

From: VTS Committee  
To: IALA Council

VTS40-12.1.5  
22 October 2015

## **Liaison Note**

# **Guideline on Preparing for IMO Member State Audit Scheme (IMSAS)**

### **INTRODUCTION**

The VTS Committee was tasked to prepare a Guideline on Preparing IALA Members for IMO Member State Audit Scheme (IMSAS) as regards Vessel Traffic Services. This work commenced in VTS 38 and was completed at VTS 40.

Vessel Traffic Services implemented by a Competent authority are subject to IMO Member State Audit Scheme (IMSAS) in view of the fact that all IMO audits from 1 January 2016 will be mandatory and should be arranged and carried out in line with the framework and procedures for the IMO Member State Audit Scheme and using the IMO Instruments Implementation Code (III Code) as the audit standard.

### **SUMMARY OF DRAFT PROPOSAL**

The aim of this document is to provide guidance for Contracting Governments and competent authorities to meet the objectives of an IMO Member State Audit Scheme (IMSAS) with respect to the implementation and delivery of VTS. That is, to demonstrate they are fulfilling their responsibilities under the general provisions of treaty law and IMO conventions for promulgating laws and regulations. They are also responsible for taking all other steps which may be necessary to give full and complete effect to the International Convention on the Safety of Life at Sea (SOLAS) Chapter V (Safety of Navigation) Regulation 12.

The Guideline consists of the following tools in the form of Annexes:

- Guidance for preparing for an audit (extracts from e.g. IMO Resolution A.1070(28) on IMO Instruments Implementation Code (III Code))
- Checklist for auditors (extract from IMO Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme pertaining to VTS)
- Audit checklist for the assessment of a VTS (extract from IALA Guideline No. 1101 on Auditing and Assessing VTS (Annex A))
- Audit scheme (sequence of activities according to IMO Resolution A.1067(28) on the Framework and Procedures for the IMO Member State Audit Scheme, Appendix 3).

### **ACTION REQUESTED**

The IALA Council is requested to:

Consider the draft Guideline on Preparing for IMO Member State Audit Scheme (IMSAS) on Vessel Traffic Services and approve as appropriate.

# Draft IALA GUIDELINE No. 1115

On

## Preparing for IMO Member State Audit Scheme (IMSAS)

On

## Vessel Traffic Services

Edition 1

December 2015



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### Document Revisions

Revisions to the IALA Document are to be noted in the table prior to the issue of a revised document.

Date	Page / Section Revised	Requirement for Revision

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## 1 AIMS AND OBJECTIVES

The aim of this document is to provide guidance for Contracting Governments and competent authorities to meet the objectives of an IMO Member State Audit Scheme (IMSAS) with respect to the implementation and delivery of VTS, that is, to demonstrate they are fulfilling their responsibilities under the general provisions of treaty law and IMO conventions for promulgating laws and regulations. They are also responsible for taking all other steps which may be necessary to give full and complete effect to the International Convention on the Safety of Life at Sea (SOLAS) Chapter V (Safety of Navigation) Regulation 12.

In particular, the guidance focuses on providing assistance with the planning and preparation for an audit, including:

- Compliance with the audit standard;
- The enactment of legislation, as appropriate, for delivery of VTS under SOLAS;
- The administration and enforcement of the applicable laws and regulations of the Member State;
- The mechanism and controls in place, by which the delegation of authority by a Member State to a recognised organisation, for the purposes of implementing and delivering VTS, is effected.

## 2 INTRODUCTION

Vessel Traffic Services are recognised internationally as a navigational safety measure through the International Convention on the Safety of Life at Sea (SOLAS). In particular, the provisions in SOLAS Chapter V (Safety of Navigation) Regulation 12 provides for Vessel Traffic Services and states, amongst other things, that:

- “Vessel Traffic Services (VTS) contribute to safety of life at sea, safety and efficiency of navigation and protection of the marine environment, adjacent shore areas, work sites and offshore installations from possible adverse effects of maritime traffic.”
- “Governments may establish VTS when, in their opinion, the volume of traffic or the degree of risk justifies such services”.

SOLAS also states that contracting Governments planning and implementing VTS shall, wherever possible, follow the guidelines developed by the IMO. SOLAS Chapter V Regulation 12 is found in Annex 5.

