



IALA GUIDELINE

G1054 PREPARING FOR AN IMO AUDIT ON AIDS TO NAVIGATION SERVICE DELIVERY

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1. INTRODUCTION

This guideline provides IALA members and auditors with the necessary assistance on the International Maritime Organization (IMO) Member State Audit Scheme (IMSAS, hereafter referred to as the Audit Scheme) initial stage preparation in the context of meeting the requirements of the IMO Instrument Implementation Code (III Code) and the International Convention for the Safety of Life at Sea (SOLAS) 1974 Reg. V/13.

Marine Aids to Navigation (AtoN) service delivery is only one part of all maritime obligations, required by mandatory IMO instruments, which is both critical and indispensable. The principles of the obligations appear in SOLAS V/13, however, it is difficult to define the details to be covered by the Audit Scheme, as the subjects listed in SOLAS Chapter V are not all covered by specific IMO Standards. Therefore, conscious of the difficulties and confusion that may be encountered in complying fully with the provisions of the III Code on conducting the Audit Scheme about AtoN service delivery.

Annex A of the document guides members on sections of the pre-audit questionnaire that the competent authority in charge of AtoN has to answer, according to their obligations in SOLAS V/13.

Annex B provides a checklist to assist with auditing of an AtoN competent authority. The checklist was developed by taking into consideration the audit scope defined by the III Code.

This guideline does not include content for competent authority relating to obligations from SOLAS V/12.

2. IMSAS OVERVIEW

At its twenty-eighth session in December 2013, the IMO Assembly adopted Resolution A.1070 (28) on the *IMO INSTRUMENTS IMPLEMENTATION CODE (III CODE)* and Resolution A.1067 (28) on the *FRAMEWORK AND PROCEDURES FOR THE IMO MEMBER STATE AUDIT SCHEME*. Meanwhile, amendments to SOLAS 1974, in which a new chapter *XIII VERIFICATION OF COMPLIANCE* (see APPENDIX 1) was added and adopted at its 93rd session of the Maritime Safety Committee (MSC) in May 2014.

The Member State's obligations are described in resolution A. 1070 (28), and the relevant section for the Coastal States is included in APPENDIX 2.

The III CODE imposes stricter and more certain demands on Member States' obligations, necessary to meet the requirements of relevant international conventions in the following areas: Strategy, Initial actions, Communication of information, Records, Improvement, Implementation, Enforcement, Evaluation and review.

The Audit Scheme provides a Member State with a comprehensive and objective assessment of how effectively it administers and implements those mandatory IMO instruments, which are covered by the scheme, e.g., SOLAS.

The IMO audit is a systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled. Audit processes commence when Member States are informed of the overall audit schedule by the IMO Secretary-General; the second and third activity will be implemented around the pre-audit questionnaire (see APPENDIX 3), which could be treated as an early-stage preparation, within a total of 25 activities (see APPENDIX 4) audit project.

3. PREPARING FOR AN IMSAS AUDIT

The IMO Member State Audit Scheme covers a broad range of issues on maritime safety and the protection of the environment (safety of life at sea; prevention of pollution from ships; standards of training, certification and watchkeeping for seafarers; load lines; tonnage measurement of ships and regulation for preventing collisions at sea). AtoN service delivery is one part of the entire maritime services, and an essential element of the Audit Scheme.

To assist with planning and preparation for an audit (including the completion of the Pre-audit Questionnaires (PAQs)) under the Audit Scheme, the following issues should be considered:

- Member State's policy and legal framework should be addressed, in particular, the provisions of IMO mandatory conventions to be reflected in current national legislation.
- Member State's internal stakeholder arrangements, with the designated areas of responsibility, sectorial and governance arrangements for the State's AtoN service;

As far as possible, clarification of responsibility between various administrations and their arrangements should be fully addressed.

- A designated single point of contact is required by the Member State. It may also be necessary to establish single points of contact for other internal stakeholders that have received delegated AtoN service responsibilities.

It might also be useful for the audit to establish a hierarchy of responsibilities, using organisational diagrams and flow charts for clarity.

