

EUROPEAN MARITIME SAFETY AGENCY

Preparatory training session for IMSAS

Gap analysis of Consolidated Audit Summary Report prepared by IMO

Department 1 Sustainability and Technical Assistance
Unit 1.3 Capacity Building



LESSONS LEARNED - AUDIT ANALYSIS

Review of consolidated audit summary reports (CASRs)



- MSC and MEPC requested FSI Sub-Committee to develop a methodology for analysis of CASRs
- Preliminary study into the methodology for analysis of CASRs is contained in document **FSI 18/14** and the **first review of three CASRs** is available in document **FSI 18/INF.7**
- **Analysis of 75 audits conducted under VIMSAS** is summarized in document **III/3/7** and the **detailed analysis** is available in document **III/3/INF.29**

LESSONS LEARNED - AUDIT ANALYSIS

Review of consolidated audit summary reports (CASRs)

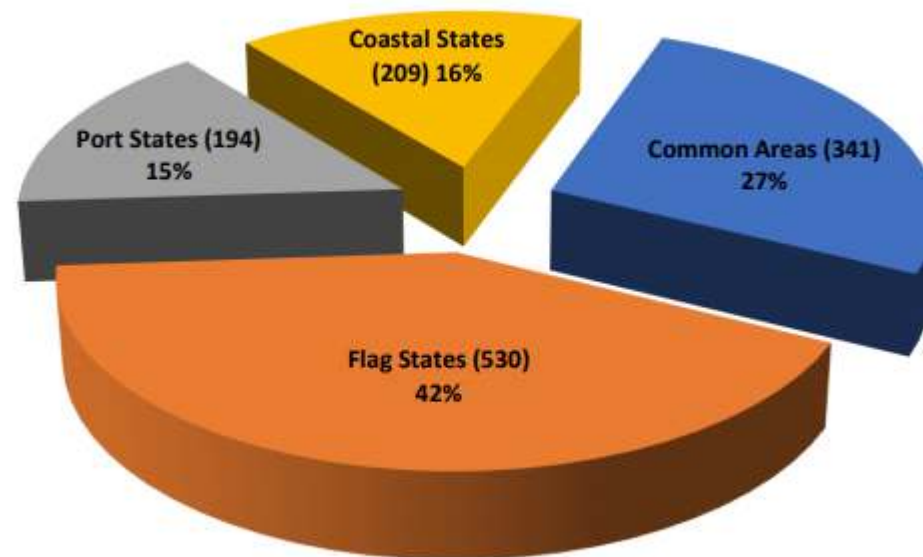


- Analysis of the **first CASR** containing **the outcome from 18 audits** conducted under IMSAS is summarized in document **III/5/7** and the detailed analysis is available in document **III/5/INF.3**
- Following the request by the Council at its 121st session, MSC 101 and MEPC 72 referred the **second CASR**, which **contains lessons learned from 15 audits conducted in 2016 and 2017** under the IMO Member State Audit Scheme (IMSAS) is annexed to **Circular Letter No.3879**
- Following the request by the Assembly at its thirty-first session, MSC 102 and MEPC 75 the **third CASR**, which **contains lessons learned from 17 audits conducted in 2017 and 2018** under IMSAS, annexed to **Circular Letter No.4028**
- In 2020, **the fourth CASR**, which contains **lessons learned from 18 audits conducted in 2018 and 2019** under IMSAS, became available as the annex to **Circular Letter No.4317**
- Analysis **to present as up-to-date information as possible, containing all four CASRs issues so far**, for the deliberation of the Sub-Committee is included in document III 7/INF.27 containing the **analysis of four consolidated audit summary reports (CASRs) from 68 audits conducted between 2016 and 2019**

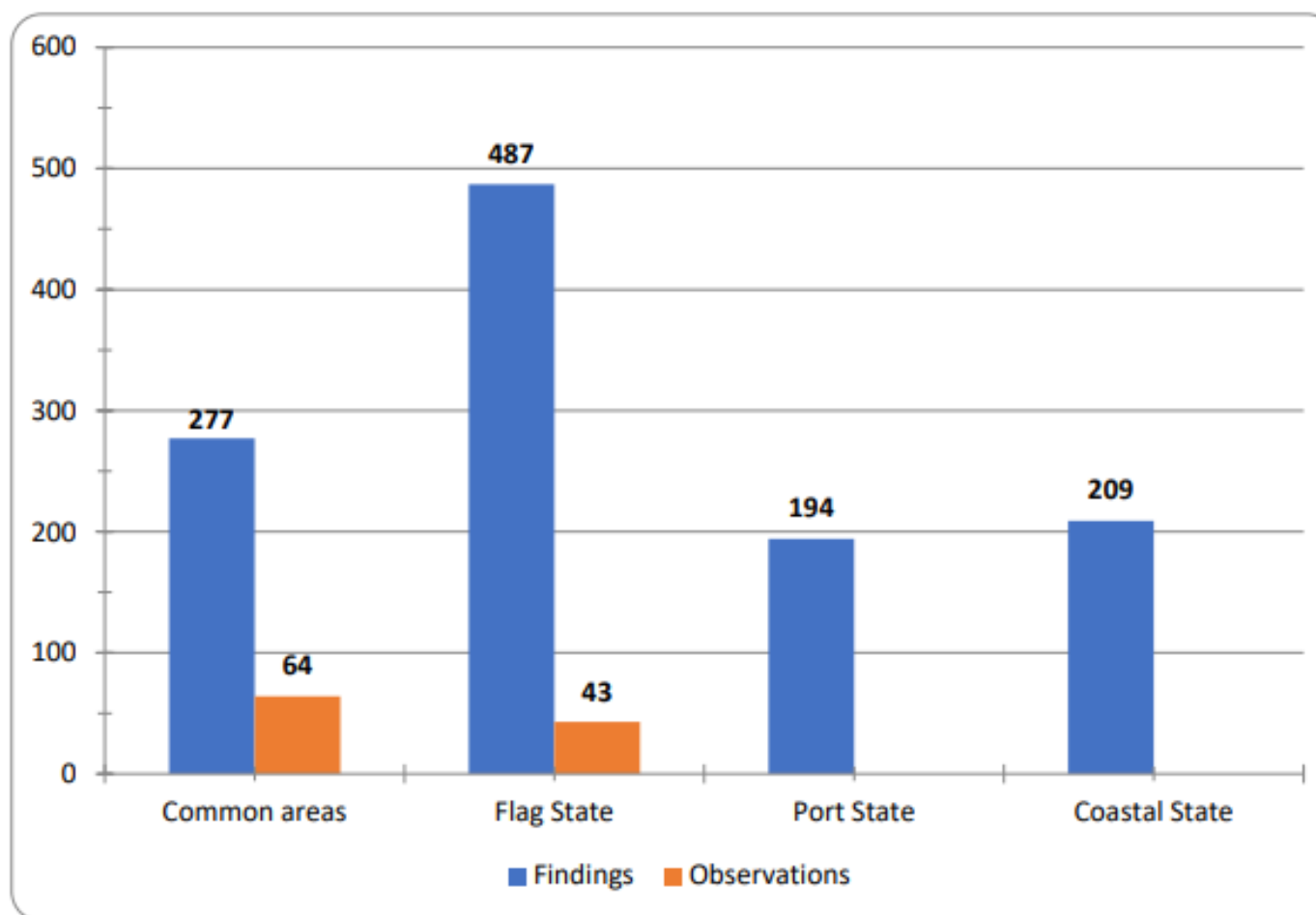
- Common areas
- Flag States
- Coastal States
- Port States
- Analysis per Conventions
- Major areas of concern
- Root causes
- Summary of some of the key findings