It is recognised that the safety and efficiency of maritime traffic and the protection of the marine environment would be improved if vessel traffic services were established and operated in accordance with internationally approved guidelines such as IMO Resolution A.857 (20) - Guidelines for Vessel Traffic Services. The Resolution describes the principles and general provisions for the operation of a VTS and participating vessels, in addition to the roles and responsibilities of contracting governments, competent authorities and VTS authorities as well as qualifications and training for VTS personnel.

Vessel Traffic Services implemented by a Competent authority are subject to the IMO Member State Audit Scheme (IMSAS) in view of the fact that all IMO audits from 1 January 2016 will be mandatory and should be arranged and carried out in line with the framework and procedures for the IMO Member State Audit Scheme and using the IMO Instruments Implementation Code (III Code) as the audit standard.

IALA Guideline No. 1055 on Preparing for a Voluntary IMO Audit on Vessel Traffic Services Delivery has been revoked by IALA Council.

### 3 OVERVIEW

Under the general provisions of treaty law and IMO conventions, the contracting governments are responsible for promulgating laws and regulations. They are also responsible for taking all other steps which may be necessary to give those instruments full and complete effect to ensure safety of life at sea and protection of the marine environment.

The IMO Member State Audit Scheme (IMSAS) 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, i.e. SOLAS.

The scheme addresses issues such as:

- conformance in enacting appropriate legislation for the IMO instruments to which a Member State is a Party;
- the implementation and enforcement of the applicable laws and regulations by the Member State;
- the delegation of authority to Recognised Organisations (ROs);
- the related control and monitoring mechanism of the survey and certification processes by the Member States.

### 4 ACRONYMS AND DEFINITIONS

To assist in the use of this guideline, the following acronyms and definitions have been used:

Table 1: Acronyms

<i>COLREGs</i>	Convention on the International Regulations for Preventing Collisions at Sea
<i>IALA</i>	International Association of Marine Aids to Navigation and Lighthouse Authorities
<i>III Code</i>	IMO Instruments Implementation Code
<i>IMO</i>	International Maritime Organization
<i>IMSAS</i>	IMO Member State Audit Scheme
<i>Load Line</i>	International Convention on Load Lines (LL)
<i>MARPOL</i>	International Convention for the prevention of pollution from ships
<i>SOLAS</i>	International Convention for the Safety of Life at Sea
<i>STCW</i>	International Convention on Standards of Training, Certification and Watch-keeping for Seafarers
<i>TONNAGE</i>	International Convention on tonnage measurement of ships
<i>VTS</i>	Vessel Traffic Services

Table 2: General definitions

<i>Competent authority</i>	The authority made responsible, in whole or in part, by the Government for safety, including environmental safety, and efficiency of vessel traffic and the protection of the environment.
<i>Vessel Traffic Services (VTS)</i>	A service implemented by a Competent authority, designed to improve the safety and efficiency of vessel traffic and to protect the environment. The service should have the capability to interact with the traffic and to respond to traffic situations developing in the VTS area.
<i>VTS authority</i>	The authority with responsibility for the management, operation and co-ordination of the VTS, interaction with participating vessels and the safe and effective provision of the service.

## **5 INTERNATIONAL FRAMEWORK**

### **5.1 IMO**

VTS is recognised internationally as a navigational safety measure through SOLAS. In particular, the provision in SOLAS Chapter V (Safety of Navigation) Regulation 12 provides for Vessel Traffic Services and states that contracting Governments planning and implementing VTS shall, wherever possible, follow the guidelines developed by the International Maritime Organization (IMO).

Key IMO documents regarding IMSAS include:

#### **Resolution A.1067(28) on the Framework and Procedures for the IMO Member State Audit Scheme**

The purpose of this framework is 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.

This framework is supported by the procedures for the IMO Member State audit and the IMO Instruments Implementation Code (III Code).

#### **Resolution A.1070(28) on IMO Instruments Implementation Code (III Code)**

The objective of this Code is to enhance global maritime safety and protection of the marine environment and assist States in the implementation of instruments of the Organization.

The Code acknowledges that different States will view this Code according to their own circumstances and should be bound only for the implementation of those instruments to which they are Contracting Governments or Parties. By virtue of geography and circumstance, some States may have a greater role as a flag State than as a port State or as a coastal State, whilst others may have a greater role as a coastal State or a port State than as a flag State.