- Some Member States may have difficulty in answering all necessary sections of the PAQ;
A mechanism of coordination should be implemented to allow the Member State AtoN Authority and subsidiary administrations to successfully undergo the audit.
- Member States may consider adopting a plan or project management approach to the audit process as this will assist with the setting of timetables, consideration of budget and resources.
- A maximum period of two months is permitted for the completion of the PAQ from the time the audit is officially commenced. Member States should endeavour to meet this schedule.
- The working language will be agreed upon between the Member State and the IMO audit team before the audit starts;

For some Member States, the translation of sections of primary legislation pertaining to AtoN service responsibility, delivery and monitoring, may be necessary. In addition, to assist with coordination of the audit, it may be necessary to use a hardcopy.

- If resources permit, Member States are recommended to proceed with an internal pre-audit when preparing for an official IMO audit. Items contained in the PAQs could be taken as a reference.

4. DEFINITIONS

The definitions of terms used in this guideline can be found in the International Dictionary of Marine Aids to Navigation (IALA Dictionary) at <http://www.iala-aism.org/wiki/dictionary> and were checked as correct at the time of going to print. Where conflict arises, the IALA Dictionary should be considered as the authoritative source of definitions used in IALA documents.

5. ABBREVIATIONS

AtoN	Marine Aids to Navigation
ATL	Audit Team Leader
IMSAS	IMO Member State Audit Scheme
III Code	IMO Instruments Implementation Code
IWRAP	IALA Waterway Risk Assessment Programme
IMO	International Maritime Organization



MARPOL	International Convention for the prevention of pollution from ships (1973 as amended)
MS	Member State
MSC	Maritime Safety Committee of IMO
PAQ	Pre-audit Questionnaire
PAWSA	Ports and Waterways Safety Assessment of IALA
ROs	Recognized organization of IMO
SG	IMO Secretary-General
SOLAS	International Convention for the Safety of Life at Sea (IMO 1974 as amended)
SPC	Single Point of Contact
VTS	Vessel traffic services

6. REFERENCES

- [1] IALA. NAVGUIDE, 2018
- [2] IALA. Standards Ed1.0 S1010-S1070, 2018
- [3] IALA. G1115 Preparing for an IMO Member State Audit Scheme (IMSAS) on Vessel Traffic Services
- [4] IMO. Resolution A.1067 (28) on Framework and Procedures for the IMO Member State Audit Scheme
- [5] IMO. Resolution A.1070 (28) on IMO Instruments Implementation Code (III Code) Scheme
- [6] IMO. Circular Letter No.3425 on Auditor's Manual for the IMO Member State Audit Scheme (IMSAS)
- [7] IMO. SOLAS Chapter V, Regulation V/13 and Chapter XIII

ANNEX A PRE-AUDIT QUESTIONNAIRE

This part is intended to facilitate the response to the pre-audit questionnaire (PAQ, Reference: Appendix 2 of IMO resolution A.1067 (28)) for the competent authority responsible for the provision of AtoN in Member States, when preparing for an IMO audit scheme.

Information provided pertaining to AtoN service delivery should be included in a single document in response to the pre-audit questionnaire, which then is provided to the auditors.

SOLAS Reg. V/13 refers to the appropriate recommendations and guidelines of IMO and IALA. The IALA recommendations and guidelines are freely available for download in pdf format at www.iala-aism.org under “publications”. Information on the general management of AtoN can be found in the *IALA NAVGUIDE*.

The PAQ comprises 5 sections. The following sections and subsections are relevant to AtoN services.

General Information

2. Single Point of Contact

Contact details established for the national level Single Point of Contact (SPC), and a single point of contact (appointed by the competent authority) from each stakeholder, that have delegated AtoN service responsibility.

3. Details of Relevant Government administration

Full contact details of relevant government entities responsible for AtoN provision, should be included in the Coastal State section. When the responsibility is shared between more than one administration, insert details for each one of them.

4. Description on responsibility of Government administration

Description on the responsibilities of Government administration relating to AtoN service delivery should, preferably be given as an organogram and/or diagram depicting the general obligations, emanating from the IMO instruments. This should include a short description regarding the setup of administrations and how the involved bodies communicate / interact.

