



EMSA

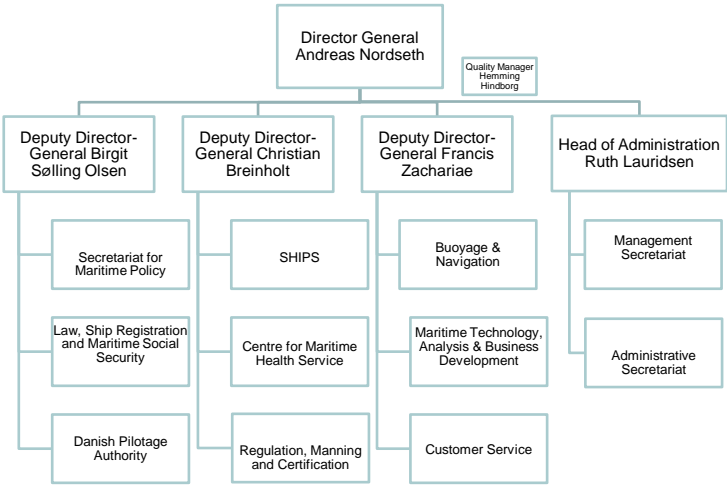
**SAFEMED III Seminar
on
Voluntary IMO Member State Audit
Scheme (VIMSAS)**

**The Coastal State Organisation
and
the example of a member state**

**By Michael Skov
Danish Maritime Authority**



The organisation of the DMA





The organisation of the DMA

Staff:

1 General Director

4 Deputy Directors

330 employees



DMA places of work

Main office
Danish Maritime Authority, Copenhagen ▲

Operational centres ■
Grenå
Korsør

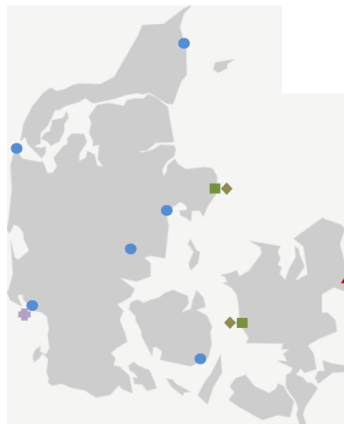
Inspection vessels ◆
JENS SØRENSEN, Grenå
POUL LØWENØRN, Korsør

Survey offices ●
Aarhus
Esbjerg
Fredericia
Frederikshavn
Svendborg
Thyborøn

Nuuk, Greenland

Health training ●
Maritime Health Service, Fanø

Danish Maritime Authority, Faroe Islands
Loran-C station, DGPS station, operation of
lighthouses





Our mission and vision

Mission

To promote health and safety on clean seas and to effectively strengthen the competitiveness of and employment in the maritime industries.

Vision

Denmark is to be a leading maritime nation, setting the direction for future quality shipping.



Main responsibilities

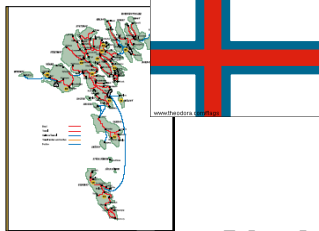
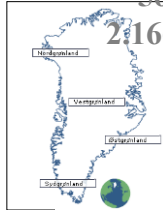
- Safe ships, health and the environment
- Safe waters, buoyage and navigation
- Social conditions, seafarers and fishermen
- Framework conditions, competition and growth
- Basic supportive functions are performed by "Resources and management"



Greenland

56.124 hab.

2.166.086 sq km



Faroe Island

45.409 hab.

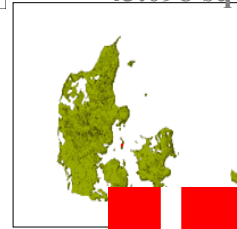
1.399 sq km



Denmark

5.330.000 hab.

43.098 sq km



The Kingdom of Denmark has 3 flags

and 4 registers

- But only one Flag State

**Only one party to
the convention**

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Agenda

- Background
- Preparation – the Danish Experience
- Organisation
- Coordination and Planning
- Internal Audit
- Voluntary IMO Audit
- Recommendations
- Future Audit Scheme
- Questions





Background

- As part of the Government's action plan for growth and innovation in the Danish maritime cluster, Denmark was the first country to be audited by the UN's International Maritime Organization, IMO.
- An audit is an independent evaluation of whether a Member State fulfils its international obligations as flag, port and **coastal State**.
- The audit of Denmark was carried out on 18 to 25 September 2006 and took place in accordance with the Voluntary IMO Member State Audit Scheme (VIMSAS).



