

EUROPEAN MARITIME SAFETY AGENCY

Preparatory training session for IMSAS

Resolution A.1067 (28) Framework and procedures for IMSAS

Content of the presentation



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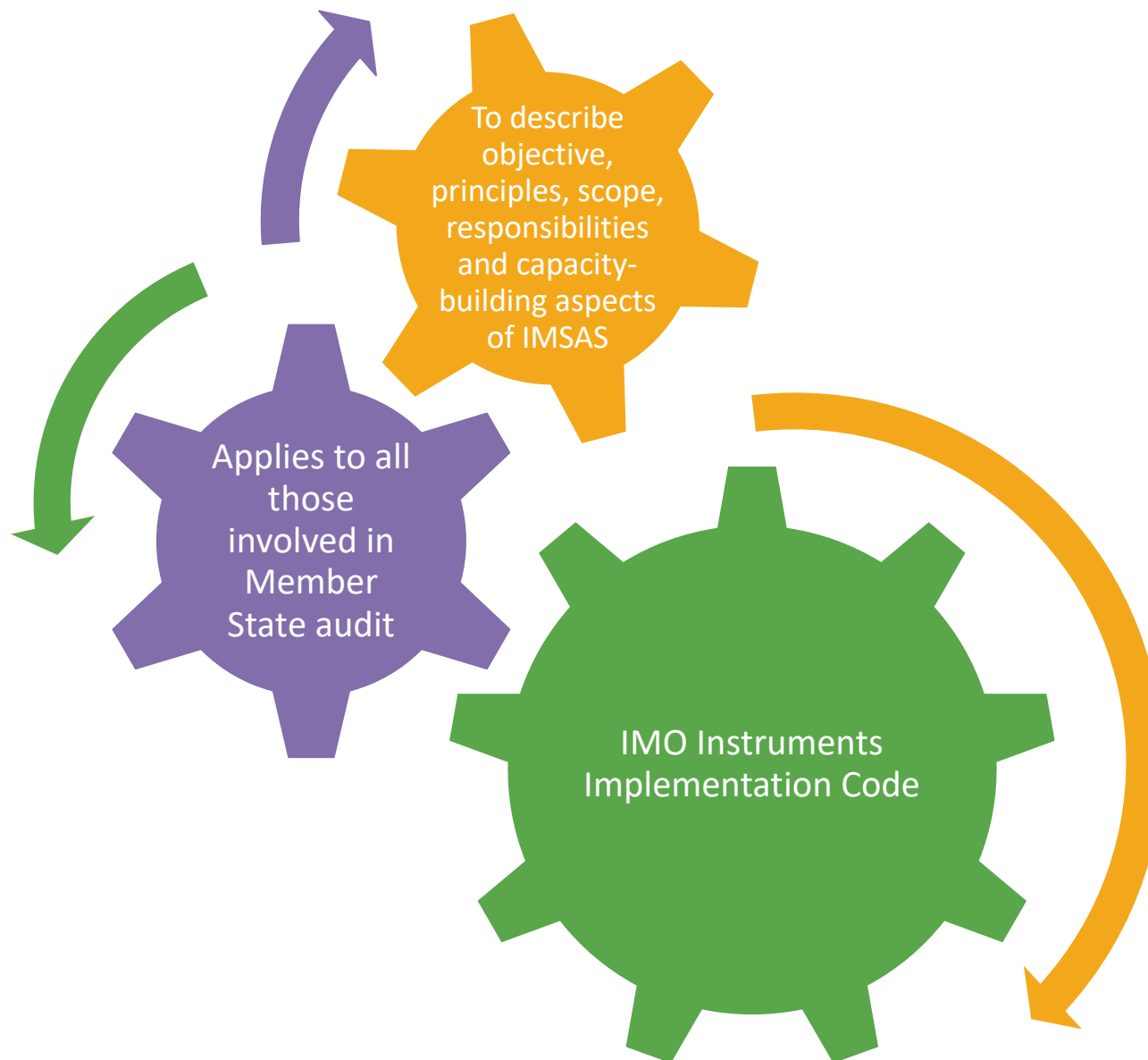


Some relevant documents:

