



# IMO MEMBER STATE AUDIT SCHEME WORKSHOP FOR MARITIME ADMINISTRATIONS

FRAMEWORK  
Resolution A.1067(28)

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## Purpose

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- To describe the objective, principles, scope, responsibilities and capacity-building aspect of the IMO Member State audit, which together constitute the strategy for the audit scheme.
- The Framework is supported by the Procedures and the IMO Instruments Implementation Code (III Code)

## Application

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Applies to all those involved in the Member State audit

## Audit standard

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The audit standard is the IMO Instruments Implementation Code (III Code)

## Vision statement

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To promote the consistent and effective implementation of applicable IMO instruments and to assist Member States to improve their capabilities, whilst contributing to the enhancement of global and individual Member State's overall performance in compliance with the requirements of the instruments to which it is a Party

## Objective

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The objective of the audit is *to determine to what extent Member States are implementing and enforcing* the applicable IMO instruments

In order to achieve this, a number of issues will be observed and assessed



## Principles

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- Sovereignty and universality
- Consistency, fairness, objectivity and timeliness
- Transparency and disclosure
- Cooperation
- Continual improvement

## Scope

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- General
- IMO mandatory instruments
- Obligations and responsibilities
- Areas to be covered by the Scheme

## Scope: Areas to be covered (1)

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- Jurisdiction
- Organization and authority
- Legislation, rules and regulations
- Promulgation of IMO mandatory instruments, rules and regulations

## Scope: Areas to be covered (2)

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- Enforcement arrangements
- Control, survey, inspection, audit, verification, approval and certification functions
- Selection, recognition, authorization, empowerment and monitoring of ROs, as appropriate, and of nominated surveyors
- Investigations required to be reported to IMO; and
  - Reporting to IMO and other Administrations and organizations

## Responsibilities

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Responsibility for the Audit lies with:

- Secretary-General
- Member State
- Audit Team Leader

## Technical cooperation

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In order to obtain the full benefits of the Scheme:

- Consider capacity-building matters
- Address human and financial resources requirements

Where appropriate, Member States will be assisted by IMO in order to:

- Prepare for the audit
- Address audit findings

## Technical cooperation (cont.)

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Capacity-building includes:

- an adequate supply of suitably trained personnel, with maritime and audit skills,
- required software systems

The need for infrastructure facilities must be taken into account:

- workspace, utilities and communication systems

relevant to meeting the initial needs of the audit and ultimately the aims of the scheme

## Technical cooperation (cont.)

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Technical assistance will become part of the process with a view to facilitating:

- .1 the preparation of the audit;
- .2 the identification of obstacles to completing the audit;
- .3 the effective implementation of actions to address the findings of the audit; and
- .4 any related capacity building



## Technical cooperation (cont.)

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Technical assistance may, inter alia, include the following:

- .1 training;
- .2 exchange programmes;
- .3 provision of experts; and
- .4 participation of observers during the conduct of audits in other Member States

## Technical cooperation (cont.)

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Account should be taken of:

- the need to ensure participation in the audit process of maritime and auditing experts from developing countries
- arrangements that should be provided for training of internal auditors who may subsequently become part of IMO audit teams

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