

COUNCIL
118th session
Agenda item 6

C 118/6/1
5 June 2017
Original: SPANISH

IMO MEMBER STATE AUDIT SCHEME

Experience gained during the preparation process for the mandatory Scheme

Submitted by Chile

SUMMARY

Executive summary: This document provides a summary of Chile's activities and experiences under the Audit Scheme. The summary is based on its 2007 audit and on its preparations for the next audit scheduled for 2020, and offers technical assistance to any Member States that may require it during their preparation process.

Strategic direction: 2.0

High-level action: 2.0.2

Output: 2.0.2.1 and 2.0.2.2

Action to be taken: Paragraph 16

Related documents: C 112/INF.3, C 116/6, C 117/D, III 3/WP.5, III 3/INF.29 and III 3/14

Introduction

1 At its 117th session, the Council requested authorization from Member States that had been audited to release their audit reports and corresponding corrective action plans to the other IMO Member States or to the public (document C 117/D, paragraph 6.2(ii)).

2 Chile has decided thus to authorize the release of its audit report and corresponding corrective action plan to the other IMO Member States through the Member State Audits (MSA) module in the Global Integrated Shipping Information System (GISIS). In addition, Chile has deemed it timely and appropriate to take this opportunity to submit this document to the Council with a view to reinforcing some of the ideas contained in the consolidated audit summary reports made available by the Secretary-General under the voluntary phase of the scheme (VIMSAS), as well as various relevant aspects of the experience it has gained from IMO audits, both as a Member State audited in 2007 and in its preparation for the mandatory audit scheduled for 2020, and which are in line with the work being done by the Sub-Committee on Implementation of IMO Instruments (III).

3 During the third session of the III Sub-Committee (III 3), the Working Group on Analysis of consolidated audit summary reports submitted its report in document III 3/WP.5. The report contains a detailed, comprehensive study of document III 3/INF.29, which is an analysis of the 10 consolidated audit summary reports from the VISMAS period to the transitional period. The Working Group's report summarizes the common difficulties encountered by Member States in implementing IMO instruments as well as the root causes of the lack of effective and efficient implementation and enforcement of those instruments and of the III Code.

4 Annex 2 of the III 3 report to the MEPC and MSC (document III 3/14) proposes areas where technical assistance could be provided to Member States through the IMO technical cooperation programme.

Process of the 2007 IMO audit of Chile

5 A few months prior to the 2007 audit, the Chilean Maritime Authority (DIRECTEMAR) appointed a multisectoral group of experts to carry out an internal audit of the main processes related to implementation of IMO instruments ratified by Chile. This group of experts included, among others, four DIRECTEMAR ship inspectors who had recently been trained as internal auditors in ISO quality standards.

6 During this preparation phase for the 2007 audit, a need was identified for certain organizational changes and adjustments to be made in order to optimize the management and handling of IMO matters at the national level, which obliged DIRECTEMAR to create new posts and hire new staff with the necessary technical skills and training to carry out such tasks.

7 The voluntary audit was carried out in late March 2007 and, once it was completed, Chile implemented a series of corrective actions to deal with the findings from the audit.

Relevant problems faced by Member States during an audit

8 Some of the findings from the audit are not easy to correct and require much dedication and time to solve definitively. One of the most important findings, and one that may be common among many Administrations, is the lack of overall strategy to ensure that IMO instruments are implemented at the national level and that the international obligations set out in the relevant IMO instruments are met, as provided for in paragraph 3 of the III Code.

9 This overall strategy, which should include methods for establishing competences and areas of responsibility among entities involved in maritime activities, should further include clear lines of authority among them leading to an overall coordinating body (maritime administration), with a mandate, for all maritime activities of the State.

10 The overall strategy should also include processes and procedures for determining each entity's function within its area of responsibility, especially as regards the implementation and enforcement of mandatory IMO instruments. This would enable the Member State to monitor, evaluate and improve the performance of its maritime administration as a flag, coastal and port State, by including policies, action plans, and integrated management procedures and systems, together with the concomitant resources for implementation and enforcement. In addition, guidelines should be drawn up in this regard to assist Member States in preparing an effective overall strategy.

Activities carried out in Chile from 2012 to the present

11 In August 2012, IMO and DIRECTEMAR held a regional training course for auditors under the VIMSAS scheme. The course took place at the Maritime Education and Training Centre in Valparaíso. During the course, Chile trained four auditors for the scheme.

12 DIRECTEMAR to date has 13 auditors under the Audit Scheme, who have participated in a number of audits in recent years. In late 2012, DIRECTEMAR set up an IMO audit office with a view, initially, to carrying out an internal diagnostic and evaluation audit of the current situation with regard to handling IMO matters and, subsequently, to establish an ongoing work system to ensure the efficient and effective implementation of IMO instruments to which Chile is a party.

13 The aforementioned internal audits were carried out following the Framework and Procedures for the Scheme and will take place annually.

14 Through document C 116/6, the IMO Council communicated the overall audit schedule for all Member States and Associate Members up to 2022. In that document, Chile was scheduled to be audited in 2020. Accordingly, it adopted a special internal audit monitoring programme leading up to 2020 with a view to being fully prepared for the audit.

15 It should be noted that in 2005 DIRECTEMAR and IMO signed a memorandum of understanding with a view to providing Latin American countries with technical assistance in any IMO-related matter.

Action requested of the Council

16 Members of the Council are invited to take note of the information provided and, in particular, of:

- .1 the crucial matter of an overall strategy for the effective implementation of IMO instruments and the potential need for guidelines and instructions to assist Member States in preparing that overall strategy as it is required by the III Code (paragraphs 8 to 10); and
- .2 of Chile's intention to continue supporting, on the one hand, IMO in the technical cooperation activities that are carried out, particularly in the area of IMSAS, and, on the other hand, Member States who are preparing to face this type of audit for the first time, whether through a bilateral cooperation agreement with Member States or through IMO (paragraphs 11 to 15).