

INTERNATIONAL MARITIME ORGANIZATION IMO MEMBER STATE AUDIT SCHEME

*Capt. Dave N Muli
Regional Coordinator*

IMO Regional Presence Office, Eastern and Southern Africa

Sub Division for Maritime Development, Technical Cooperation Division



INTERNATIONAL
MARITIME
ORGANIZATION



- **From VIMSAS to IMSAS**
 1. **Background and Developments**
 2. **Procedures, Scope of IMO instruments**
 3. **Preparations and review of pre audit questionnaire**
 4. **Road Map and action plans for the preparation Audit**
 5. **Audit process and member states Corrective Action and follow up**
 6. **Audit Analysis under VIMSAS**
 7. **Progress report in the implementation of IMSAS C122/6**

Background Procedure and Scope



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) 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*

Audit Scope and Non Exhaustive list



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



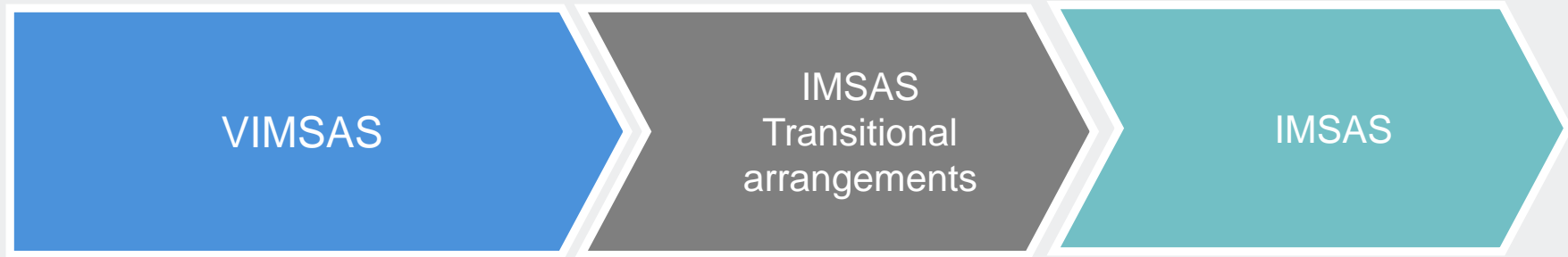
Benefits of the Audit Scheme



- **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 (II)
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)

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) -

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, ENCs, 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) -

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 Questions

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) -

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?

Implementantion



Par III Code	Requirement	Compliance Achieved
46.1	Policies implemented through issuance of national legislation and guidance	
46.2	Responsibilities assigned to update and revise any relevant policies adopted	
47	Legislation, guidance and procedures established for the consistent implementation and verification of the rights, obligations and responsibilities of the State contained in the relevant international instruments to which it is a party, in general;	
48.1	Radio communication Services	
48.2	Meteorological services	
48.3	Search and Rescue	
48.4	Hydrographic Services	
48.5	Ship Routeing	
48.6	Ship reporting systems	
48.7	Vessel Traffic Services	
48.8	Aids to Navigation	