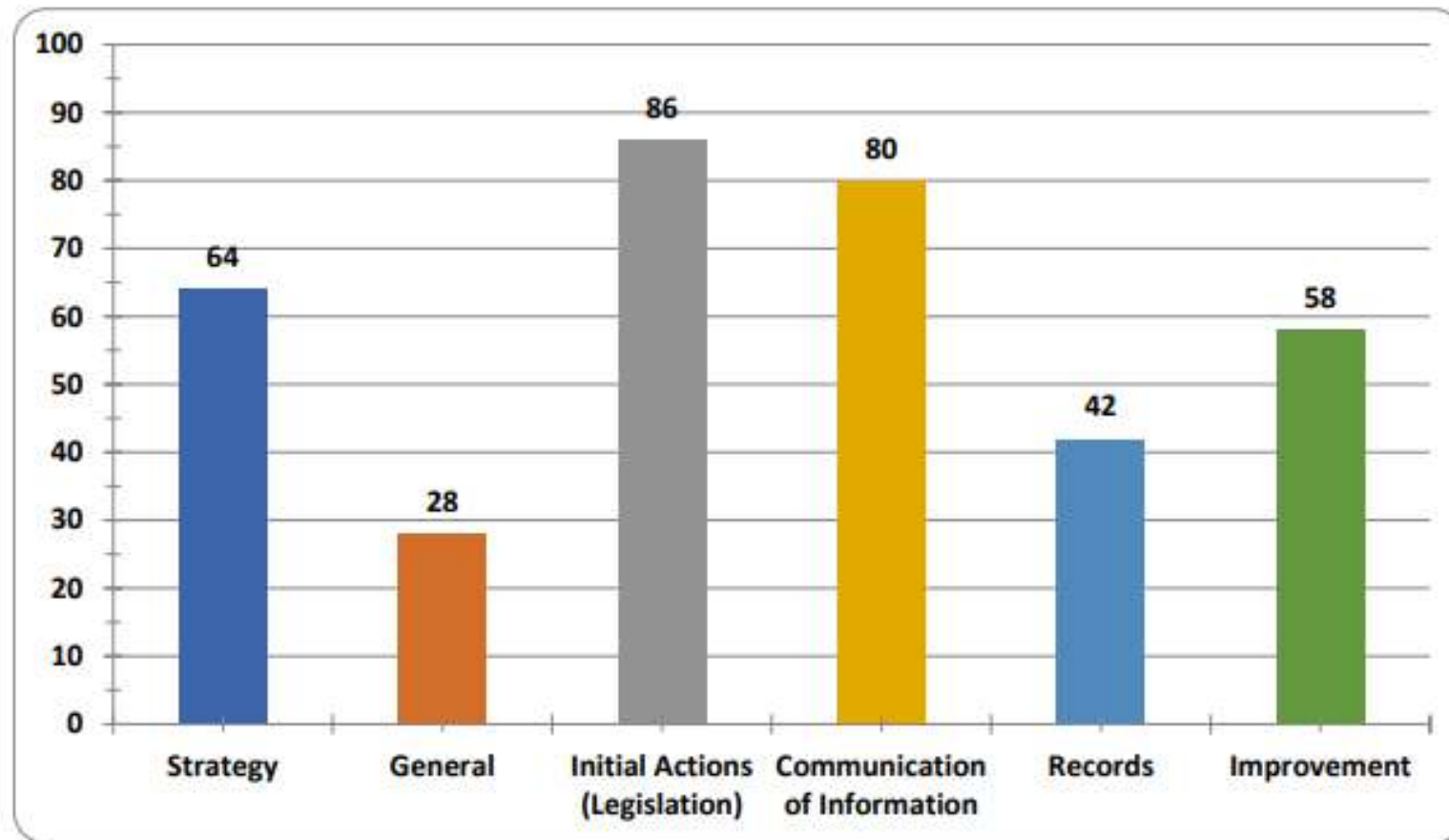
Number and percentages of findings and observations by parts of the III Code



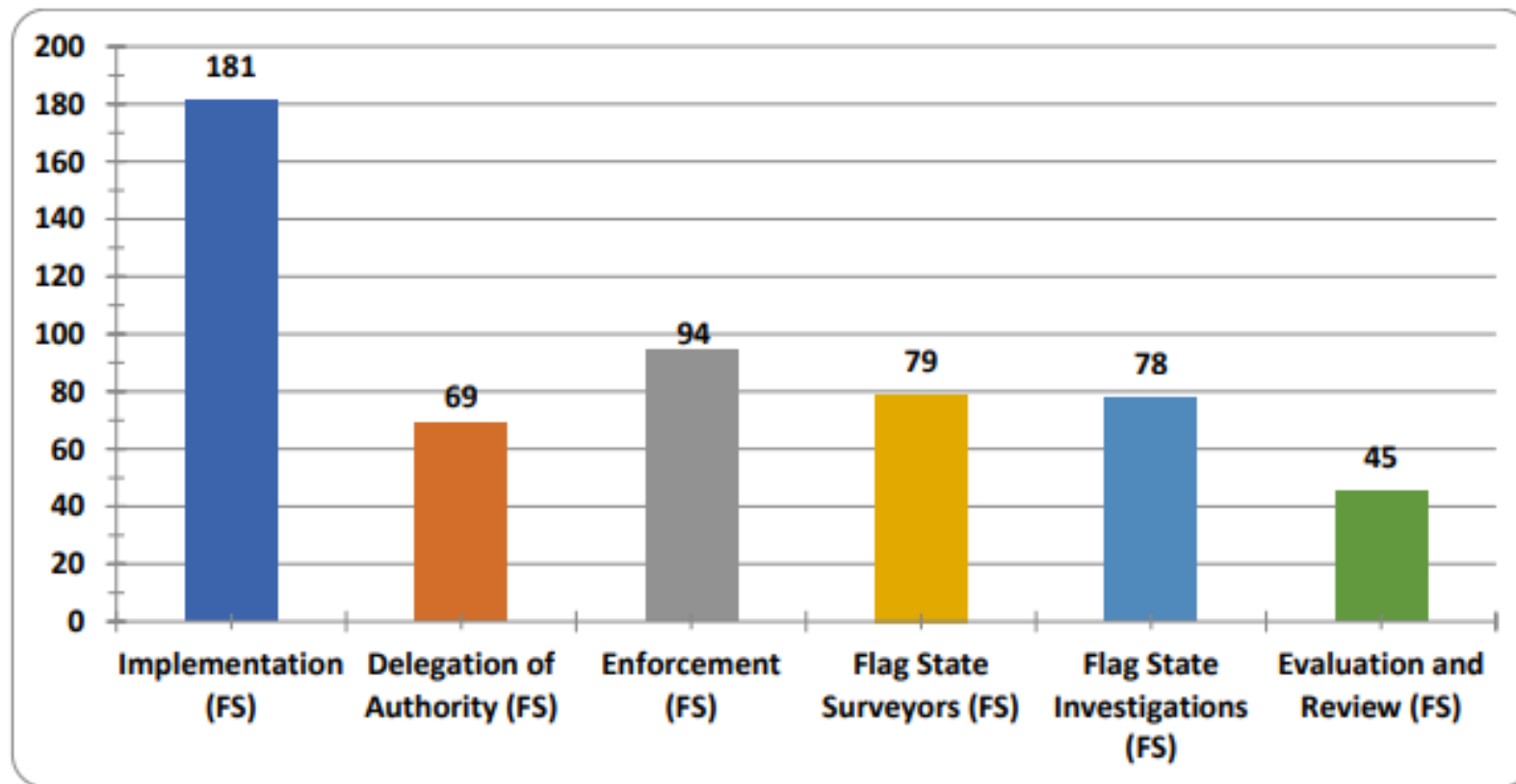
Number of findings and observations according to parts of the III Code