5. Number of employees of Government administrations

The number of employees who participate in the AtoN service delivery of each government body should be listed, by category and location. Insert extra rows and categories as necessary.

8. Information on relevant organizations and/or administrations

If there are any relevant organizations and/or entities, such as agencies, institutes or suppliers etc., who are responsible for providing AtoN services; their information, relationships, valid agreement or authorisation document with the competent authority, should be described and details of functions they provide.

(Please use III CODE as a guide when completing this PAQ after this point.)

Part 1 - Common Areas

9. Strategy (paragraph 3 and 9)

Description of the policy and strategy to ensure meeting the obligations of SOLAS V/13 and how this strategy is communicated to all concerned. Details of sub-ordinating and tasking of obligations undertaken by the competent authority relating to AtoN service delivery, shall be described.

10. General (paragraph 4 and 5)

The description should cover the process of development, promulgation and enforcement of legislation regarding SOLAS V/13. This should include how the Government is made aware of new IMO Conventions or amendments, the

processes of converting or incorporating IMO conventions which your Government is Party to, into national law, and data on which national laws contains the existing IMO instruments.

13. Record (paragraph 10)

Information should be provided about how the records of AtoN service delivery are recorded and stored.

A documented procedure which would show the controls of the identification, storage, protection, retrieval, retention time, and disposition of records should be provided.

An overall list showing the relevant records, and items concerning AtoN activities of implementation, establishment, monitoring, maintenance, modification and decommissioning, shall be provided.

14. Improvement (paragraph 11-14)

A quality management system shall be applied by an AtoN competent authority, and evidence which including the following items should be submitted:

- The quality supervision system, their performance evaluation, development and implementation, as per requirements of SOLAS V/13;
- The monitoring system that has been implemented to monitor compliance, effective implementation, and enforcement, of AtoN service delivery;
- That internal audits, external audits and management reviews are conducted on a regular basis to monitor and evaluate the quality and effectiveness of an AtoN authority;
- Objective evidence, which may include inspection programmes, annual management assessment reports, lessons learned from the previous annual report and its bearing into future policies, trend analysis and root cause analysis, are considered for continuous improvement and prevention of non-conformities.

Part 3 – Coastal State

25. Implementation (paragraph 45-48)

The following information may be provided regarding how the AtoN competent authority meets its obligations relating to SOLAS V/13 and, in particular:

1. The determination of level of AtoN service, relative to the volume of traffic and degree of risk.
2. The details on the implementation, establishment, monitoring, maintenance, modification and decommissioning of AtoN, including plans for operating AtoN in the event of natural disasters (storms, power outages).
3. The achievement of uniformity in AtoN in accordance with IALA Standards that list normative recommendations and guidelines.
4. The promulgation of information about changes to AtoN.
5. The financing (funding, equipment and personnel) of AtoN services.

26. Enforcement (paragraph 50)

Descriptions on how the higher level of maritime administration ensure that other administrations adequately record, maintain and monitor documented processes and programmes, thus fulfilling their obligation as coastal state, with regard to SOLAS V/13 and relevant provisions of the III Code.

If any, an AtoN competent authority shall provide the documented procedures on responding to maritime casualties, taking into account the International Convention for the Prevention of Pollution from Ships (MARPOL). This includes cooperation mechanism with other Flag and/or Coastal States for their investigation and resolution.



27. Evaluation and review (paragraph 51)

To be responded on in the context of AtoN services. Description should be made on the measures undertaken to monitor, evaluate and act on the effectiveness in implementing SOLAS V/13. The effort made to monitor and evaluate the effectiveness of AtoN (e.g., vessel tracking analysis, incident analysis, risk analysis, and may include modelling systems such as the IALA Waterway Risk Assessment Programme (IWRAP)/ Ports and Waterways Safety Assessment (PAWSA)) should be described as well as the measures taken as an act, based on the evaluation process.

ANNEX B CHECKLIST FOR AUDITORS

Extract from IMO Resolution A.1070 (28) on IMO Instruments Implementation Code (III Code)

B.1. STRATEGY

- What strategy relates to AtoN services, and how to achieve and review the goals established?
- What policy has been issued for fulfilling the obligations of AtoN?