- **Resolution A.1067 (28) Framework and procedures for IMSAS**
- Resolution A.1070 (28) IMO INSTRUMENTS IMPLEMENTATION CODE (III CODE)
- IMO Circular Letter no. 3425 Auditor's Manual for the IMO Member State Audit Scheme (IMSAS)
- IMO Circular Letter no. 4317 IMO Member State Audit Scheme – Consolidated Audit Summary Report (CASR)
- IMO Document III 6/INF.9 Suggestions on developing Member State Manual for the IMO Member State Audit Scheme
- IMO Document A 31/Res.1141 2019: NON-EXHAUSTIVE LIST OF OBLIGATIONS UNDER INSTRUMENTS RELEVANT TO THE IMO INSTRUMENTS IMPLEMENTATION CODE (III CODE)

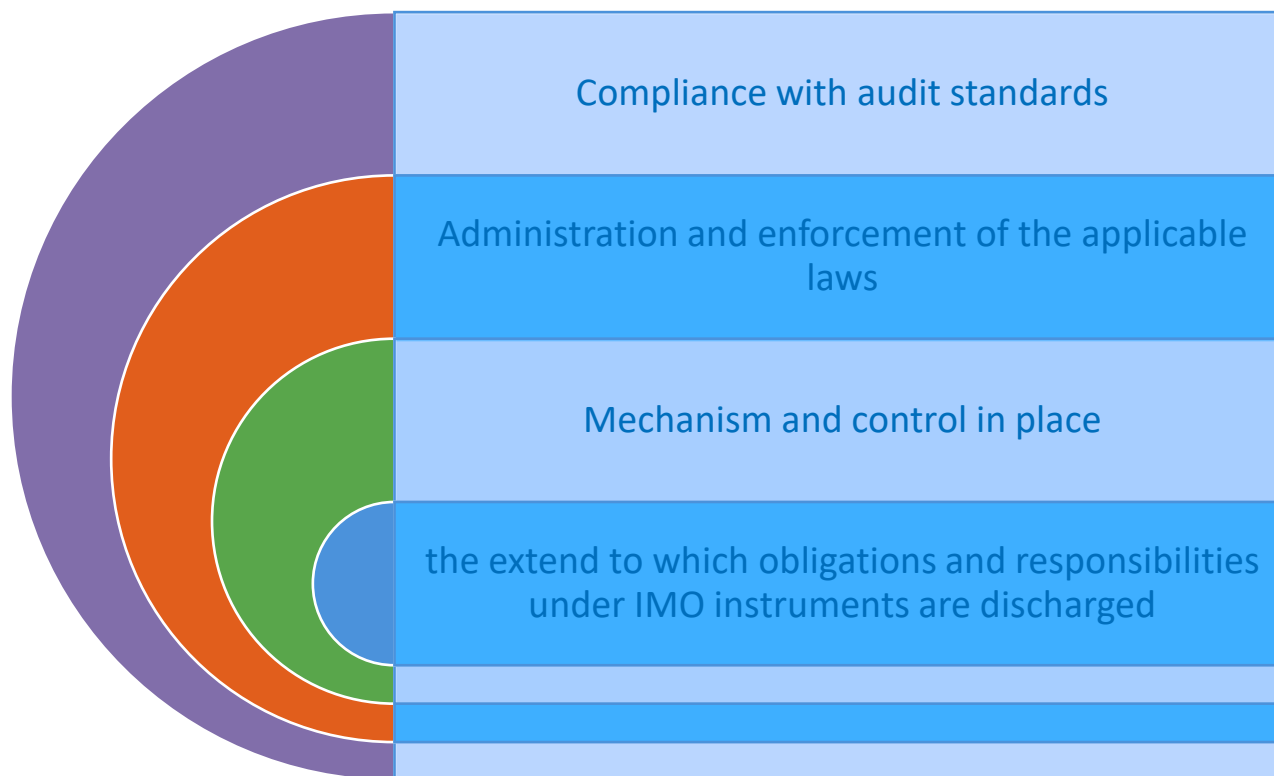
Purpose, application and standards

Part I - Paras 1 to 3



Objective

Part I - Para 5



To determine through observation and assessment of a number of issues to what extend Member States are implementing and enforcing the applicable IMO instruments

Sovereignty and universality	Organised and conducted in way that recognise sovereignty of the State. Positive, constructive and according the procedures
Consistency, fairness, objectivity and timeliness	Conducted by trained auditors, be pragmatic and recognise as valid different ways of discharging responsibilities
Transparency and disclosure	Conducted according to the Memorandum of Cooperation (MoC). Confidential and disclosure only based on explicit consent of the MSs
Cooperation	Conducted in a way that the MSs can contribute to the process
Continual improvement	Leading to continuous improvement through an appropriate follow-up by the MSs