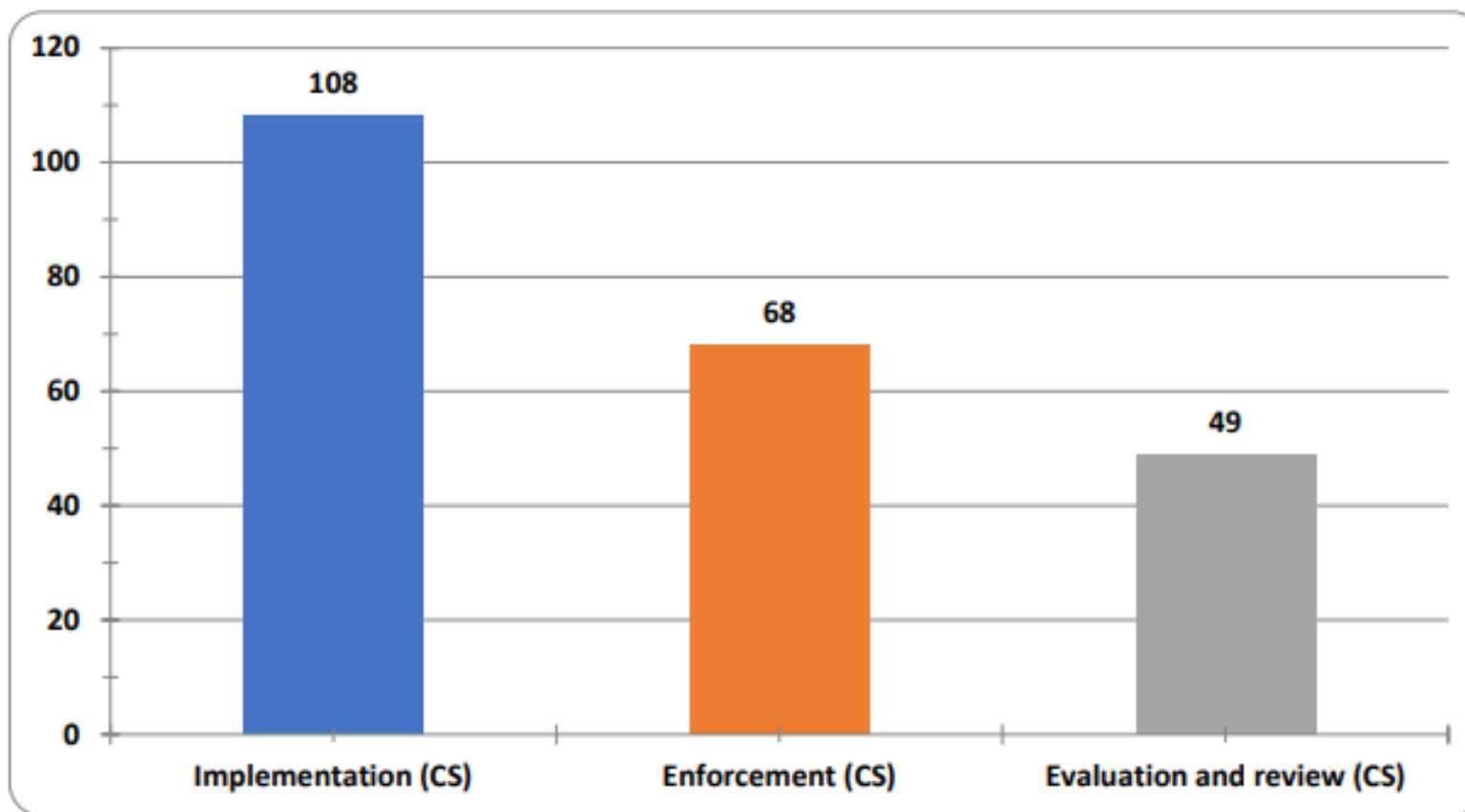
Number of findings and observations under part 1 of the III Code – Common Areas



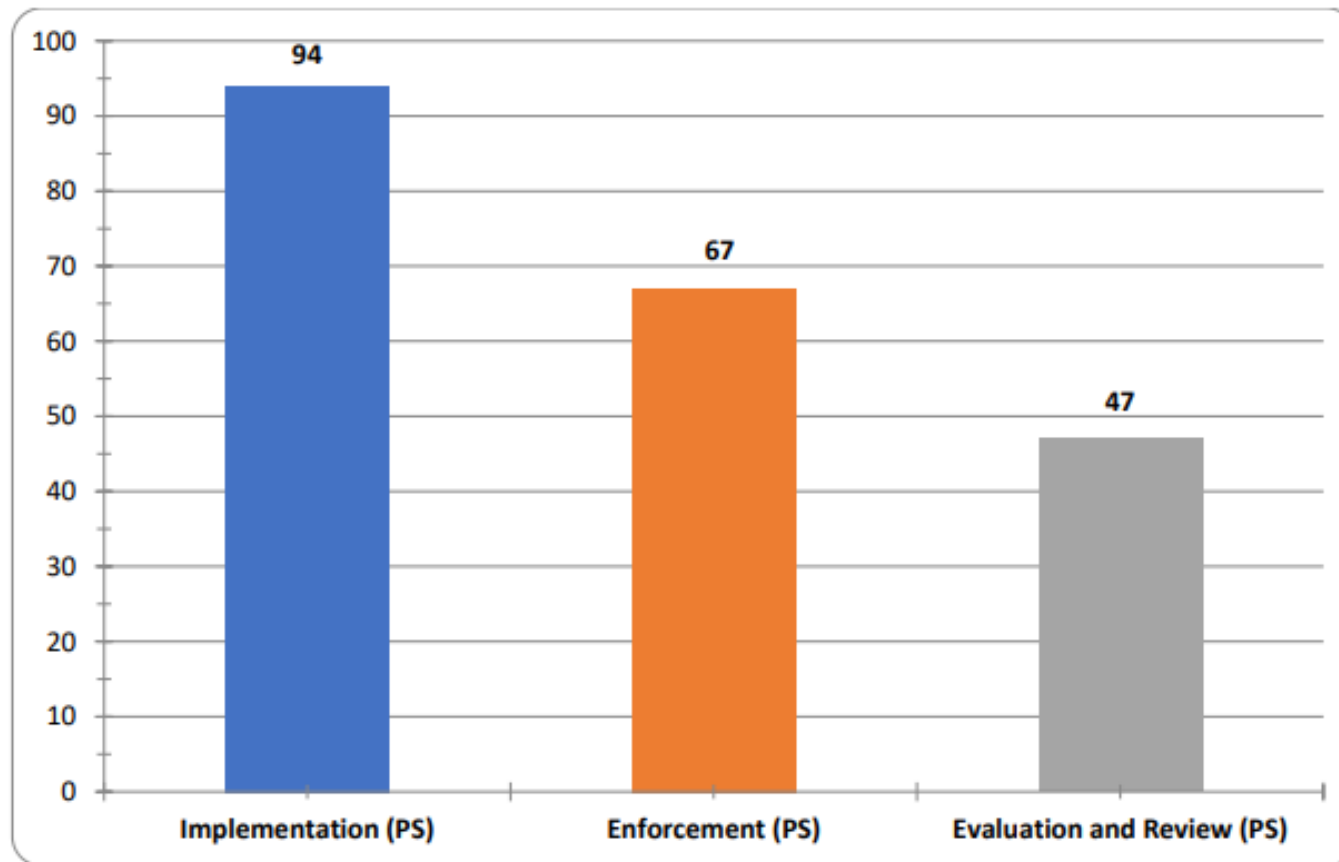
Number of findings and observations under part 2 of the III Code – Flag States