Background

- Resolution A.973(24) Code for the Implementation of Mandatory IMO Instruments
- Resolution A.974(24) Framework and Procedures for the Voluntary IMO Member State Audit Scheme
- Were adopted by IMO at the 24 Assembly December 2005
- A number of IMO Member States volunteered for audit under the scheme
- The audit of Denmark was the first to be undertaken using fully the principles established under Resolution A.973(24) and Resolution A.974(24)





Preparation

- The Danish Maritime Authority informs IMO Secretary General that Denmark wants to be audited
- A Danish interdepartmental group on maritime issues was established
- Pre-audit Questionnaire was filled out by the interdepartmental group and send to IMO



Preparation

- Danish Maritime Authority gets the formal authorization to act on behalf of all involved Ministries and signs the Memorandum of Co-Operation between Denmark and IMO
- Denmark selected by IMO to be audited
- Memorandum of Co-Operation sent to IMO
- Greenland to be included in the audit
- The Faroes (overseas territories) not included in the audit





Preparation

- Delegate obligations according to A.24/Res.973 (Annex 1 to Annex 4)
- Define division of responsibilities between entities
- Describe interdepartemantal entities
- Planning the internal Danish and IMO audit in parallel
- Internal audit to take place in week 33 2006
- IMO audit of Denmark to take place in week 42 was changed to week 38 2006



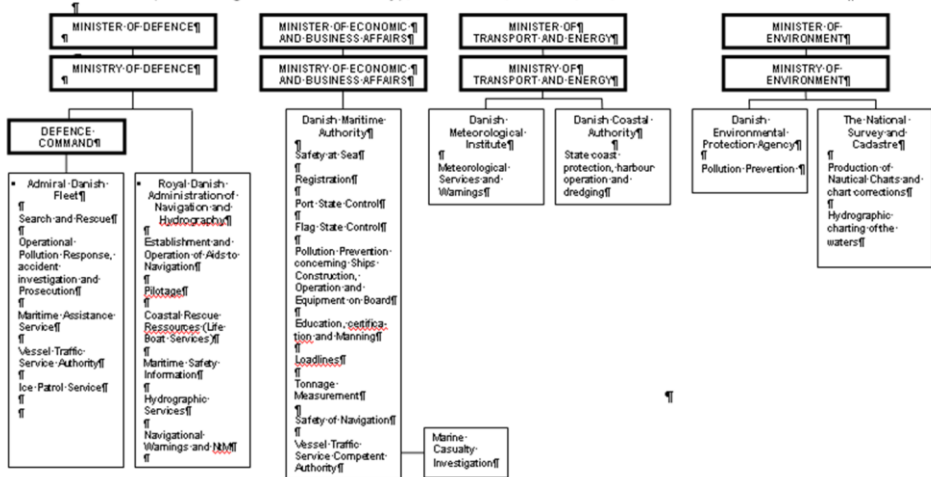
Organisation

- **4 Ministries**
 - Ministry of Defence
 - Ministry of Economic and Business Affairs
 - Ministry of Transport and Energy
 - Ministry of Environment
- **8 Authorities**
 - Danish Defend Command
 - Admiral Danish Fleet
 - Royal Danish Administration of Navigation and Hydrography
 - Danish Maritime Authority
 - Danish Meteorological Institute
 - Danish Coastal Authority
 - Danish Environmental Protection Agency
 - The National Survey and Cadastre