B.2. LEGISLATION

- What national legislation is in place to support the international obligation of AtoN services delivering?
- Which national Administration/Agency is responsible for AtoN?
- Under what law(s) does the Administration/Agency act?
- Are any national rules and guidelines developed to assist in the implementation and enforcement of AtoN obligations?
- What international recommendations and guidelines with respect to AtoN services are reflected in the AtoN authorities' policies and procedures?

B.3. ORGANIZATION

- How is the Administration/Agency organised?
- To which other bodies has responsibility for AtoN services been delegated?
- How has this process of delegation been formally established and documented?

B.4. RESOURCES

- What is the mechanism for establishing human resource requirements?
- What is the mechanism for establishing the necessary infrastructure and equipment for the implementation and enforcement of AtoN obligation?
- What are the funding mechanisms for the Administration/Agency?
- What is the mechanism for ensuring competence of personnel?

B.5. IMPLEMENTATION AND ENFORCEMENT

- How do you ensure that the provision of AtoN meets the volume of traffic justification and the degree of risk requirement? Please describe the applicable processes used for determining your AtoN provision.
- How do you ensure information on the establishment, function, changes and discontinuation of AtoN are made available to all concerned?
- Please describe how your organisation achieves uniformity in AtoN in accordance with IALA Standards that list normative recommendations and guidelines.
- Are statistics and trend analysis carried out? If so, what are the results from analyses?



B.6. QUALITY AND IMPROVEMENT

- What quality management system has been used to secure the quality of AtoN services delivery?
- How does the competent authority monitor, evaluate and act upon the results of AtoN services?
- What measures or procedures are established to handle non-compliance issues and ensure continuous improvement?

APPENDIX 1 SOLAS CHAPTER V, REGULATION 13 AND CHAPTER XIII

CHAPTER V Safety of Navigation

Regulation 13 - Establishment and operation of aids to navigation

- 1 Each Contracting Government undertakes to provide, as it deems practical and necessary, either individually or in co-operation with other Contracting Governments, such aids to navigation as the volume of traffic justifies and the degree of risk requires.
- 2 In order to obtain the greatest possible uniformity in aids to navigation, Contracting Governments undertake to take into account the international recommendations and guidelines[†] when establishing such aids.
- 3 Contracting Governments undertake to arrange for information relating to navigation to be made available to all concerned. Changes in the transmissions of position-fixing systems which would adversely affect the performance of receivers fitted to ships shall be avoided as far as possible and only be effected after timely and adequate notice has been promulgated.

CHAPTER XIII Verification of Compliance

Regulation 1 – Definitions

1. Audit means a systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.
2. Audit Scheme means the IMO Member State Audit Scheme established by the Organization and taking into account the guidelines developed by the Organization.
3. Code for Implementation means the IMO Instruments Implementation Code (III Code) adopted by the Organization by resolution A.1070(28).
4. Audit Standard means the Code for Implementation.

Regulation 2 – Application

- 1 Contracting Governments shall use the provisions of the Code for Implementation in the execution of their obligations and responsibilities contained in the present Convention.

Regulation 3 – Verification of compliance

1. Every Contracting Government shall be subject to periodic audits by the Organization in accordance with the audit standard to verify compliance with and implementation of the present Convention.
2. The Secretary-General of the Organization shall have responsibility for administering the Audit Scheme, based on the guidelines developed by the Organization.
3. Every Contracting Government shall have responsibility for facilitating the conduct of the audit and implementation of a programme of actions to address the findings, based on the guidelines adopted by the Organization.