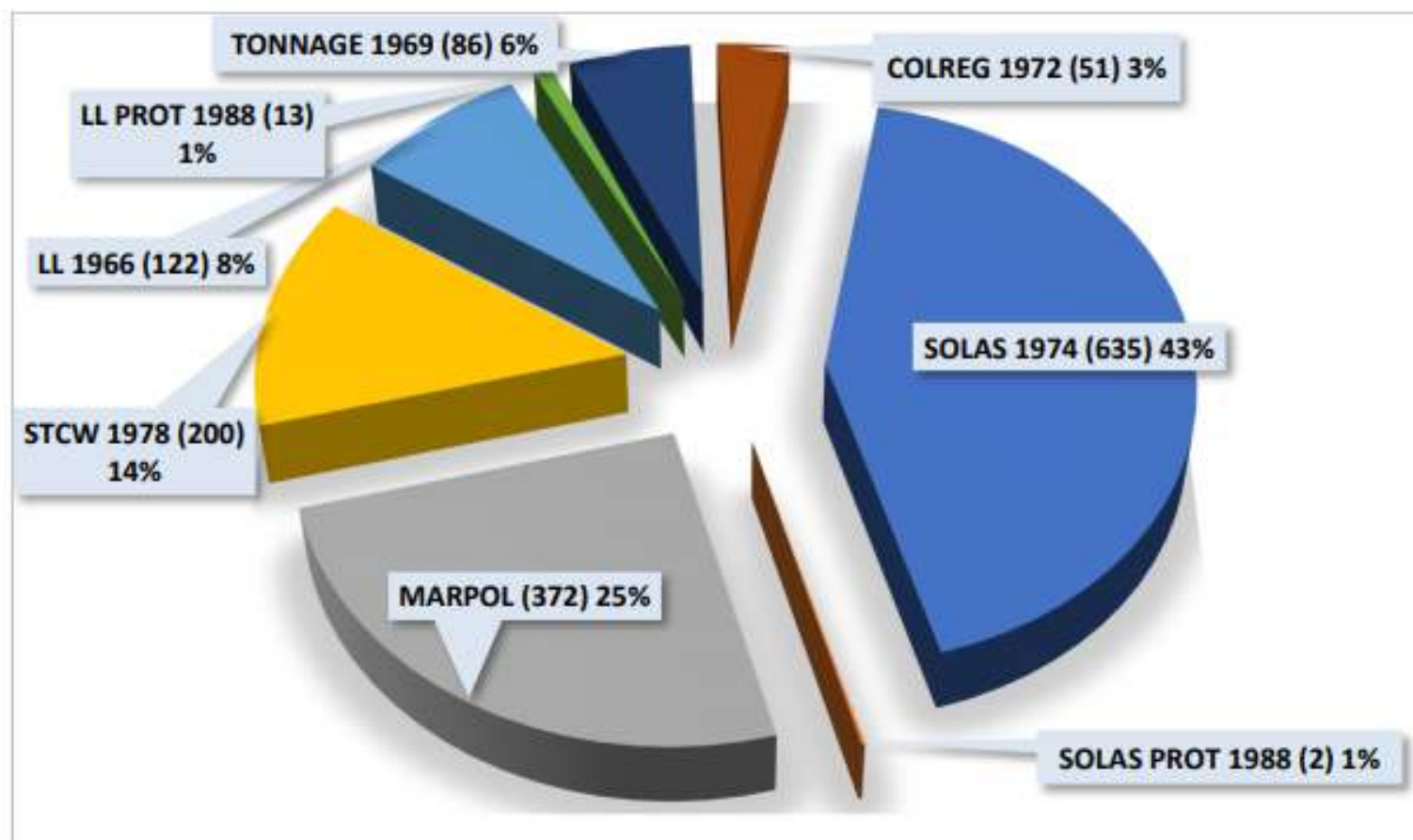
Number of findings under part 3 of the III Code Coastal States



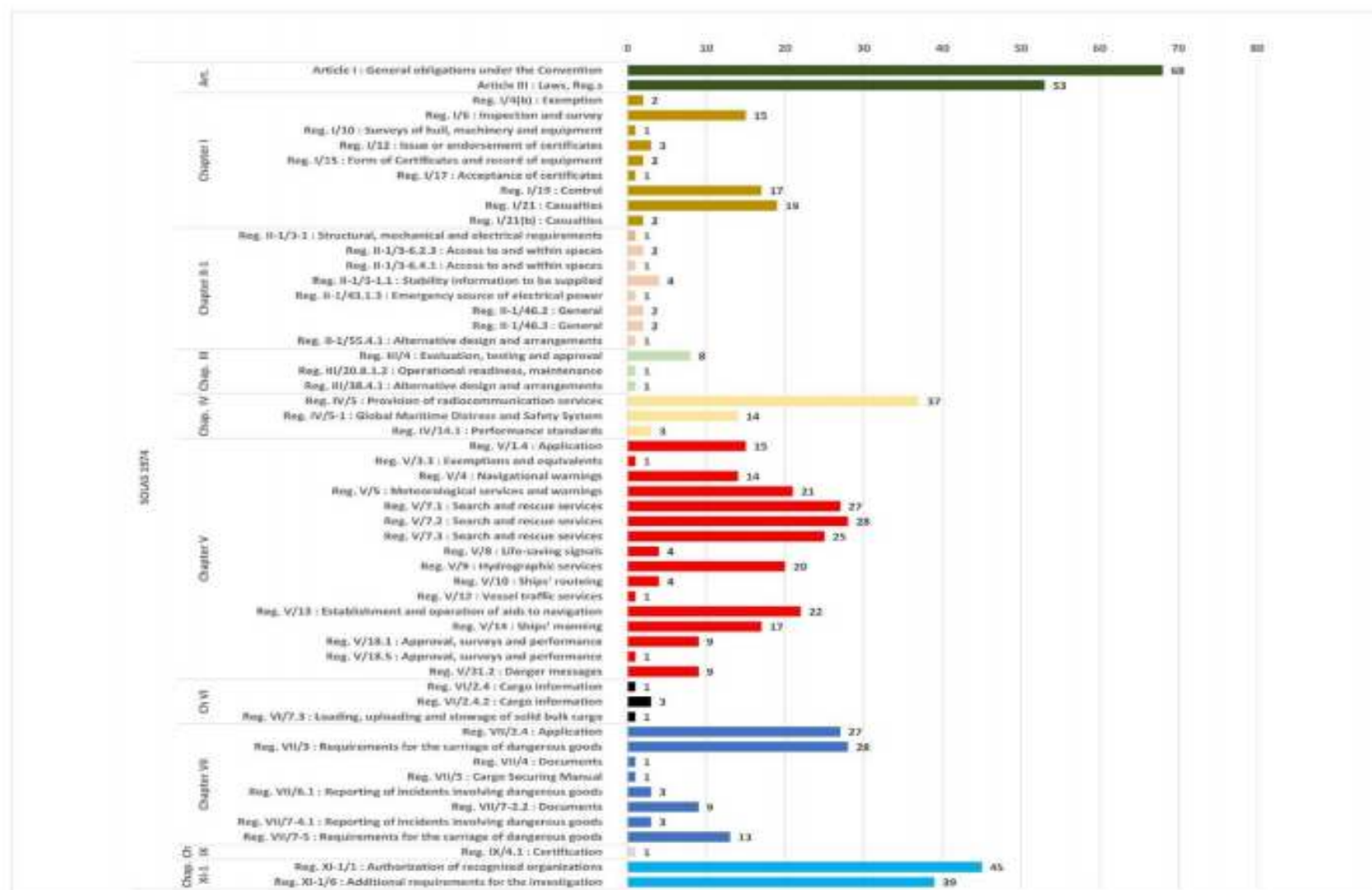
Number of findings under part 4 of the III Code – Port States



