

IMO MEMBER STATE AUDIT SCHEME

SAFEMED IV Training on the implementation of the III Code

Records and communication of information



Contents

- Records
- Communication of information

Records: para 10

- ❖ Records, as appropriate, should be established and maintained to provide evidence of conformity to requirements and of the effective operation of the State.
- ❖ Records should remain legible, readily identifiable and retrievable.
- ❖ **A documented procedure** should be established to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records.

Records: Example of Finding

- Records were not always available to provide evidence of conformity to requirements of the mandatory IMO instruments and no documented procedure was in place to define control, identification, storage, protection, retrieval, retention and disposition of records (III Code, paragraph 10).

Communication of Information

Reporting to IMO

Types of reporting obligations


❖ Mandatory reports

- ✓ Reporting required by mandatory Instruments
 - e.g. SOLAS Reg. I/4 Exemptions, I/5 - Equivalents, I/6 – Recognized Organisations, I/21(b) – Casualties,
 - e.g. LL articles 6 – Exemptions, 8 – Equivalents, 9 – experimental approvals

❖ Recommended reports

- ✓ Reporting requirements in non-mandatory instruments e.g. Resolutions, Circulars e.g. Contact/Focal points

Reporting to IMO / Reporting methods



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Global Integrated Shipping Information System


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Welcome to GISIS




Maritime Security
Information communicated under the provisions of SOLAS regulation XI-2/13 (SOLAS chapter X1-2 and the ISPS Code).




Recognized Organizations
Information submitted by Member States under MSC/Circ.1010-MEPC/Circ.382.




Port Reception Facilities
Data on the available port reception facilities for the reception of ship-generated waste.




Piracy and Armed Robbery
Reported incidents of piracy and armed robbery.




Contact Points
Electronic database for Contact Points.




Information on Local Regulations
Information submitted by Administrations on local regulations.




Condition Assessment Scheme
Electronic database for the implementation of the Condition Assessment Scheme - Resolution MEPC.94 (46), as amended.




Marine Casualties and Incidents
Data on marine casualties and incidents, as defined by circulars MSC-MEPC.3/Circ.3.




Pollution Prevention Equipment
Pollution prevention equipment required by MARPOL 73/78.



Simulators
Information on simulators available for use in maritime training.



Greenhouse Gas Emissions
Based on the *Interim Guidelines for Voluntary Ship CO₂ Emission Indexing for Use in Trials* (MEPC/Circ.471).



IMDG Code
Reported cases of disparities between versions of the IMDG Code.

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GISIS (Global Integrated Shipping Information System)
Various modules on mandatory and non-mandatory elements

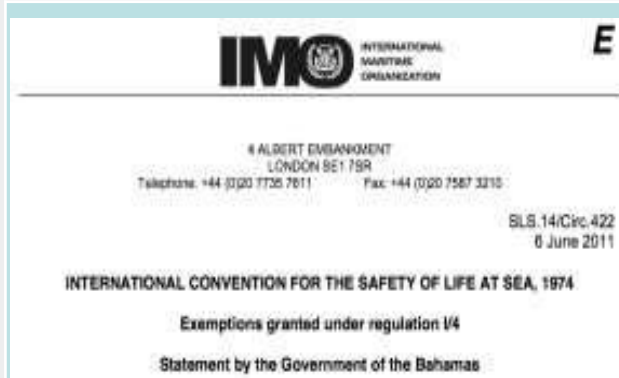
Reporting to IMO / Reporting methods

IMO Sessions

- Casualty Investigation Reports – reviewed by III WG
- STCW 1978 reports pursuant to regulation I/7 – reported to MSC

Reporting to IMO / Reporting methods

Letters to the Secretariat / ship specific reporting



Exemptions (ship is sailing with exemption certificate) (further details for SOLAS are given in SLS.14/Circ. 115)

☐ Exemptions should be re-reported in case of change of flag by the new flag State



Equivalents



Alternative design/approvals for experimental purpose (remark in the certificate + document of approval)

Communication of information: para 9

- To IMO: as required by the relevant mandatory IMO instruments
- To all concerned within the Government of the audited State: responsibilities may be shared between different entities within that Government

Communication of information: para 9



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SUB-COMMITTEE ON FLAG STATE
IMPLEMENTATION
18th session
Agenda item 3

FSI 18/INF.14
14 April 2010
ENGLISH ONLY

RESPONSIBILITIES OF GOVERNMENTS AND MEASURES TO ENCOURAGE FLAG STATE COMPLIANCE

List of reporting requirements in mandatory IMO instruments

Note by the Secretariat

• [FSI 18/INF. 14](#)

Communication of information: para 9

- Mandatory reporting under MARPOL:

➤ MEPC/ Circ .318

- Circulation of a summary of reporting:

➤ MEPC.1/Circ.874 31 January 2018

Communication of information: Example of finding

The State was not able to fulfill its obligations regarding communication of information to IMO under the applicable mandatory IMO instruments (e.g. information on text of laws, orders, decrees and regulations; details of ROs; specimen of certificates; port reception facilities; exemptions).

It was established that the maritime administration did not have in place a mechanism, including policies, assigned responsibilities and instructions, as necessary, to ensure collection of relevant information and communication of mandatory reports to IMO (SOLAS 1974, article III; MARPOL, article 8; MARPOL, article 11; STCW 1978, article IV; LL 1966, article 26; III Code, paragraph 9).

Communication of information: root cause

Responsibilities related to the requirements for mandatory reporting to IMO have not been clearly defined under national legislation and/or internal procedures.

Lack of awareness, inadequate understanding of IMO instruments, including lack of coordination between associated agencies and insufficient competent human resource, are other notable contributory reasons.

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