Enforcement



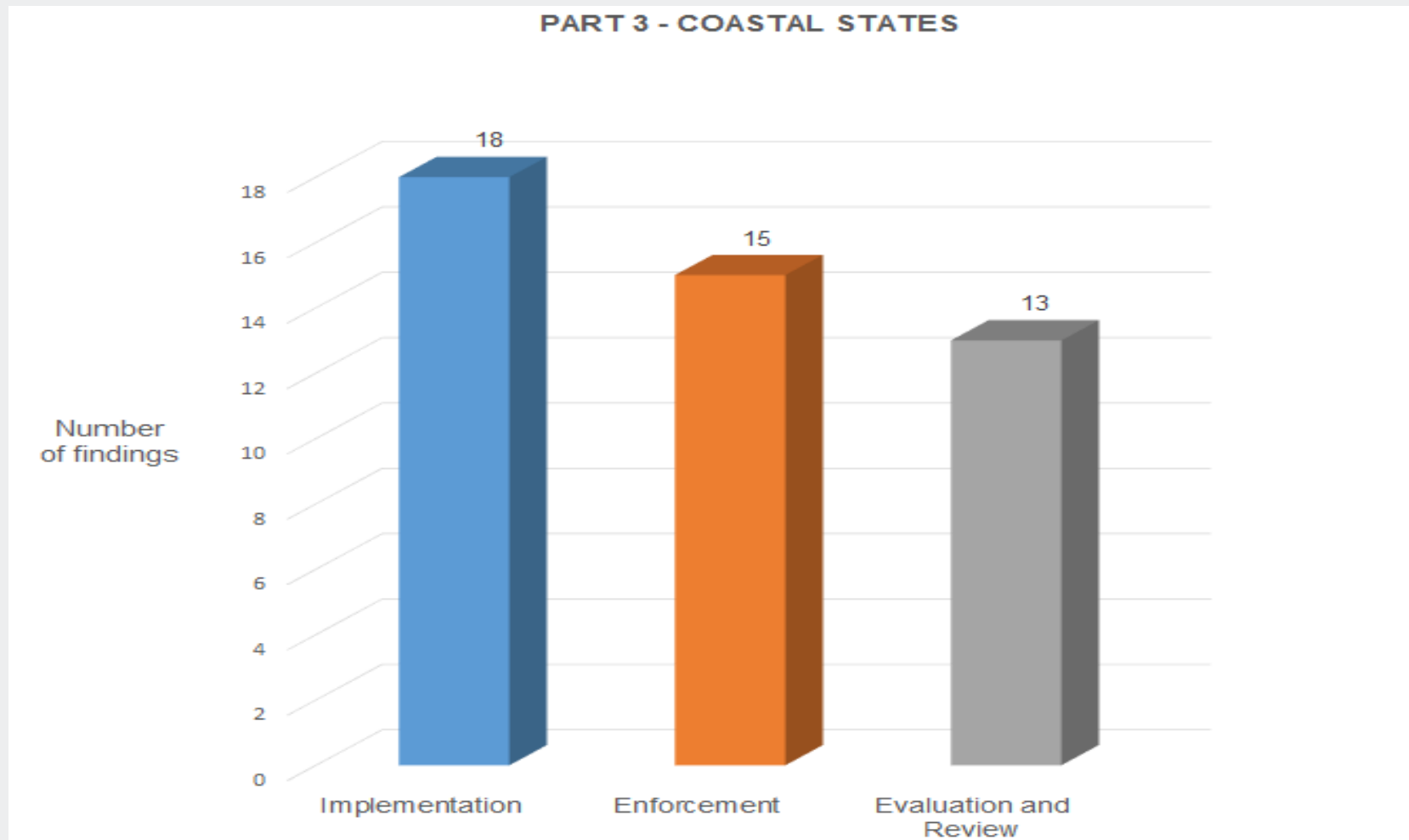
Par III Code	Requirement	Compliance Achieved
49	All necessary measures taken to ensure observance of international rules when exercising the rights and fulfilling the obligations as a coastal State	
50	Control and monitoring programme considered, developed and implemented	
50.1	Statistical data collected and trend analyses conducted	
50.2	Mechanisms for timely response to pollution incidents established	
50.3	Cooperation with flag States and/or port States in investigation of maritime casualties	