The Code seeks to address those aspects necessary for a Contracting Government or Party to give full and complete effect to the provisions of the applicable international instruments to which it is a Contracting Government or Party, including SOLAS Chapter V (Safety of Navigation) Regulation 12.

#### **IMO Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS)**

This manual has been developed as guidance to assist in the planning, conducting and reporting by auditors in the execution of their duties as defined in the framework and procedures for the IMO Member State Audit Scheme, which was adopted by the Assembly through resolution A.1067 (28).

The guidance is intended to promote consistency in the delivery of the audit programme.

#### **Resolution A.857(20) Guidelines for Vessel Traffic Services**

This Resolution describes the principles and general provisions for the operation of a VTS and participating vessels. Contracting Governments should take account of these guidelines when planning, implementing and operating vessel traffic services.

In summary, the Resolution provides guidance in two annexes:

### **Annex 1 - Guidelines and Criteria for VTS**

Annex 1 describes the principles and general operational provisions for the operation of a VTS and participating ships.

Specifically it describes the responsibilities and liability of:

- a) Contracting Governments / competent authorities for planning and establishing VTS, including establishing a legal basis for the operation of a VTS to ensure that the VTS is operated in accordance with national and international law and ensuring that a VTS authority is appointed and legally empowered, and
- b) VTS authorities for the operation and delivery of a VTS.

### **Annex 2 - Guidelines on Recruitment, Qualifications and Training of VTS Operators**

Annex 2 describes the skill and knowledge qualifications required by VTS operators to provide vessel traffic services and should be used in both planned and existing VTS. Annex 2 also provides guidance in determining how VTS authorities can recruit, select and train personnel in order to carry out the tasks required.

## **5.2 IALA**

IALA has developed a suite of documents to assist governments, competent authorities and VTS authorities to implement and deliver VTS in a manner consistent with IMO Resolution A.857(20). These documents consist of numerous recommendations, guidelines and model courses etc. For the latest document editions refer to IALA web page [www.iala-aism.org](http://www.iala-aism.org) under "publications", where these can be freely downloaded in pdf-format.

## **6 PREPARING FOR AN IMSAS AUDIT – VESSEL TRAFFIC SERVICES**

IMSAS covers a broad range of maritime safety and prevention of pollution issues which are reflected in SOLAS, MARPOL, TONNAGE, Load Line, STCW and COLREGs. VTS is an important element of the audit scheme, which should be carefully prepared. To assist with planning and preparation for an audit, Annexes 1-4 provide guidance and check lists for audit preparations. Furthermore, the following issues should be considered:

- Member State's policy and legal frameworks should be explained as fully as possible.
- Member State's internal stakeholder arrangements should be described, in particular the sectional and governance arrangements for the responsibilities of a Member State's VTS. Wherever possible, clarification of any special organisational arrangements should be fully detailed.
- A designated single point of contact is required for the Member State. It may also be necessary to establish a single point of contact for other internal stakeholders that have delegated VTS responsibilities. It might also be useful to establish a hierarchy of responsibilities.
- To assist the audit process the use of organisational diagrams and flow charts should be considered.
- A mechanism of coordination should be implemented with other organisations / agencies / Federal Governments etc. related to VTS in order to allow the Member State to undergo the audit.

- Member States may consider adopting a programme or project management approach to the audit process. This will assist with the setting of timetables and the consideration of budget and resources.
- Noting that a maximum period of two months is permitted for the completion of the pre-audit questionnaire from the time the audit is officially launched; Member States should not underestimate the time and effort that may be required to complete the questionnaire.
- The working language should be agreed between the Member State and IMO audit team. For some Member States the translation of sections of primary legislation pertaining to VTS responsibility, delivery and monitoring may be necessary. In addition, to assist with coordination of the audit, it may also be necessary to use hard copy documentation.
- It may be useful when preparing the IMO audit, to proceed with an internal pre-audit. IALA Guideline No. 1101 on Auditing and Assessing VTS provides a checklist which may assist as a tool to assess and monitor the delivery of VTS with regards to international obligations, the IALA Recommendations, Guidelines and VTS Manual.

## ANNEX 1 – GUIDANCE FOR AUDIT PREPARATION

This part provides a summary of the IMSAS requirements relating to SOLAS Chapter V (Safety of Navigation) Regulation 12 and provides guidance for preparing to undertake an audit to assess how effectively the Contracting Government and Competent authority administers and implements its obligations under this Regulation.