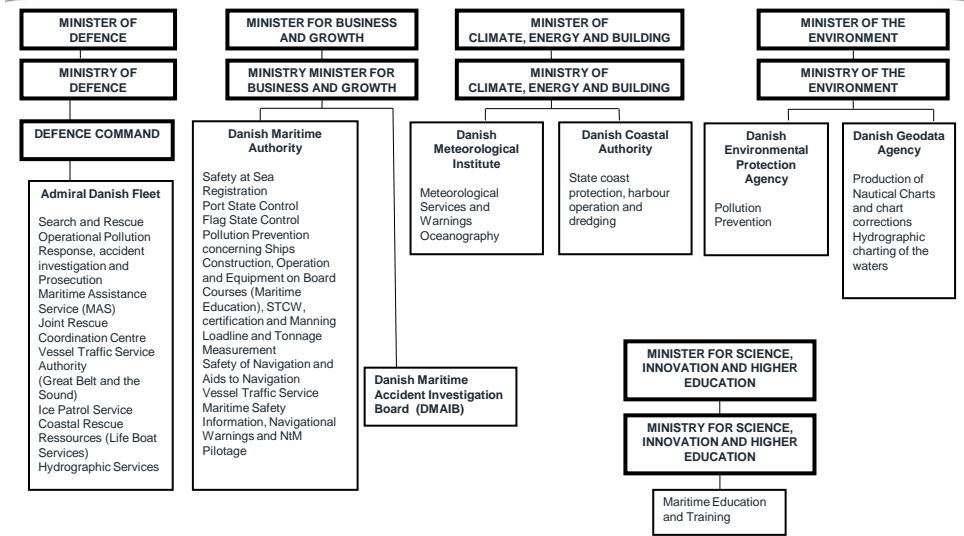
Pre-audit Questionnaire Appendix 1

Distribution of Areas of Responsibilities between Danish Authorities within the Scope of
• SOLAS (Excluding Maritime Security), MARPOL, STCW, LL, TONNAGE and COLREG



Distribution of Areas of Responsibilities between Danish Authorities within the Scope of The IMO Conventions (2014 update)

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Internal Audit

- Internal Audit Plan
- Internal Audit Time Table
- Internal Audit
- Internal Audit Finding Report
- Internal Audit Closing Meeting



Internal Audit Plan

- Built on the Voluntary IMO Audit Plan
- Internal auditors selected
- External consultant from UK company
- Information to all entities
- Information to regional offices (audit by phone)
- Greenland audited in parallel





Internal Audit Time Table

FINAL TIMETABLE FOR THE INTERNAL IMO AUDIT OF DENMARK 14-18 AUGUST 2006

14 August	15 August	16 August	17 August	18 August
Day 1	Day 2	Day 3	Day 4	Day 5
a.m. (10.00 – 11.00, GL/MSO) Risk analysis, performance measurement/evaluation (DMA/ Strategic Planning Division) (13.30 – 14.00, HHI/JGA) Legislation Processes and implementation of STCW (note 1) - (DMA/Centre for Seafarers and Fishermen)	a.m. (09.00 – 11.00, PS) Implementation of SOLAS, MarPol, Tonnage and LL (DMA/Centre for Ships) (11.15 – 12.15, PS/ML/PM/MLN) Surveyor training and recruitment (DMA/Centre for Ships/ Centre for Internal Staff)	a.m. (09.30 – 11.00, DEPA) implementation of MarPol. (Danish Environmental protection agency) (11.15 – 12.30, RDANH) Coastal rescue, Aids to navigation (RDANH and regional office by phone – Coastal Center Grenå)	a.m. (09.15 – 11.15, ASS/FBM) Legislation Processes. Review of Legislation, interpretations and guidance notes. Review of policies for the implementation of SOLAS, MarPol, Tonnage and LL. (DMA/Centre for Safety and environmental Regulation) (11.15 – 12.30, SKA) Implementation of survey, PSC, flag state inspection policies (Interview by phone) DMA/CFS Southern region - Surveyor Office Svendborg)	a.m. (09.00 – 10.00) Outstanding Issues Closing meeting (10.00 – 12.00) DMA, RDANH, EPA, SOK/MAS - submission of draft interim report plus findings



Internal Audit Finding Report

No.:	F/R/ O	Department:	Reference:	Comments:
1	F	DMA/DIR RDANH ADF/MOD/DC DEPA	PAQ – I/3 – App. 1	Description of areas of responsibilities including the Organigram in appendix 1 to be revised. The Organigram must show the The National Survey and Cadastre (Charts) as an agency below the Ministry of Environment. The Organigram to be revised in order to show the responsibilities between the Minister, Ministry, Defence Command and the ADF.
2	R	DEPA	PAQ I/5 - Appendix 2. New Appendix 2.1	Appendix 2 to be revised. Review of number of staff etc. The division of responsibilities between the DEPA and the DMA as defined in the Notices of the DMA (MARPOL) must be described in the PAQ.
3	F	DMA/RC/SOF DEPA/ADF/RDANH	PAQ II/3 including appendix 4.	The government entity responsible for the IMO instruments is unclear. To be revised.
4	R	DMA/CFS/RC	PAQ II/4.1+4.2	To be clarified – “unless if in conflict”? To be rewritten.