Evaluation and Review

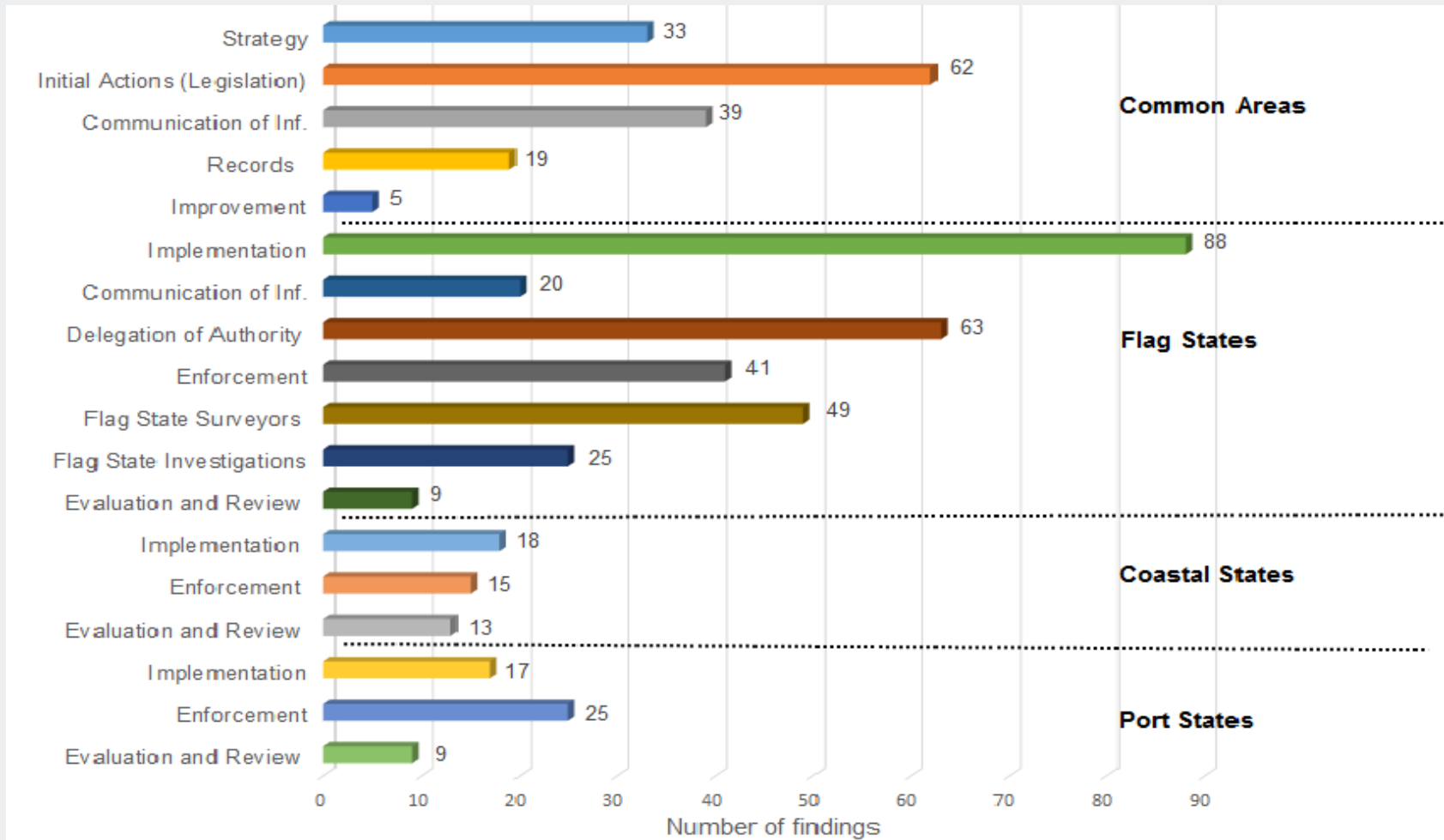


Par III Code	Requirement	Compliance Achieved
51	Performance periodically evaluated in respect of exercising its rights and meeting its obligations under the applicable international instruments	

