR PARTICIPATING STATE ENTITIES IN FULFILLING THE OBLIGATIONS OF A STATE



THANK YOU

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