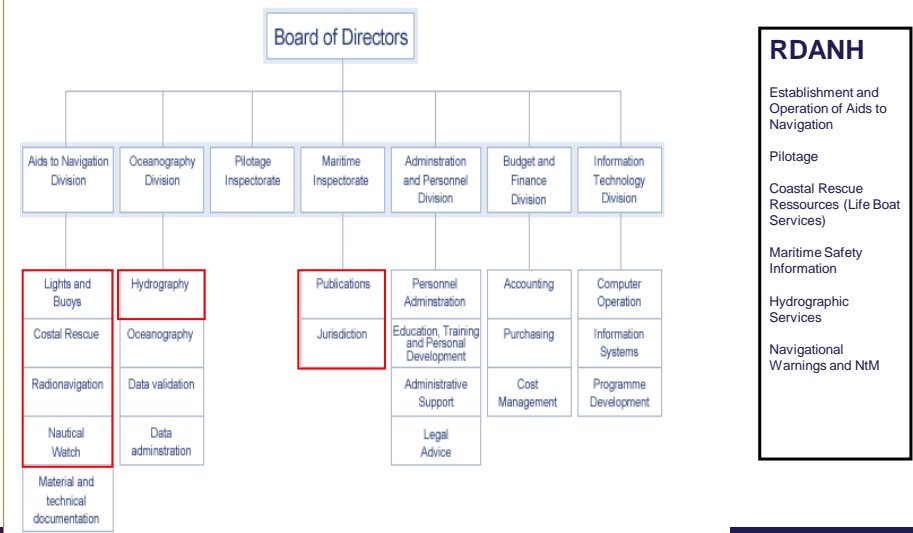


Internal Audit Closing Meeting

- Pre-Audit Questionnaire revised and send to IMO auditors
- Appedicies revised and send to IMO auditors
- How does the Danish Administration work
- How to conduct the Voluntary IMO Member State Audit
- Language – translation from Danish to English
- All relevant documents in hard copy
- All corrections send to one point of contact (DMA)



Voluntary IMO Audit





Voluntary IMO Audit

TIMETABLE FOR THE IMO VMSAS AUDIT OF DENMARK 16-26 SEPTEMBER 2006

18 September	19 September	20 September	21 September	22 September	25 September
Day 1	Day 2	Day 3	Day 4	Day 5	Day 6
a.m. Opening Meeting. (0.5hr) All Auditors Strategy Development for Administration, Processes for continual review. Risk analysis, performance measurement/ evaluation (DMA/Board of Directors) (DMA/Strategic Planning Division)	a.m. Auditors 3+4 Implementation of MarPol. Operational pollution response +enforcement. SAR coordination. (ADF/DC) p.m. Auditors 3+4 Review of policies for the implementation of MarPol, Tonnage and Loadline (DMA/ Centre for Maritime Regulation) Implementation of MarPol, Tonnage and LoadLine (DMA/Centre for Ships)	a.m. Auditors 3+4 implementation of MarPol. (Environmental protection agency) a.m. Auditors 1+2 Coastal rescue, Aids to Navigation (RDANH)	a.m. Auditors 1+2 Implementation of survey, PSC, flag state inspection policies (DMA/CFS Southern region - Surveyor Office Svendborg) p.m. Auditors 1+2 Any outstanding Issues	a.m. Auditors 1+4 Casualty Investigation (DMA, Division for Investigation of Maritime Accidents) a.m. Auditors 2+3 Review of policies for the implementation of ColReg and SOLAS Chapter IV + V incl. training policies for VTS, AIS and remaining navigational issues (DMA/Centre for Seafarers and Fishermen, ADF, RDANH)	a.m. closing meeting – submission of draft interim report plus findings



Voluntary IMO Audit

VIMSAS Detailed Audit Time Table and Programme

Wednesday 20 September 2006			
Time	Activity	Participants	Division and Location
09.00	Pick-up at HOTEL KONG ARTHUR - Nørre Søgade 11 Copenhagen K – Phone 45 33 11 12 Travel by taxi to RDANH.	Auditors 1 + 2 Guide Hemming Hindborg or Aron F. Sørensen, DMA/Centre for Seafarers and Fishermen.	-
09.30 – 11.30	Introduction to RDANH Coastal rescue Aids to navigation	Auditors 1 + 2 Head of Division, Omar Frits Eriksson Mogens Rasmussen and Ivan Carlsson Head of Division Michael Skov, Dan Schmidt and Flemming Sørensen, Jens Bjørnsteen Petersen MOD	Royal Danish Administration of Navigation and Hydrography (Ministry of Defence) - Overgaden o. Vandet 62B Copenhagen K Contact: Michael Skov Phone no. 3268 9578
12.00 – 13.00	Lunch break	All Auditors.	DMA Meeting Centre.



