



IMO MEMBER STATE AUDIT SCHEME WORKSHOP FOR MARITIME ADMINISTRATIONS

PROCEDURES
Resolution A.1067(28)
Sections 1 to 5

GENERAL: DEFINITION OF AN AUDIT

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

GENERAL: AUDIT PRINCIPLES

- An audit is a measure of performance of a system in meeting its stated objectives.
- Audit findings and their analysis provide feedback into the management system to correct any non compliance, prevent a recurrence [of non-compliance], for improvements

GENERAL: AUDIT – PURPOSE/OBJECTIVES

- To Determine:
 - The level of conformity or non-conformity of the system with specified requirements as established and implemented
 - The effectiveness of the system in meeting specified objectives
- To ensure compliance with statutory requirements
- To provide auditee with opportunities for improvements

Contents

1. Purpose
2. Application
3. Definitions
4. Planning
5. Preparing for the audit

1 - Purpose

To describe the procedures for a Member State Audit

2 - Application

Applies to all those involved in a Member State audit

3 - Definitions

- The definitions are taken from ISO 9000:2000, ISO 19011:2002 and from the ISM Code
- New definitions of **Finding** and **Observation**

4 - Planning

- Audit cycle and schedule
- Initial arrangements:
 - Memorandum of Cooperation
 - Agreed timetable
- Nomination of auditors
- Selection of auditors
- Selection of an audit team

5 - Preparation

- Request background information (PAQ, MoC, etc.)
- Information meeting above request
- Detailed audit plan
- Checklists
- Consultations between the Secretary-General, the Audit Team Leader and the Member State
- Briefing of the Audit Team

Audit plan

- Location(s) of audit
- Purpose, scope and objectives of audit
- Dates for the audit
- Names of participants
- Necessary documentation
- Tentative programme of activities

Audit plan (cont.)

- Brief review of information received
- Travel and administrative issues
- The language to be used
- Assignments and responsibilities of audit team members

Preparation – Briefing of the Audit Team

- Purpose, scope and objectives of audit
- Analysis of the pre-audit questionnaire
- Agreeing on roles and responsibilities during the audit, including the final preparations on checklists and/or aide memoires in specific fields
- This briefing need not occur in person – it is left to the discretion of the Audit Team Leader
- Single point of contact (SPC) responsible for supplying necessary documentation to the audit team prior to the audit

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