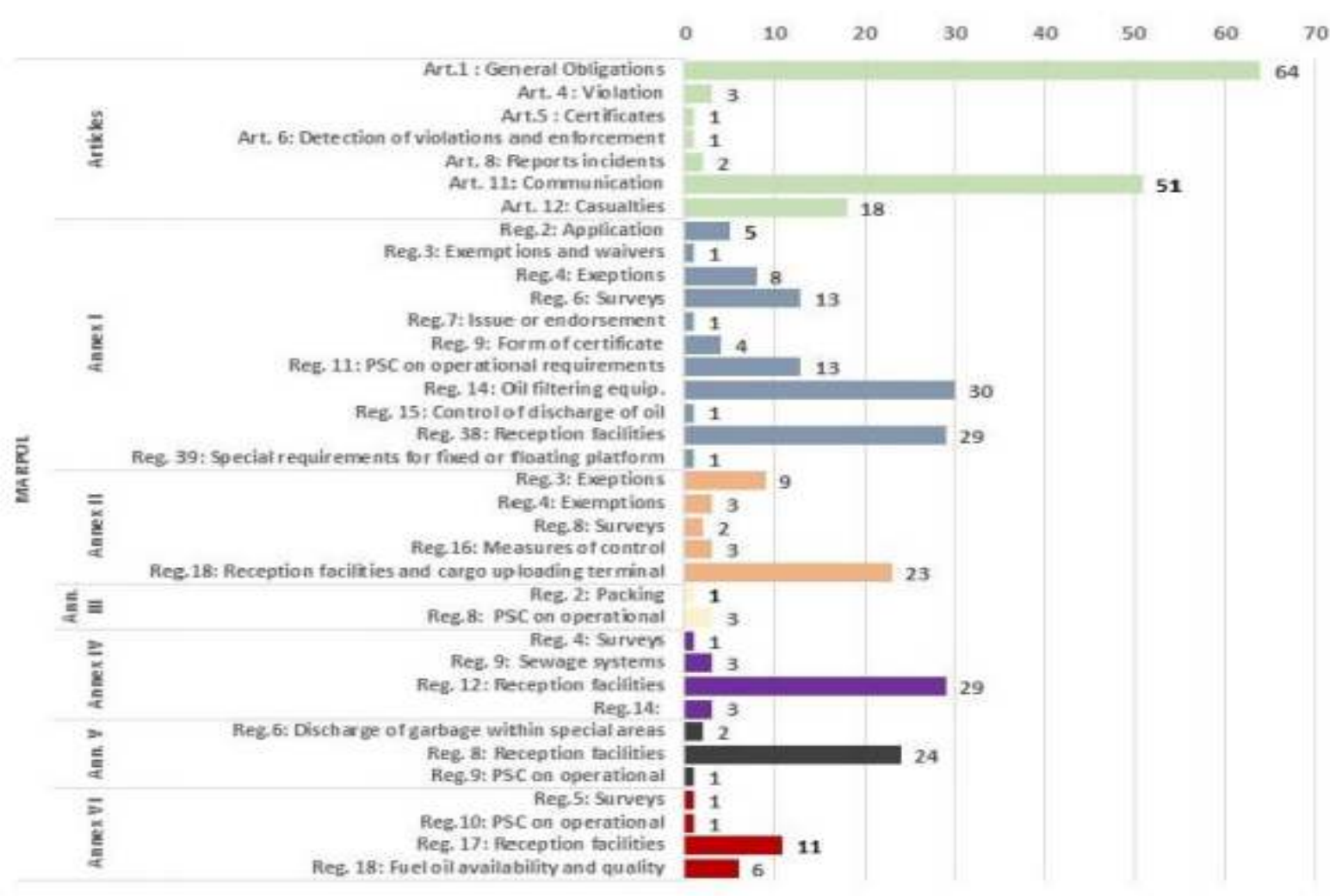
Findings by mandatory IMO instruments



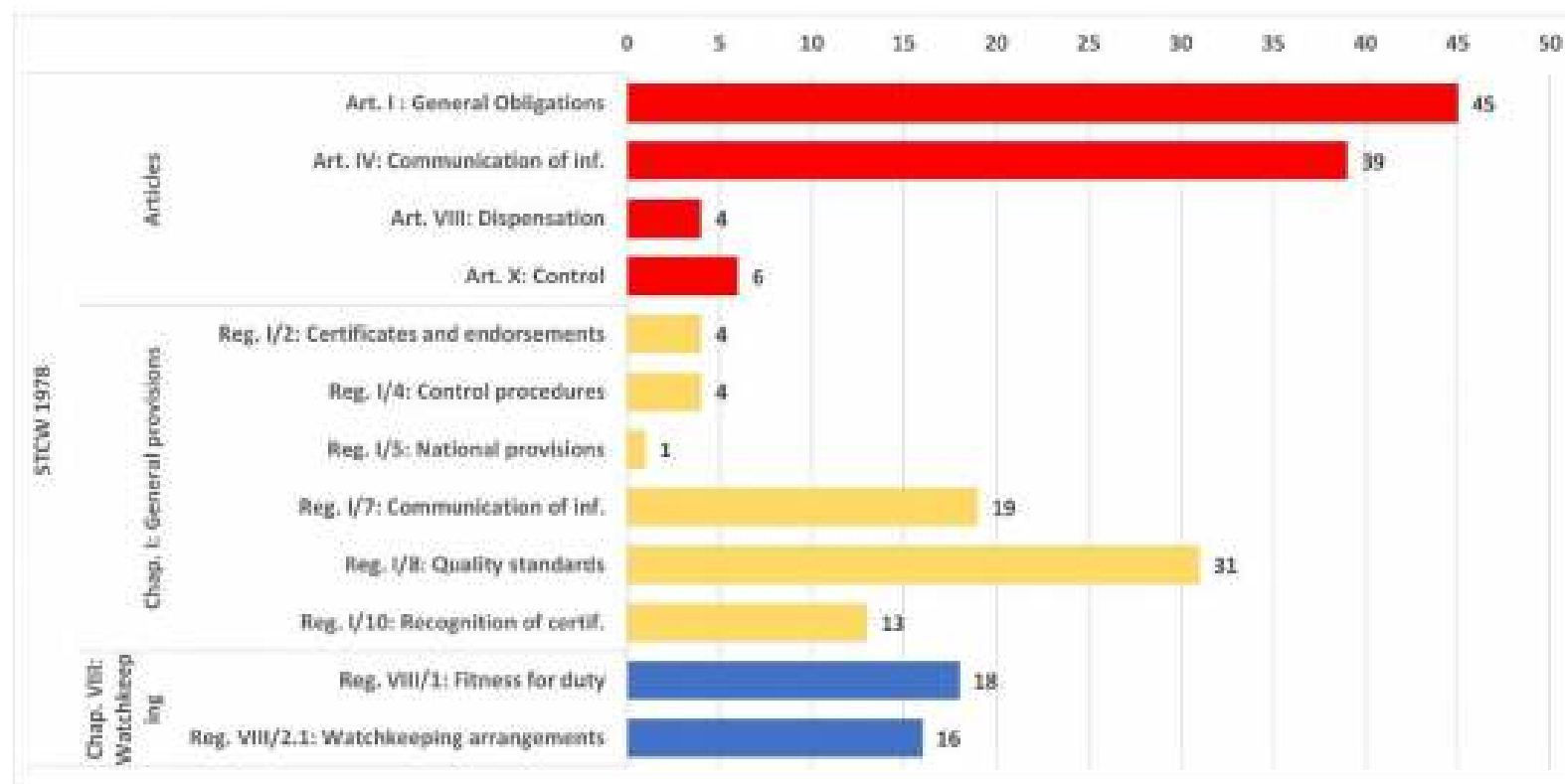
Number of references to SOLAS 1974 by articles and regulations in chapters with the most recurrent references