Voluntary IMO Audit

RDANH audited in SOLAS 74:

- Reg. V/4 Navigational Warnings
- Reg. V/9 Hydrographic Services
- Reg. V/13 Establishment and Operation of Aids to Navigation
- Reg. V/31.2 Danger Messages
- Reg. V/7.1 Search and Rescue Services – Necessary Arrangements



Voluntary IMO Audit

- Conducting the Audit
- Review of Strategy
- Review of Relevant Legislation
- Review of Policies for Implementation
- Review of Implementation and Enforcement
- Contracts, Letter of Agreement
- Interdepartmental Groups





Voluntary IMO Audit

- Single Point of Contact
- Organisation
- Interdepartmental Groups, Contracts and Letter of Agreement
- Internal Audit
- Native English Speaking External Consultant
- Language and Translation
- Timeconsuming
- Expensive
- Preparation is Everything



Audit Report

The audit went well and the team carrying out the audit concluded that Denmark meets its obligations with regards to the IMO Mandatory Instruments as well as the Code implementing these instruments. Moreover, the audit team identified a number of areas of good legislative and administrative practice which were innovative, and thus beneficial to safety, health and the environment.

The audit team also made a number of observations, which the responsible Danish authorities i.e. the Danish Maritime Authority, the Danish Ministry of Defence, the Chief of Defence Denmark, the Royal Danish Administration of Navigation and Hydrography, the National Survey and Cadastre, the Admiral Danish Fleet, the Danish Meteorological Office, the Danish Coastal Authority and the Danish Directorate of Fisheries will look further into. These observations were, however, of minor importance according to the audit team, and did not disturb the overall image of Denmark as an efficient maritime administration.

In order to increase transparency with regards to the Voluntary IMO Member State Audits, Denmark has decided - as the first country - to publish both the audit report and the action plan for the follow-up on the auditors' observations.



Audit Report

- The current audit of Denmark is the first to be undertaken using fully the principles established under A24/Res.974 and the Code for Implementation of Mandatory Instruments A24/Res.973
- The team that carried out the audit of Denmark consisted of four auditors from different IMO Member States



Audit Final Report

Finding:

- The Administration fully meets its obligations arising under Chapter V of SOLAS in respect of Hydrographic Services, Navigational Warnings, Aids to Navigation, Meteorological services and warnings and provision of Charts and publications.

Observation:

- It was established during the audit that no independent evaluation of the effectiveness of navigational information provided by RDANH and DMI





Audit Final Report

Finding:

- The Administration meets its obligations arising under SOLAS Chapter V with regard to the provision of Search and Rescue facilities, Navigation Safety (viz Ship Routeing and Ship Reporting, Vessel Traffic Services in the Great Belt)

Observation:

- It could not be determined during the audit that Enforcement provisions are sufficiently robust to assist in deterring pollution.
- Periodic exercises as required by SOLAS Ch V Reg 7.3 could not be verified as being undertaken



Audit Final Report

Areas for further development:

- Consider whether enforcement action can be strengthened in relation to COLREGS, MARPOL and SOLAS as a method of deterring future infringements of these
- Consider the development of user groups to determine the effectiveness of Navigational information and publications including charts
- Consider an alternative method of record keeping demonstrating compliance with SOLAS ch V.7.3

Read more at

<http://www.dma.dk/AboutUs/Sider/AuditofDenmark.aspx>





Audit of Denmark



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Audit of Denmark

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[Read more about VIMSAS here](#)

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Contact

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E-mail: HHI@dma.dk

Related themes

» [Insurance certificates for maritime claims](#)



IMO Member State Audit Scheme (IMSAS)

- The mandatory audit scheme is seen as a key tool for assessing Member States' performance in meeting their obligations and responsibilities as flag, port and coastal States under the relevant IMO treaties and then offering the necessary assistance, where required, for them to meet their obligations fully and effectively





IMO Member State Audit Scheme (IMSAS)

- The Assembly adopted the IMO Instruments Implementation Code (III Code), which provides a global standard to enable States to meet their obligations as flag, port and/or coastal States; the Framework and Procedures for the IMO Member State Audit Scheme; the 2013 non-exhaustive list of obligations under instruments relevant to the III Code; and a resolution on transitional arrangements from the voluntary to the mandatory scheme.