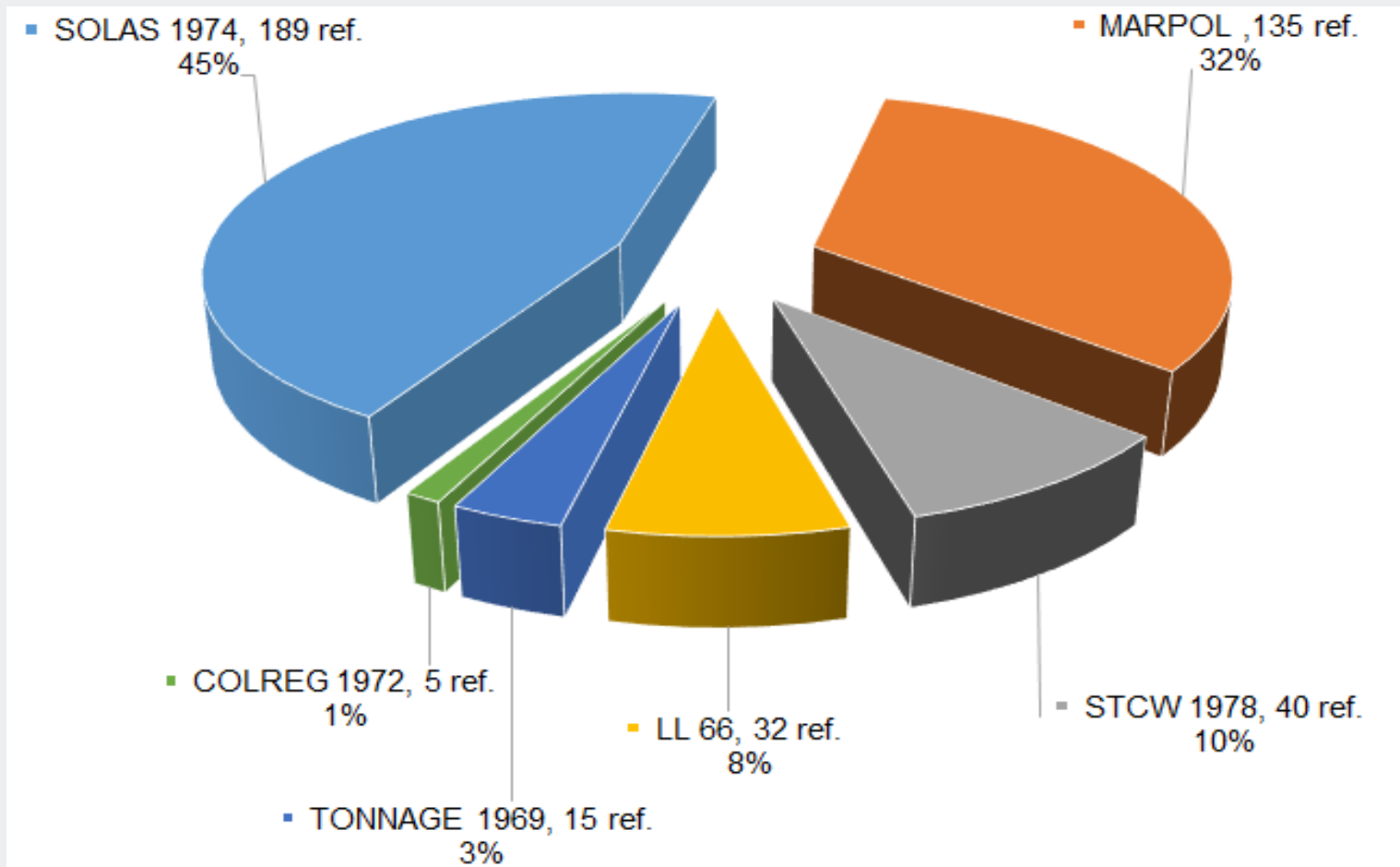
Number of findings under part 3 of the Code – Coastal States