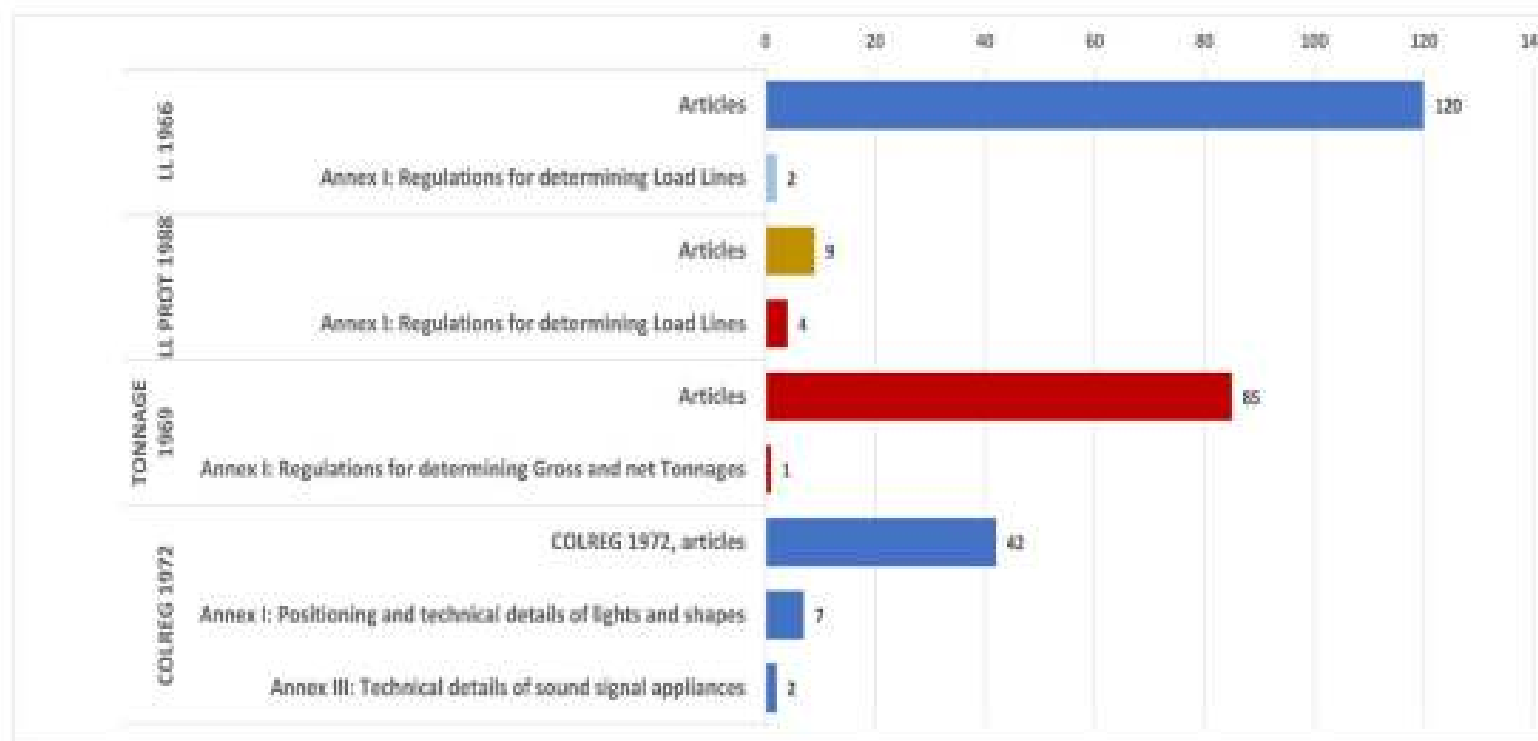
Number of references to MARPOL by articles and regulations in annexes with the most recurrent references



Number of references to STCW 1978 by articles and regulations with the most recurrent references



Number of references to LL 1966, PROT LL 1988, COLREG 1972 and TONNAGE 1969

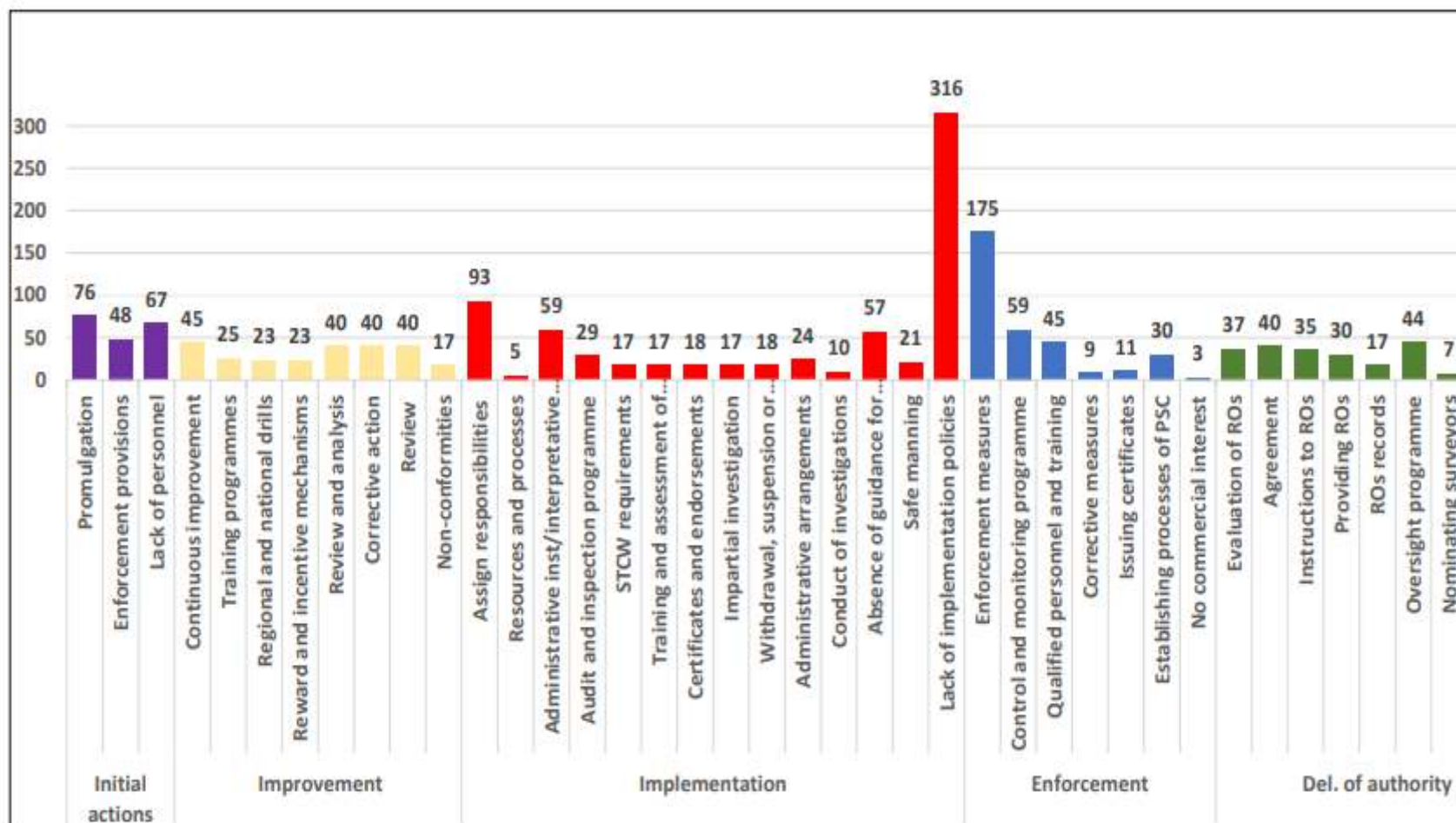


The areas of the III Code identified as the most problematic:

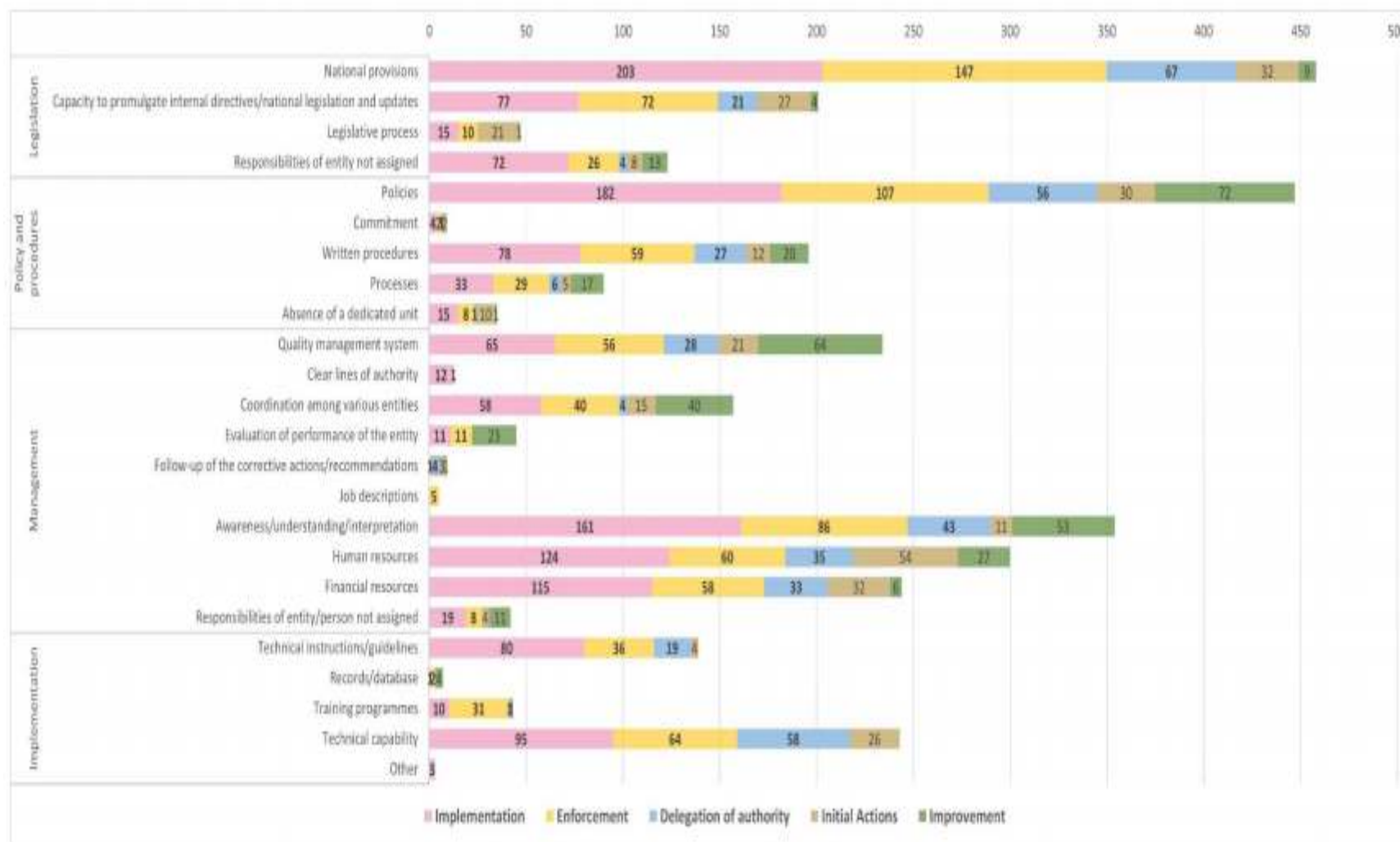
- ✓ Strategy
- ✓ Initial actions (legislation)
- ✓ Implementation (FS, CS, PS)
- ✓ Enforcement (FS, CS, PS)
- ✓ Delegation of authority
- ✓ Improvement



Number of shortcomings reported in audits by major areas identified in the audits