APPENDIX 2 EXTRACT FROM IMO RESOLUTION A. 1070 (28) ON OBLIGATIONS PERTAINING TO COASTAL STATES

PART 3 – COASTAL STATES

Implementation

45. Coastal States have certain rights and obligations under various international IMO instruments. When exercising their rights under those instruments coastal States incur additional obligations.
46. In order to effectively meet its obligations, a coastal States should:
- .1 implement policies through issuing national legislation and guidance which will assist in the implementation and enforcement of all safety and pollution prevention conventions and protocols to which it is a party; and
 - .2 assign responsibilities within their Administration to update and revise any relevant policies adopted, as necessary.
47. A coastal State should ensure that its legislation, guidance and procedures are established for the consistent implementation and verification of its rights, obligations and responsibilities contained in the relevant international instruments to which it is a party.
48. Those rights, obligations and responsibilities may include, inter alia:
- .1 radiocommunication services;
 - .2 meteorological services and warnings;
 - .3 search and rescue services
 - .4 hydrographic services;
 - .5 ship's routeing;
 - .6 ship reporting systems;
 - .7 vessel traffic services; and
 - .8 aids to navigation.

Enforcement

49. Coastal States should take all necessary measures to ensure their observance of international rules when exercising their rights and fulfilling their obligations.
50. A coastal State should consider developing and implementing a control and monitoring programme, as appropriate, in order to:
- .1 provide for the allocation of statistical data so that trend analyses can be conducted to identify problem areas;
 - .2 establish mechanisms for timely response to pollution incidents in its waters; and
 - .3 co-operate with flag States and/or port States, as appropriate, in investigations of maritime casualties.

Evaluation and review

51. A coastal States should periodically evaluate its performance in respect of exercising its rights and meeting its obligations under the applicable international IMO instruments.



APPENDIX 3 PRE AUDIT QUESTIONNAIRE (IMO RESOLUTION A.1067 (28) – FRAMEWORK AND PROCEDURES, ANNEX, PART 2, APPENDIX 2)

GENERAL INFORMATION

1 Name of State:		
2 Full contact details for the designated single point of contact for the audit:		
Name and Title		
Address		Telephone No.: Fax No.: E-mail address:

3 Full contact details of all government body(ies) covering the following areas of responsibility (when the responsibility is divided between more than one entity please insert details of each of the government bodies):

Safety						
	Flag State	IMO instruments and main national laws/regulations the body has responsibility for	Coastal State	IMO instruments and main national laws/regulations the body has responsibility for	Port State	IMO instruments and main national laws/regulations the body has responsibility for
Name(s) of government body(ies)						
Address						
Website						
Environmental Protection						
	Flag State	IMO instruments and main national laws/regulations the body has responsibility for	Coastal State	IMO instruments and main national laws/regulations the body has responsibility for	Port State	IMO instruments and main national laws/regulations the body has responsibility for
Name(s) of government body(ies)						
Address						
Website						

4 Please provide a description, preferable as an organogram and/or a diagram, the area of responsibility of each of the above-mentioned government bodies (responsibilities should be described according to the general obligations emanating from the IMO instruments).

5 Please indicate the number of employees of each relevant government body by category and by location (repeat the table as many times as necessary). Include any additional explanations regarding number and location of employees.

Category	No. of employees	Location
Flag State surveyors/inspectors/auditors		
Port State control officers		
Investigators		
Management		
Support Staff		

6 Please indicate the number of ships on your State's register according to the following types and the nature of the trade in which they are involved. Please provide the information separately for each register, where applicable.

	Number	Nature of Trade
Passenger		
Cargo		
Fishing		
Other		

7 Please indicate the number and location of ports in your State according to the following types.

	Number	Location(s)
Passenger		
Cargo		
Other		

8 Please provide information on any relevant organizations and/or entities fulfilling functions required by the mandatory instruments, their relationship to the maritime administration and details of the functions they provide.

(PLEASE USE III CODE AS A GUIDE WHEN COMPLETING THIS PAQ AFTER THIS POINT)

PART 1 – COMMON AREAS

Strategy (paragraphs 3 and 9)

9 Please provide the overall maritime policies and strategy of your State to implement the applicable IMO instruments and also how this is communicated to all concerned.

General (paragraphs 4 and 5)

- 10 Please describe how your State:
- .1 develops and promulgates legislation and takes all other steps to give the applicable IMO instruments full and complete effect (include a flow chart); and
 - .2 incorporates amendments to IMO instruments into national legislation.

Scope (paragraphs 6 and 7)

- 11 Please provide INDIVIDUALLY FOR EACH OF THE INSTRUMENTS:
- .1 the number of equivalents/exemptions issued under this instrument and reported, as appropriate, to the IMO; and
 - .2 whether information on national laws, etc. has been communicated to IMO.