A 26/Res.1018

- 4 -

ANNEX

TIME FRAME AND SCHEDULE OF ACTIVITIES
TO INSTITUTIONALIZE THE IMO MEMBER STATE AUDIT SCHEME

IMO Body	Timing	Action
MSC and MEPC	First half of 2010	Consider how to make the Code for the implementation of mandatory IMO instruments mandatory, including provisions for auditing
MSC and MEPC	Second half of 2010	Identify mandatory IMO instruments through which the Code and auditing should be made mandatory
Council	End 2010	Establish Joint Working Group (JWG) of MSC, MEPC, FAL and TCC to review the Framework and Procedures for the Scheme
MSC and MEPC	2011 and 2012	Develop provisions to make the Code mandatory through the identified mandatory IMO instruments
Council	Second half of 2011	Approve a progress report for submission to A 27
Assembly 27	November 2011	Receive a progress report and decide as appropriate
JWG	2011 and 2012	Review the Framework and Procedures for the Scheme
JWG	2013	Finalize the Framework and Procedures, taking into account the finished product of the Code and the related amendments to mandatory IMO instruments
Council	First half of 2013	Approve the Framework and Procedures for the Scheme, for submission to A 28 for adoption
Committees	2013	Adopt amendments to the mandatory IMO instruments concerned for entry into force on 1 January 2015
Assembly 28	November 2013	Adopt resolution on the Framework and Procedures for the Scheme and amendments to those mandatory instruments under the purview of the Assembly
Council, Committees and Secretariat	2014	Preparatory work for the commencement of an institutionalized audit scheme





**The voluntary audit scheme (VIMSAS)
from 2006 – 2015**

**The future mandatory audit scheme
(IMSAS III Code) from 2016**



CODE FOR THE IMPLEMENTATION OF MANDATORY IMO INSTRUMENTS

<p>PART 1 – COMMON AREAS Objective Strategy General Scope Initial actions Communication of information Records Improvement</p> <p>PART 2 – FLAG STATES Implementation Delegation of authority Enforcement Flag State surveyors Flag State investigations Evaluation and review</p>	<p>PART 3 – COASTAL STATES Implementation Enforcement Evaluation and review</p> <p>PART 4 – PORT STATES Implementation Enforcement Evaluation and review</p>
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III Code – Coastal State

PART 3 – COASTAL STATES

Implementation

Enforcement

Evaluation and review



III Code – Coastal State

A coastal State should ensure that its legislation, guidance and procedures are established for the consistent implementation and verification of its rights, obligations and responsibilities contained in the relevant international instruments to which it is a party





III Code – Coastal State

Those rights, obligations and responsibilities may include, inter alia:

- .1 radiocommunication services;
- .2 meteorological services and warnings;
- .3 search and rescue services;
- .4 hydrographic services;
- .5 ships' routing;
- .6 ship reporting systems;
- .7 vessel traffic services; and
- .8 aids to navigation.



IMO Resolution A.1067(28)

- Framework and Procedures for the IMO Member State Audit Scheme, which was adopted by the Assembly through resolution A.1067(28)



IMO Resolution A.1068(28)

- Transition from the voluntary IMO member state audit scheme to the IMO member state audit scheme
- After the adoption all audits should be arranged and carried out in line with framework and procedures for the IMO member state audit scheme and using the III Code as the audit standard



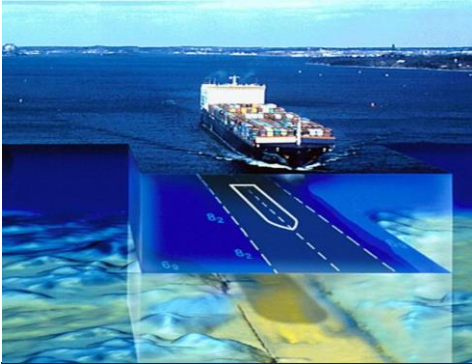
IMO Circular Letter no. 3425

- AUDITOR'S MANUAL FOR THE IMO MEMBER STATE AUDIT SCHEME (IMSAS)
- Dated 5 December 2013





Thank you very much for your attention



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