Scope

Part I - Para 7 IMO instruments



States responsible for promulgating laws and regulations and for taking all necessary steps to give full and complete effect to:

Audit covers obligations and responsibilities
as contained in IMO instruments

IMO instruments
Safety of Life at SEA – SOLAS
Prevention of pollution from Ships - MARPOL
Standards of training, certification and watchkeeping for seafarers – STCW
Load lines - LL
Tonnage measurement of ships – TONNAGE
Regulations for preventing collisions at sea - COLREG

STCW limited to Resolution MSC.374(93)

...without transferring, directly or indirectly, damage or hazards from one area to another or transform one type of pollution into another

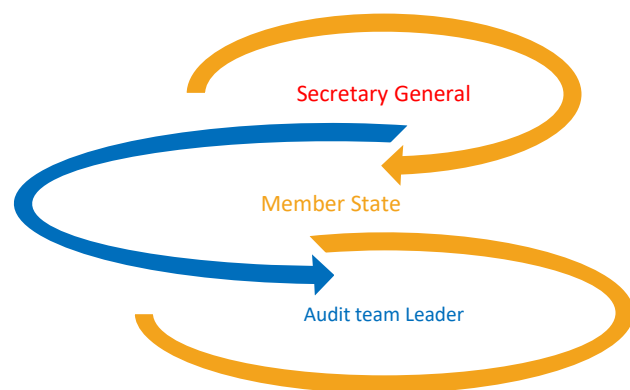
Scope

Part I - Para 7 Areas to be covered by the audit



Responsibilities

Part I - Para 8



Secretary General (SG)	Member State (MS)	Audit Team Leader (ATL)
Administering audit scheme	Facilitate the audit in accordance to MoC	Plan the audit in details
Appointment of auditors and keeping a list – ensuring they are competent	Agree with SG on the ATL and Team members	Ensure that audit team members are acquainted with pertinent information
Planning the audits and concluding a MoC with the MSs to be audited	Prepare a Corrective Action Plan (CAP) to follow-up the audit	Audit and interviews are conducted according the procedure
Ensuring that audit team receive the pertinent information and the audit is conducted according schedule	Prior the audit, authorise the release of executive summary report, CAP and MS's comments on the progress of implementation of the CAP	Prepare and complete the audit reports (interim and final) and the mission report
Ensuring preparation of reports and maintaining records of findings and observation	Implement the CAP within 3 years after the completion of the audit and inform SG when the action is completed	Report details of findings and observations to the MS
Managing audit scheme and possible follow-up		Prepare and agree with MS the executive summary report for SG
Keep records: interim and final reports, executive summary reports, corrective action plan, mission report and follow-up reports - Part II Para 10		Assists in the verification of corrective actions and conduct follow-up as appropriate

Main
definitions

Audit: Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled

Audit evidence: Records, statements of fact or other information that are relevant to the audit criteria and verifiable

Finding: a situation where objective evidence indicates the non-compliance with a mandatory requirement contained in an IMO instrument or in the audit standard