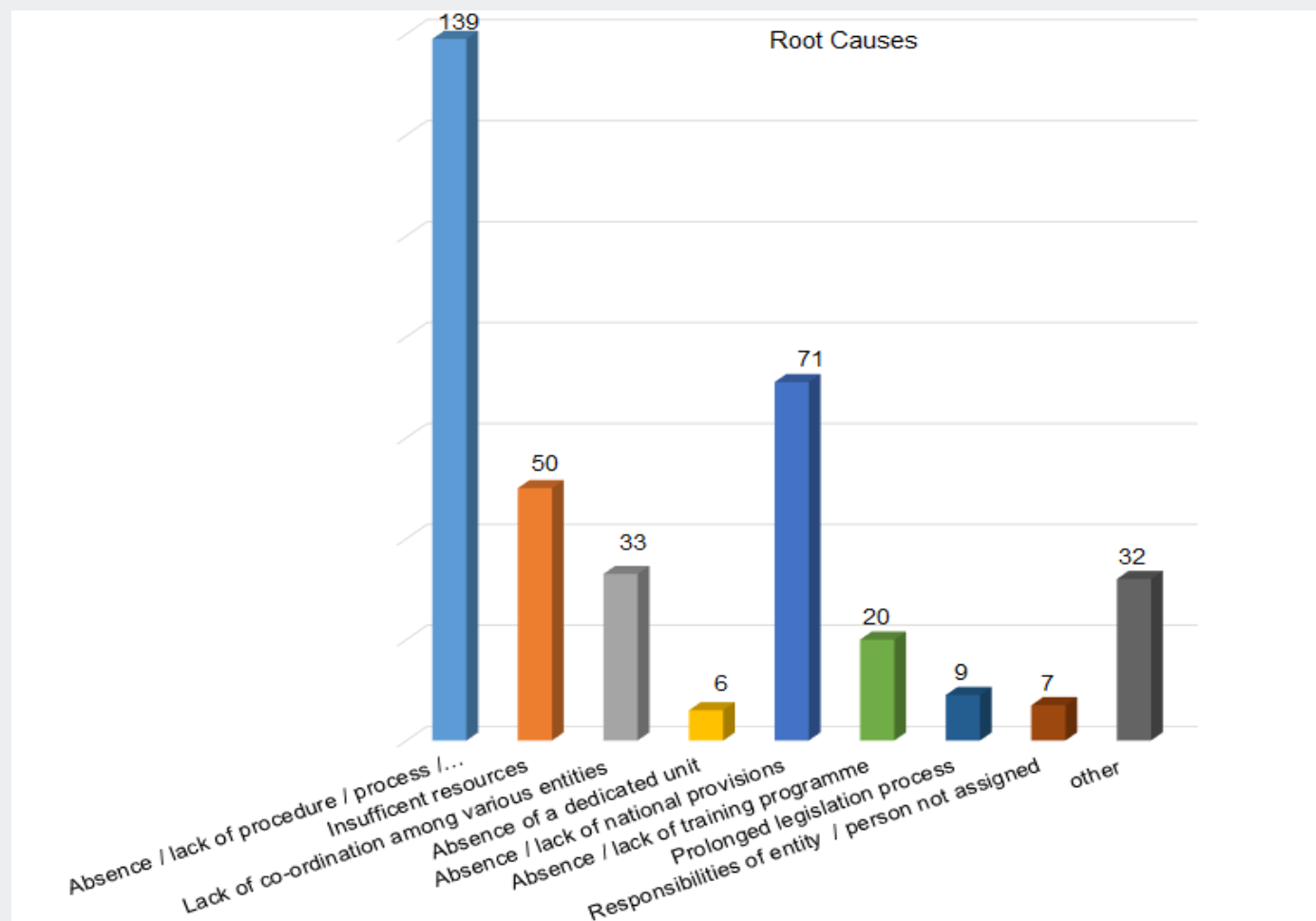
Analysis of audit results by parts of the Code