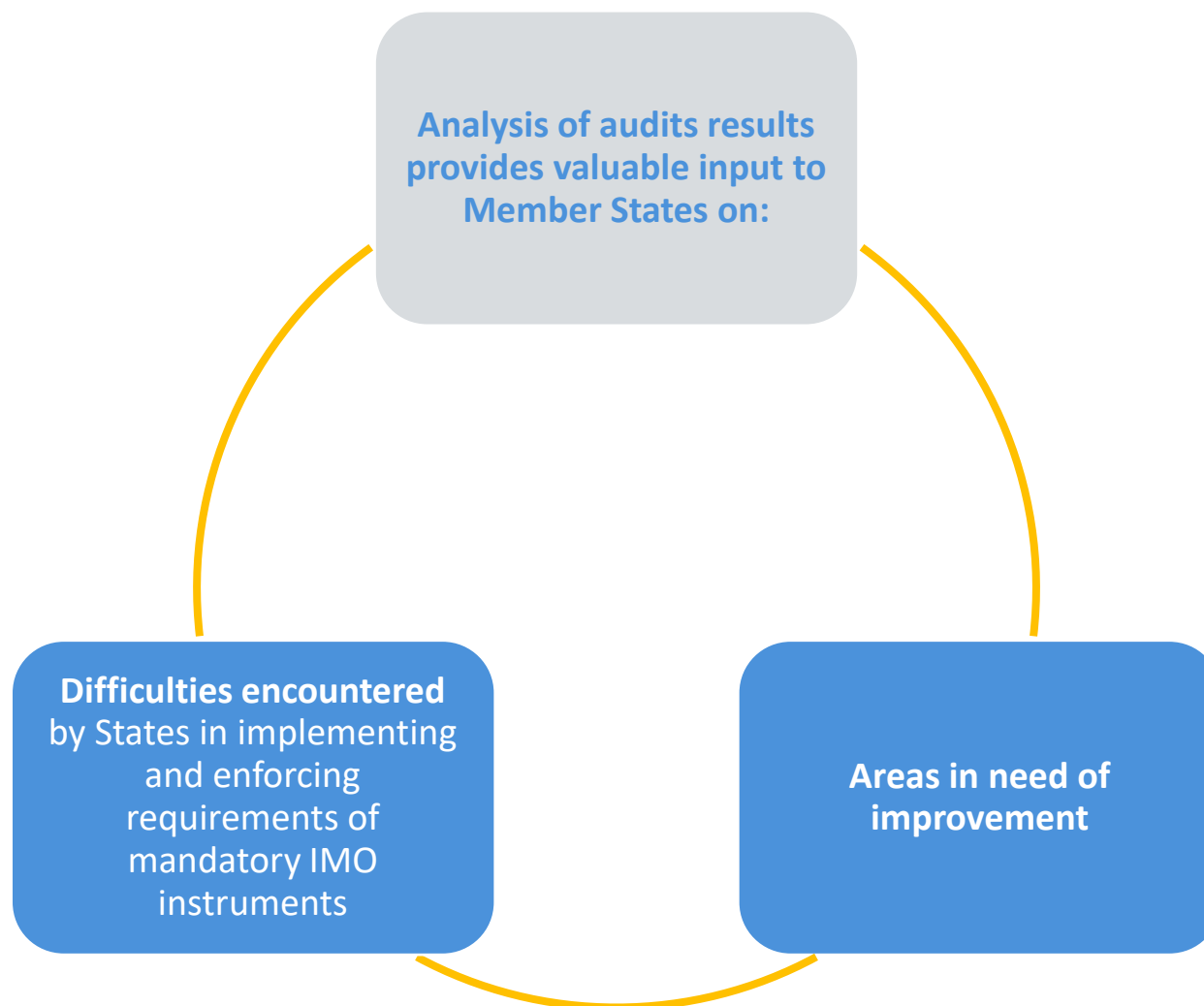


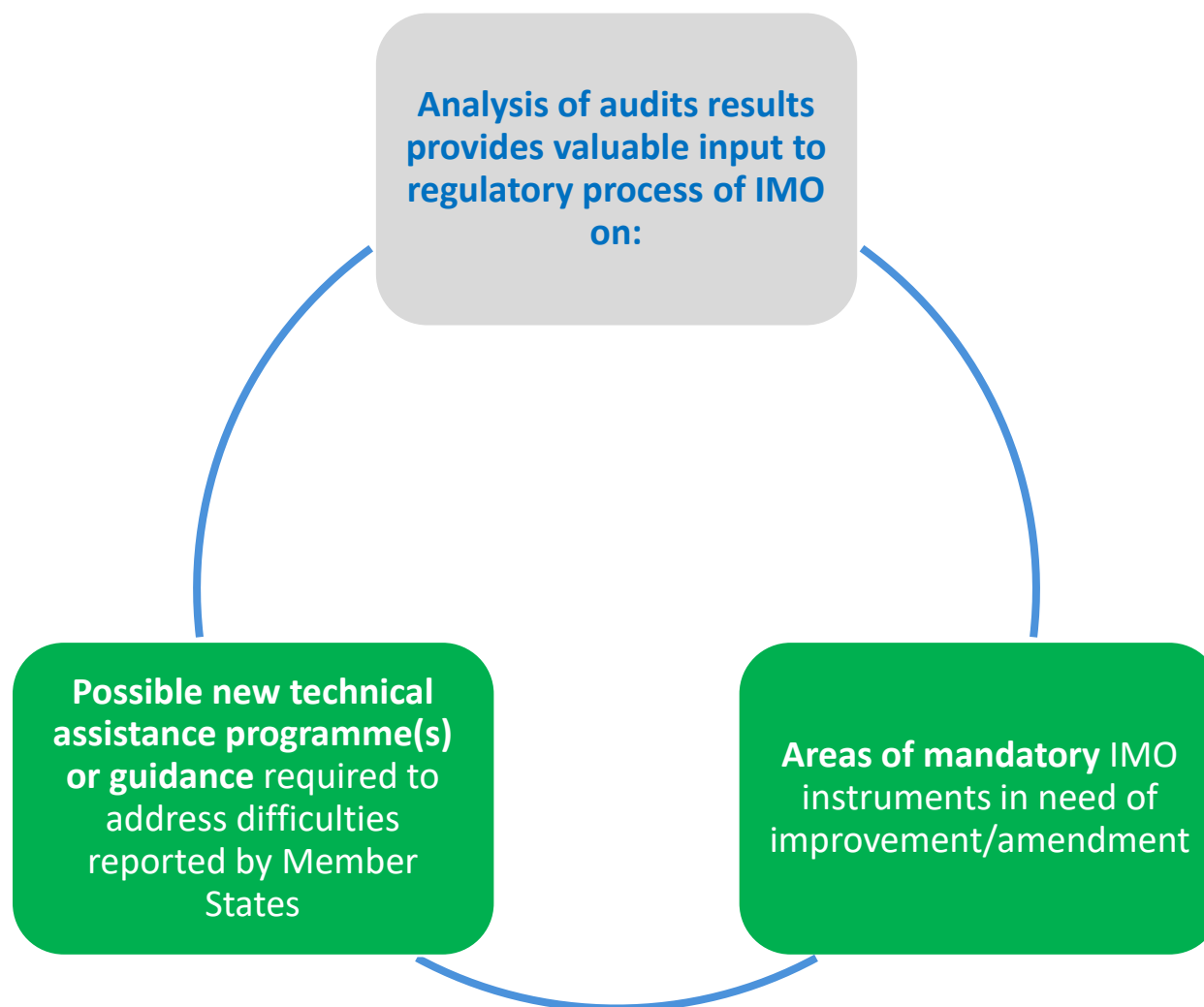
Areas and categories of root causes in relation to major recurrent areas of findings/observations



Most common underlying causes for findings, as identified by audited States:

- ✓ **Lack** of national provisions
- ✓ **Lack** of policies and documented procedures
- ✓ **Lack** of management systems
- ✓ **Lack** of awareness/understanding/interpretation of the requirements
- ✓ **Lack** of co-ordination among various entities of the State
- ✓ **Lack** of training programmes
- ✓ **Insufficient resources** available to maritime administrations



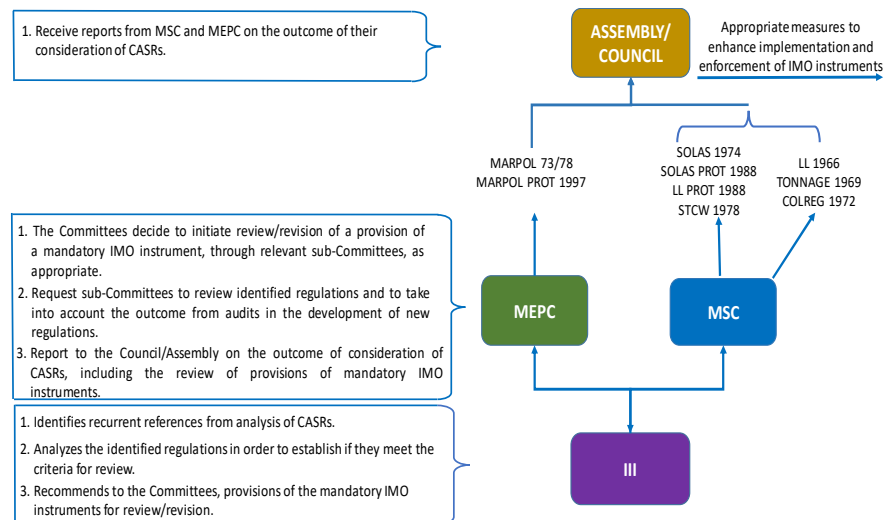


CHALLENGES FOR IMO UNDER MANDATORY SCHEME

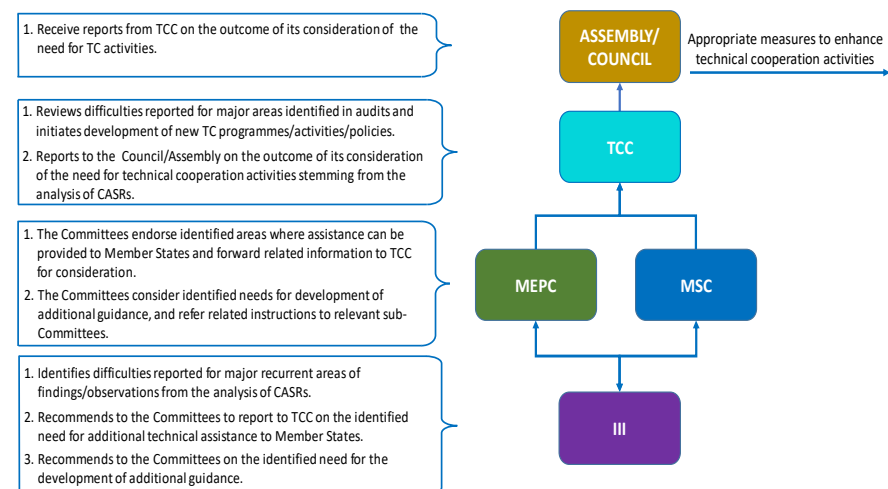
Informed decision making (from document III/5/15)



feedback from audits into **regulatory** process



feedback from audits for further development of **technical assistance** to Member States





Questions? Thank you



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