12 Please describe how policies are developed to implement legislation, including administrative procedures and examples thereof.

Records (paragraph 10)

- 13 Please describe which records are retained and for what period.

Improvement (paragraphs 11 to 14)

- 14 Please describe how your State:
- .1 stimulates a culture which provides for improvement of performance in relevant maritime activities;
 - .2 identifies and eliminate the root causes of any non-conformities; and
 - .3 anticipates potential non-conformities in order to prevent their occurrence.

PART 2 – FLAG STATE

Implementation (paragraphs 15 and 16)

15 Please describe how your State assigns responsibilities for implementing relevant legislation and national policies including how these are periodically reviewed.

- 16 Please describe how your State develops or implements:
- .1 an independent audit and inspection programme for ships entitled to fly the flag; and
 - .2 guidance for those requirements in the IMO instruments that are to "the satisfaction of the Administration".

Delegation of authority (paragraphs 18 to 21)

17 List the recognized organizations (ROs) and/or nominated surveyor(s) that are appointed to act on behalf of your State for conducting surveys, inspections and audits, issuing of certificates and documents, marking of ships and other statutory work required by the IMO instruments.

- 18 Please provide a matrix indicating which functions (plan approvals, surveys, certification, exemptions and equivalent arrangements) have been delegated. The formal agreements or equivalent arrangements with ROs should also be attached.
- 19 Please describe how your State maintains oversight of the functions delegated to ROs and/or nominated surveyors.

Enforcement (paragraphs 22 to 27)

- 20 What enforcement actions has your State undertaken during the preceding twelve months where breaches of provisions of the IMO instruments have been identified.
- 21 Please describe how your State:
- .1 follows up on detentions of ships entitled to fly its flag;
 - .2 ensures that international certificates are only issued or endorsed to a ship when it is determined that the ship meets all applicable requirements; and
 - .3 ensures that an international certificate of competency or endorsement is only issued to a person when it is determined that the person meets all applicable requirements.

Flag State surveyors (paragraphs 29 to 36)

- 22 Please describe your State's requirements for the following:
- .1 surveyor/inspector/auditor/investigator recruitment criteria; and
 - .2 the initial and in-service training requirements for surveyors/inspectors/auditors/investigators.

Flag State investigations (paragraphs 40 and 41)

- 23 Please describe how your State:
- .1 maintains records, databases, etc. of the number of accidents involving personal injuries, occupational accidents and casualties to ships, and pollution incidents that are investigated by your State and/or other States during the last two years;
 - .2 ensures that investigations are impartial and objective;
 - .3 ensures reportable personal injuries, accidents and casualties are reported and the criteria for determining what is reportable;
 - .4 ensures that accidents, casualties and injuries are investigated and the criteria for determining what to investigate; and
 - .5 reports accidents and casualties to IMO.

Evaluation and review (paragraphs 42 to 44)

- 24 Please describe how your State evaluates its performance in meeting the requirements of the IMO instruments. In particular, evaluation of detention rates, inspection results, casualty statistics, communication processes, annual loss statistics and other performance indicators.

PART 3 – COASTAL STATE

Implementation (paragraphs 45 to 48)

- 25 Please describe how your State fulfils the following:
- .1 promulgating navigational warnings and dangers to navigation;
 - .2 establishment and maintenance of any navigational aids within waters for which it has responsibility and how information relating to these is promulgated;
 - .3 putting measures in place to encourage the collection of meteorological data and what use is made of this data;
 - .4 establishing arrangements for maritime distress communication monitoring and coordination and rescue within your State;
 - .5 establishing arrangements for investigating reported incidents of pollution;
 - .6 arrangements for the provision of hydrographic services; and
 - .7 any other measures undertaken by your State to evaluate its effectiveness in implementing the above provisions.
- Please describe, if applicable:
- .1 any maritime traffic routing schemes or restricted areas enforced within waters for which your State has responsibility and which have not been adopted by IMO, and any ship reporting systems;
 - .2 any IMO maritime traffic routing system or restricted area within waters under the jurisdiction of your State and how it is managed; and
 - .3 any reporting system or VTS system adopted by IMO that is within your State.