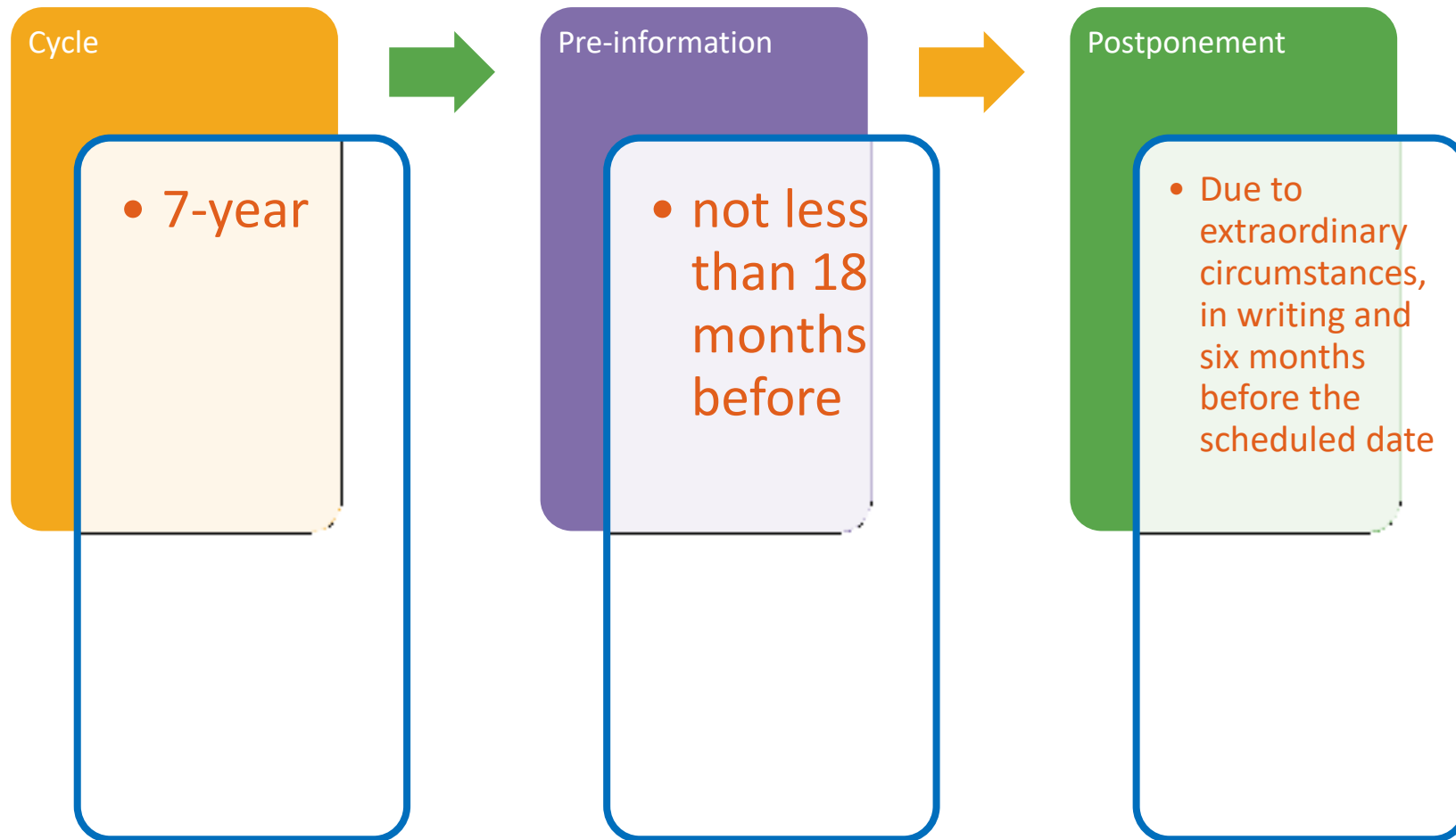
Main
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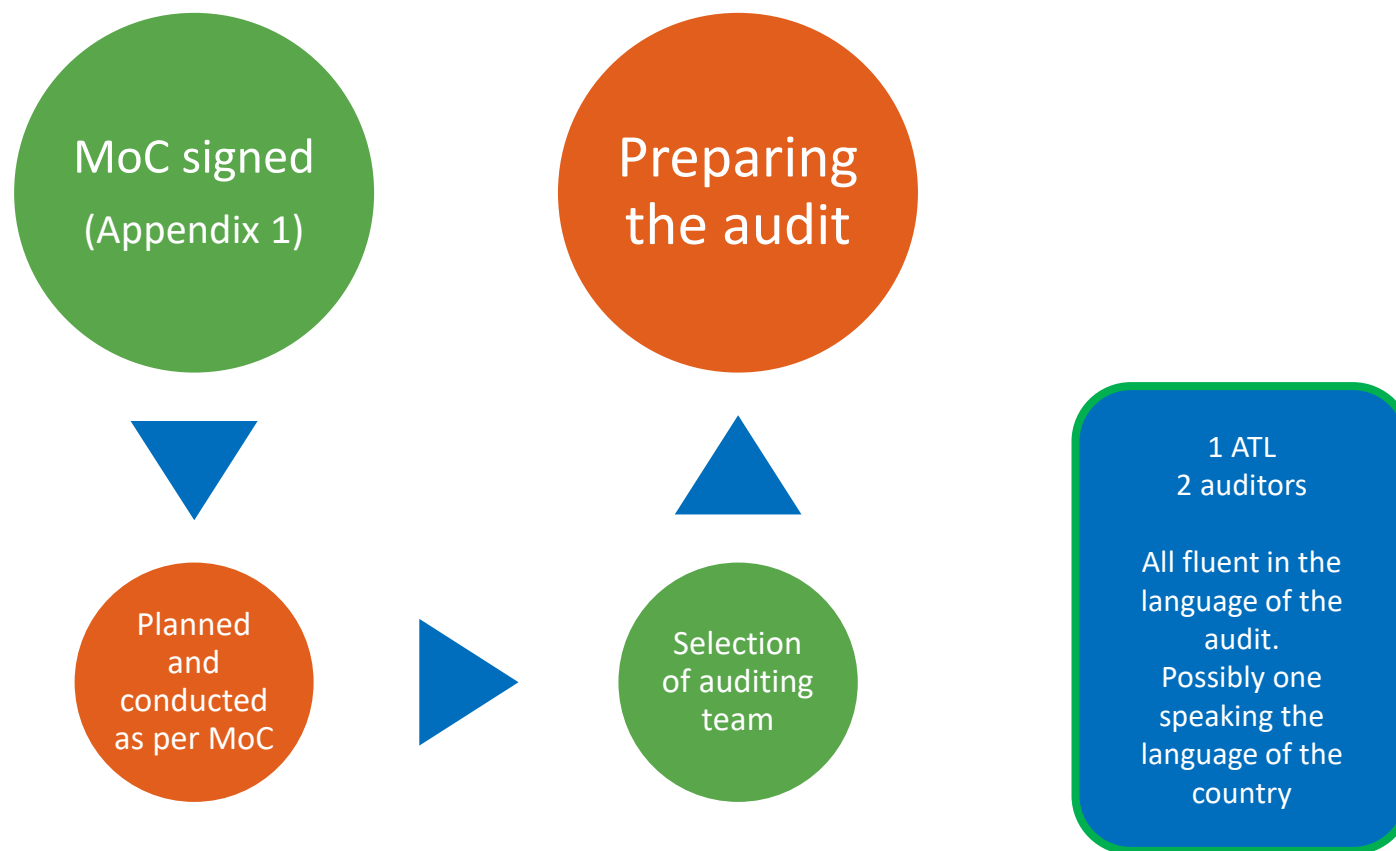
Observation: A statement of fact substantiated by objective evidence , relating to a non-mandatory provision of the audit standard

