



# IMO MEMBER STATE AUDIT SCHEME SAFEMED IV Training on the implementation of the III Code

## MEMBER STATE PREPARATION FOR THE AUDIT (GENERAL)

# MS preparation for the audit

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- The STATE informed of the planned audit period, in accordance with the audit schedule for the mandatory Scheme
- May involve many ministries, departments, agencies, branches....
- Who shall organize it?



## MS preparation for the audit (cont.)

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- Internal training and preparation – including key personnel at ministry(ies) and maritime administration
- Are we ready for the audit?
- Who will sign "Memorandum of Cooperation"?

# Lead entity

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- Responsible entity for coordination of audit preparation, internal audit and "the IMO audit" can be nominated
- Internal training for "key personnel"
- Internal training for internal auditors

# MS preparation for the audit

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- Establish a steering committee?
- Define responsibilities and tasks
- Prepare roadmap
- Conduct gap analysis / self-assessment
- Address the gaps and interfaces

## MS preparation for the audit (cont.)

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- Establish a single point of contact – with ATL and IMO (SPC)
- SPC – What is the best position?
- Start to work on PAQ
- Flag State, port State and coastal State?
- Scope: all relevant IMO instruments?

# MS preparation for the audit (cont.)

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## PAQ

- ✓ Let bodies in charge of an area prepare their part of the PAQ
- ✓ Developing the PAQ can be part of a gap analysis
  - Consider internal audits
  - Identified problems to be rectified before the external audit
  - If it involves legislation – start early
- ✓ Final check of PAQ by audit team before the audit
- ✓ Audit team may raise questions for clarification

# Internal Audit

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- Internal Audit – according to information in PAQ
- Audit plan – findings
- May be sensitive



# Before audit under IMSAS

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- Developing audit plan and timetable – be prepared to assist ATL
- You know all the locations
- Avoid unnecessary travel
- Appoint liaison officers (guides) – open all doors
- Inform all selected personnel – must be there
- Backup – sickness, holiday.....

# Key Personnel

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- Opening meeting / Interviews / Closing meeting – who will attend?
- Findings and observations – be prepared to accept
- Findings and observations – who will accept/sign on behalf of the State?
- Findings and observations – who will provide corrective actions?

# Facilitating the Audit Team

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- The Audit Team – prepare in-country travel and suggest hotels
- Meeting place for Audit Team – initial meeting and to prepare report
- Office for Audit Team during week

## International Maritime Organization

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