Enforcement (paragraph 50)

- 26 Please describe how your State fulfils the requirements of the III Code for:
- .1 considering, developing and implementing a control and monitoring programme;
 - .2 the timely response to pollution incidents; and
 - .3 cooperating with other flag and/or coastal States for the investigation of maritime casualties.

Evaluation and review (paragraph 51)

- 27 Please explain how your State evaluates its performance as a coastal State, e.g. exercises to test counter-pollution measures, rescue of distressed persons, etc.

PART 4 – PORT STATE

Implementation (paragraphs 52 to 56)

- | | |
|----|---|
| 28 | If applicable please indicate: <ul style="list-style-type: none">.1 what legislation is in place permitting port State control to be undertaken on foreign ships visiting your ports and the procedures for undertaking them;.2 the regional port State control regimes your State is affiliated to;.3 the recruitment criteria and qualifications for port State control officers engaged in port State duties;.4 the arrangements in place to enable port State control interventions to be transmitted "forthwith" to all parties concerned;.5 how many port State control inspections have been carried out by your State over the last two years, and how do these relate to national and regional targets;.6 whether your State has reception facilities for ship-generated wastes under the MARPOL Convention and provide details of this and the adequacy of these arrangements; and.7 whether a register of fuel oil suppliers is maintained and who maintains it. |
|----|---|

Evaluation and review (paragraph 63)

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|----|--|
| 29 | Please explain how your State evaluates its performance as a port State. |
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APPENDIX 4 AUDIT SCHEME - SEQUENCE OF ACTIVITIES

Ref.	Activity	Responsible	Procedures Ref.
1	All Member States informed of overall audit schedule	SG	4.1.1
2	Pre-audit questionnaire sent to the Member State	SG	5.2
3	Completed pre-audit questionnaire sent to IMO	MS	5.4
4	Selection of auditors by IMO	SG	4.3
5	Notification of auditors to Member State	SG	4.5.5
6	Final selection of audit team	SG + MS	4.4.1.5; 4.5.5
7	Developing and negotiating the Memorandum of Cooperation, including authorization for release of the audit reports to the public or Member States	SG + MS	(Framework 8.2.4) 4.2.1; 4.2.3
8	Memorandum of Cooperation finalized and signed	MS + SG	4.2.2
9	Preparation for the audit by the audit team	ATL	Section 5 (various references)
10	Agreeing the audit plan	ATL + MS	4.2.4; 4.2.5; 5.7
11	Opening meeting between the audit team and the Member State	ATL + MS	6.3
12	Audit closing meeting, draft audit interim report and draft executive summary report tabled	ATL + MS	6.5
13	Draft audit interim report and draft executive summary report sent to the Member State and IMO	ATL	7.1.3; 7.2.2; 7.3.1; 7.3.2
14	Review of the draft interim report and draft executive summary report; including comments sent by the Member State	ATL + MS + IMO	7.1.3; 7.2.3; 7.2.4; 7.3.1
15	Agreed interim report and executive summary report sent to the Member State	ATL	7.2.1, 7.3.1
16	Executive summary report released	SG	(Framework 6.3.3 and 6.3.4) 7.3.1
17	Member State's corrective action plan, as appropriate, sent to ATL and IMO	MS	7.2.1; 7.4.1; 8.4
18	Corrective action plan released	SG	8.5
19	Draft audit final report sent to the Member State and IMO	ATL	7.4.2; 8.5
20	Agreed audit final report sent to the Member State and IMO	ATL	7.4.2; 8.5
21	Member State's comments on the progress of implementation of corrective action plan sent to IMO	MS	7.5.1
22	Audit team leader's mission report sent to IMO	ATL	7.6.1
23	Feedback from the Member State sent to IMO	MS	7.7.1
24	Audit follow-up, as appropriate	SG	9.1
25	Consolidated audit summary reports prepared as IMO meeting documents	SG	7.4.3

Note: Items 4 and 7 and also items 6 and 8 may proceed concurrently.

MS = Member State

SG = IMO Secretary-General

ATL = Audit team leader