Objective evidence: quantitative or qualitative information, records or statements of fact, which are based on observation, measurement, or test and which can be verified

Corrective action: action to eliminate the cause of a finding

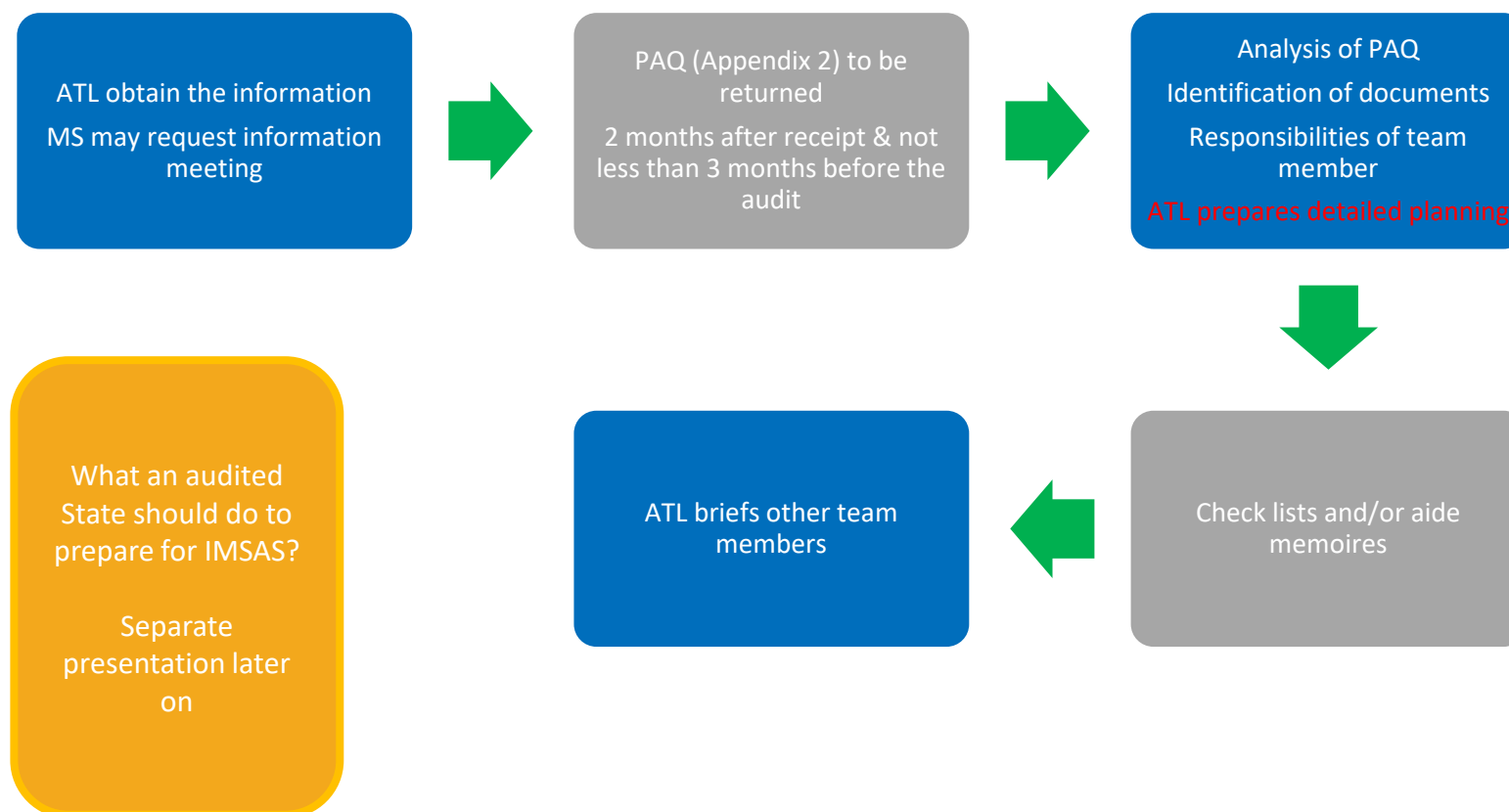
Other definitions: Audit criteria; audit follow-up; information; procedure; process; records; requirements; verification





Preparing for the audit

Part II - Para 5



Timeline

- In accordance with Memorandum of Cooperation

Conduct of auditors

- Audit standards as per III Code
- Highest standards of objectivity, impartiality and confidentiality
- Language proficiency
- Sensitivity of the audit report
- External interviewing of audit team

