

# IMO MEMBER STATE AUDIT SCHEME

## SAFEMED IV Training on the implementation of the III Code

Resolution A.1070(28)  
IMO Instruments Implementation Code  
(III Code) – improvement evaluation and  
review



# Contents / Evaluation and Review

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- Part 1      Common areas / improvement
  - Part 2      Flag States
  - Part 3      Coastal States
  - Part 4      Port States
- 
- evaluation and review

## Improvement: para 11 - 14

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- Rigorous and effective application and enforcement of national legislation, as appropriate, and monitoring of compliance
- Stimulation of a safety culture which provides opportunities for improvement of performance in maritime safety and environmental protection activities which may include:
  - ✓ Continual training programme
  - ✓ Regional and national drills on safety and pollution prevention
  - ✓ Reward for shipping companies and seafarers regarding improving safety and pollution prevention

## Improvement: para 11 - 14

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- Action to identify and eliminate the cause of non-conformities, as well as potential non-conformities including:
  - ✓ Review and analysis of non-conformities
  - ✓ Implementation of necessary corrective action taken
  - ✓ Review the corrective action taken

## Improvement: Example of Finding

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There was no objective evidence to demonstrate that the maritime administration established a culture providing opportunities for improvement of performances in maritime safety and environment protection activities.

The maritime administration has not taken measures to identify and to eliminate the cause of non-conformities to prevent their recurrence (III Code, paragraph 11; III Code, paragraph 12; III Code, paragraph 13).

## Flag State Activities / Evaluation and Review: para 42 - 44

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- Flag State should evaluate performance on a periodic basis
- Measures should be in place to evaluate performance (performance indicators), and should include:
  - ✓ PSC detention rates
  - ✓ FSI results
  - ✓ Casualty statistics ...

## Flag State Activities / Evaluation and Review: para 42 - 44

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- Areas recommended for regular review may include:
  - ✓ Fleet loss and accidents ratios
  - ✓ The number of verified cases of detained ships
  - ✓ Number of verified cases of incompetence or wrongdoing by individuals holding certificates or endorsements issued under the flag state's authority
  - ✓ Responses to port states deficiency reports
  - ✓ Investigations into very serious and serious casualties
  - ✓ The number of suspension or withdrawals of certificates , endorsements, approvals or similar

# Flag State Activities / Evaluation and Review: Example of Finding

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- The Administration had not carried out any periodic evaluation or review of its actions to fulfill its obligations under the applicable mandatory IMO instruments as a flag State (III Code, paragraph 42).



# Coastal state activities / Evaluation and review: para 51

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- Evaluation of performance should be conducted on a periodic basis
- Measures should be in place to evaluate performance (performance indicators)
- Some examples:
  - **Navigational warnings:**
    - ✓ Rate of warning messages broadcasted in relation to the number of messages received
  - **Meteorological services and warnings:**
    - ✓ Number of ships collecting meteorological data
    - ✓ Number of failure to broadcast at least twice daily weather information for shipping

# Coastal state activities / Evaluation and review: para 51

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## ➤ Search & Rescue Service:

- ✓ Number of staff trained to conduct search and rescue operations
- ✓ Number of distresses at sea addressed
- ✓ Rate of distress at sea addressed in relation to distress messages received
- ✓ Number of passengers ship's plans developed in cooperation with appropriate search and rescue services, and the companies.
- ✓ Number of exercises undertaken to test the effectiveness of SAR plans

# Coastal state activities / Evaluation and review: para 51

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## ➤ Life saving signals:

- ✓ Number of deficiencies in use of life-saving signals by SAR facilities engaged in search and rescue operations when communicating with ships or persons in distress.

## ➤ Hydrographic services:

- ✓ Number of hydrographic survey carried out
- ✓ Number of new nautical charts issued
- ✓ Number of nautical charts updated
- ✓ Number of notices to mariners issued

# Coastal state activities / Evaluation and review: para 51

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## ➤ Ship routing:

- ✓ Number of ships routing system adopted and implemented in accordance with the criteria and guidelines developed by the organization
- ✓ Number of measures taken by the Administration with regard to violation of regulations.

## ➤ Ship reporting system:

- ✓ Number of ships reporting system adopted and implemented in accordance with the criteria and guidelines developed by the organization
- ✓ Number of measures taken by the Administration with regard to violation of regulations.

# Coastal state activities / Evaluation and review: para 51

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## ➤ Vessel Traffic Services:

- ✓ Number of VTS Operators trained in conformity with IALA recommendations
- ✓ Number of training in order to keep VTS operators' qualifications up-to date
- ✓ Number of operating procedures for routine and emergency situation established and adopted.

## ➤ AtoN:

- ✓ Number of AtoN compliant with IALA recommendations and guidelines.
- ✓ Number of surveys conducted
- ✓ Rate of service availability ( more than 95%)

## Coastal state activities / Evaluation and review: para 51

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- **Response to pollution incidents in its water:**
  - ✓ Number of exercises conducted to test the effectiveness of the established mechanisms for timely response to pollution.

# Coastal state activities / Evaluation and review: Example of Finding

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- The maritime administration had not carried out any periodic evaluation or review of its performance in carrying out coastal State obligations under the applicable mandatory IMO instruments (III Code, paragraph 51).

## Port state activities / Evaluation and review: para 63

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Evaluation of performance should be conducted on a periodic basis

- Measures should be in place to evaluate performance (performance indicators), and may include:
  - **Port State Control:**
    - ✓ Number of PSC inspections
    - ✓ Number of PSC inspections resulting in a detention
    - ✓ Percentage of control of foreign flagged vessels calling its ports
    - ✓ Number of PSCO trained
    - ✓ Number of Training in order to up-to date qualifications of PSCO



# Port state activities / Evaluation and review: para 63

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## ➤ Port Reception facilities:

- ✓ Number of available of adequate port facilities
- ✓ Number of regulations developed and issued on port reception facilities
- ✓ Number of reports received on alleged inadequancies of Port reception facilities

## ➤ IMDG Code

- ✓ Detailed instructions on emergency response and medical first aid relevant to incidents involving dangerous goods in package forms issued.
- ✓ Shore based personnel engaged in the transport of dangerous goods trained
- ✓ A management system for all activities related to dangerous goods exist

## Port state activities / Evaluation and review: para 63

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### ➤ Annex VI:

- ✓ Register of fuel oil suppliers is available
- ✓ Bunker delivery note and sample are provided by local suppliers as required by this regulation
- ✓ action taken as appropriate against fuel oil suppliers delivering non-compliant fuel oil
- ✓ Administration informed in case of any ship receiving non-compliant fuel oil
- ✓ The Organization informed of all cases where fuel oil suppliers have failed to meet the requirements

## Port State Activities / Evaluation and Review: para 63

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- This will facilitate identification of:
  - weaknesses and strengths; and
  - ensure continued implementation of improvements where necessary

# Port State Activities / Evaluation and Review: Example of Finding

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- The maritime administration had not carried out any periodic evaluation or review of its actions to fulfill its obligations under the applicable mandatory IMO instruments as a port State (III Code, paragraph 63).

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