Non-conformities by mandatory IMO instruments



Analysis of root causes

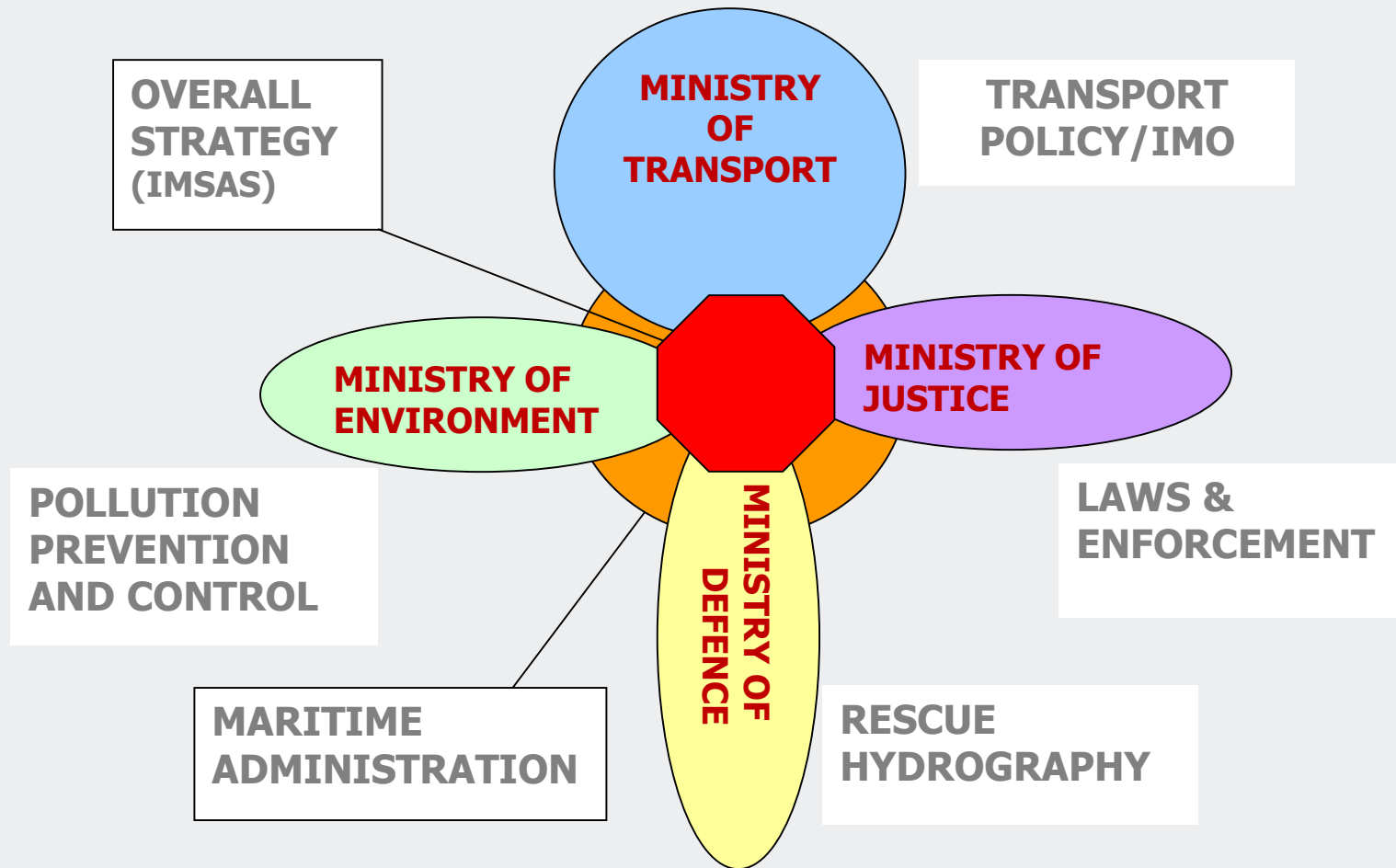


Supporting reference document

- 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

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



Question and Answers