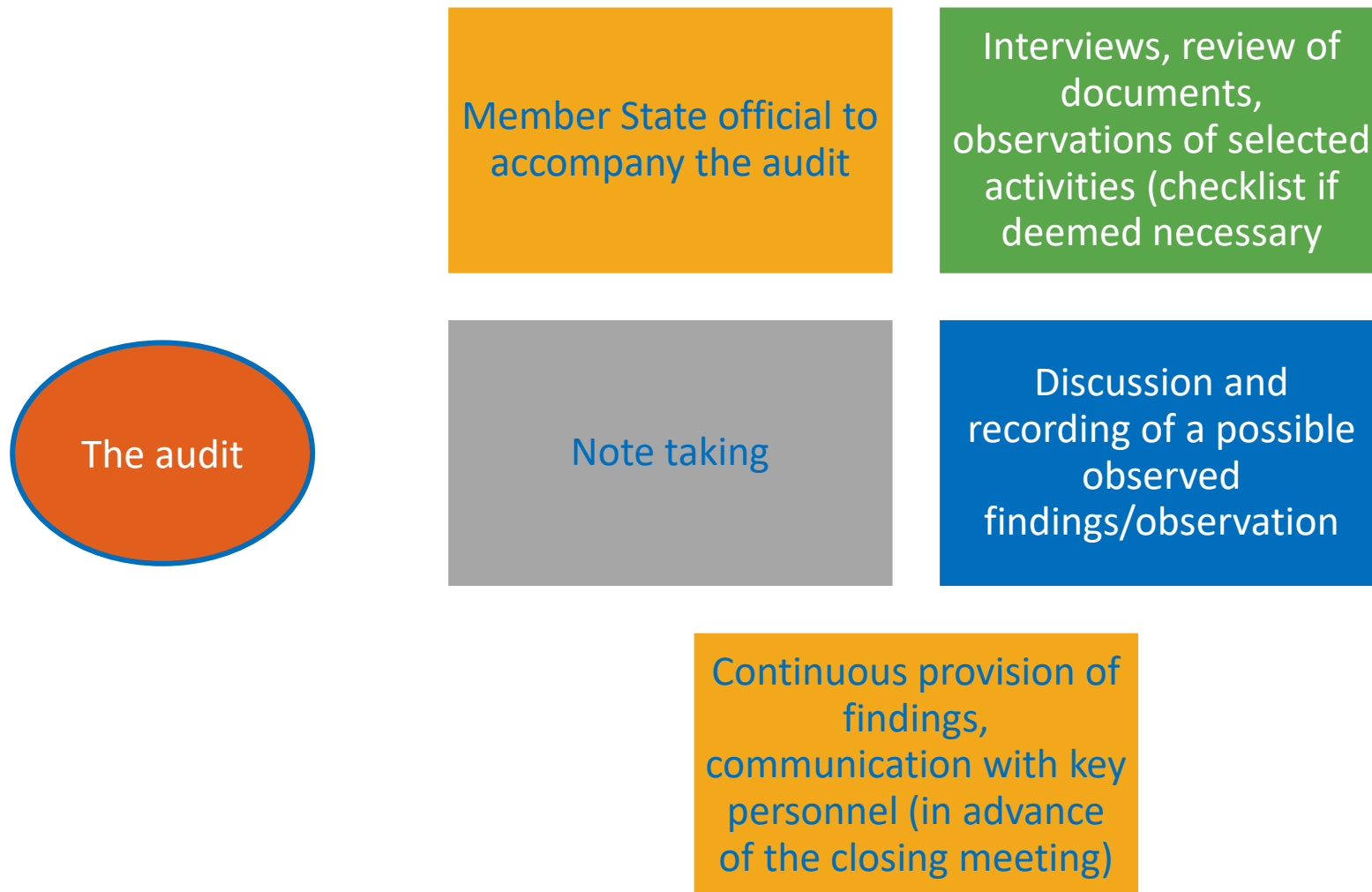
Opening meeting

- Introduction of participants
- Background, objective and scope
- Provisional audit timetable
- Methods and procedures to be used
- Official communication links
- Facilities and administrative arrangements
- Programme of visits to regional offices, etc

Opening meeting

At least the following agenda items:

- Time, date and place of closing meeting and any interim meeting with senior management
- Procedures for documenting audit findings, etc.
- Confidentiality of findings and observations
- Agreement that, if practicable, a draft interim audit report should be tabled during the closing meeting



Audit Closing meeting

- Review of the purpose, scope and objectives of the audit
- Summary of audit procedures
- Presentation of findings and/or observations included in the draft interim report and draft executive summary report
- Information on visits to head, regional offices, etc.
- Actions by the Member State following the audit

Specialist meetings of the audit team and the relevant officials of the Member State may be held prior to or after the audit closing meeting

Audit interim report

- Formal report of audit findings and observations
- Draft submitted to MSs before the closing meeting to allow solve disagreements if any
- Available only to MS, audit team and SG
- Basis for the corrective action plan

Executive summary report

- Details of the audited State including entities involved
- Summary of findings and observations
- Accepted by the MS and published by the SG based on authorisation from MS
- Form as per Appendix 5

Audit final report

- Official and actual report of the audit
- Interim report, root causes and corrective actions as proposed by the MS
- Available only to MS, audit team and SG. Published based on authorisation by SG
- Basis for the IMO consolidated reports
- Comments by MS on the status of implementation of CAP

To be presented to SG within 90 days after receiving the interim report

Respond to the audit findings by including the identification of root cause and corrective action for each of the findings and/or observation.

Timeline for each action to be defined too.

An audit follow-up if needed should be conducted **not later than three to four years following an audit** (after corrective actions have been completed)

Normally conducted in the form of a **document-based audit**

Where the **full implementation of the corrective action cannot be effectively verified** by reviewing the documentary evidence, the Secretary-General should consider constituting **an on-site follow-up audit**.

In that case, same procedure as a standard audit, except for the difference in scope, i.e. limited to issues identified during the initial audit

Where possible, ***at least one audit team member*** for an audit follow-up should have been a member of the original audit team



Questions? Thank you



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