No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
1	Part 1 Common Areas  Strategy	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 3.0 and 3.1	In order to meet the objective of this Code, a State is recommended to:  - develop an overall strategy to ensure that its international obligations and responsibilities as a flag, port and coastal State are met.	Is a strategy in place to ensure that international obligations and responsibilities as a flag, port and coastal State are met?  Is the implementation and operation of VTS included in this strategy?	
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	An overall strategy exists to ensure that international obligations and responsibilities as a flag, port and coastal State are met	If Yes, describe the strategies developed to ensure international obligations and responsibilities are met with regards to SOLAS Chapter V (Safety of Navigation) Regulation 12	
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 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.		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
2	Part 1 Common Areas  Strategy	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 3.0 and 3.2	In order to meet the objective of this Code, a State is recommended to:  - establish a methodology to monitor and assess that the strategy ensures effective implementation and enforcement of relevant international mandatory instruments	What methodology has been established to monitor and assess that the strategy ensures effective implementation and enforcement of SOLAS Chapter V (Safety of Navigation) Regulation 12?	
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	Methodology established to monitor and assess that the strategy ensures effective implementation and enforcement of relevant international mandatory instruments.		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire	See Requirements under No. 1		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
3	Part 1 Common Areas  Strategy	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 3.0 and 3.3	In order to meet the objective of this Code, a State is recommended to:  - continuously review the strategy to achieve, maintain and improve the overall organizational performance and capability as a flag, port and coastal State.	What processes have been established to continuously review the strategy to achieve, maintain and improve the overall organizational performance and capability with regards to VTS under SOLAS Chapter V (Safety of Navigation) Regulation 12?	
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	Continuous review of the strategy undertaken to achieve, maintain and improve the overall organizational performance and capability as a flag, port and coastal State.		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire	See Requirements under No. 1		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
4	Part 1 Common Areas  General	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 4	Under the general provisions of treaty law and of IMO conventions, States should be responsible for promulgating laws and regulations and for taking all other steps which may be necessary to give those instruments full and complete effect so as to ensure safety of life at sea and protection of the marine environment.	<p>Have domestic law/s and regulations been promulgated to give full and complete effect to SOLAS Chapter V (Safety of Navigation) Regulation 12?</p> <p>If Yes, list the law/s and regulations</p> <p>What administration has the contracting Government made responsible as the Competent authority for VTS (refer to IMO Resolution A.857 (20))?</p> <p>Under which legislation is the Competent authority for VTS established?</p> <p>Does the legislation allow regulations to be made in relation to VTS?</p> <p>Does this include arrangements for the Competent authority to regulate:</p> <ul style="list-style-type: none"> <li>- VTS Authorities, including authorisation, certification and auditing?</li> <li>- VTS training organisations, including accreditation, approval of model courses and auditing?</li> <li>- Masters of vessels to provide reports required by VTS authorities and to comply with their instructions, where empowered?</li> </ul>	
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	<p>Means in place to ensure compliance with relevant international rules and regulations in respect of maritime safety and protection of the marine environment</p> <p>National legislation exist to give effect to the provisions of relevant IMO instruments</p>		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 10	<p>Please describe how your State:</p> <p>.1 develops and promulgates legislation and takes all other steps to give the applicable IMO instruments full and complete effect (include a flow chart);</p> <p>.2 incorporates amendments to IMO instruments into national legislation.</p>		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
5	Part 1 Common Areas  General	N/A	N/A	List the VTS authorities authorised to deliver VTS by the Competent authority.	
6		N/A	N/A	<p>Has responsibility for VTS been delegated to other bodies/agencies?</p> <ul style="list-style-type: none"> <li>- If yes, list the agencies/ bodies</li> </ul> <p>Has this delegation been formally established and documented?</p> <ul style="list-style-type: none"> <li>- If yes, reference the documentation</li> </ul>	

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
7	Part 1 Common Areas  Communication of Information	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 9	The State should communicate its strategy, as referred to in paragraph 3, including infor- mation on its national legislation to all concerned.	Explain the approach taken to formally communicate the states responsibilities to authorise, certify and audit the Competent authority / VTS authorities	
		Requirement of III Code Circular Letter No. 3425 - Auditor’s Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	Strategy, including information on relevant national legislation, communicated to all concerned.		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 9	Please provide the overall mari- time policies and strategy of your State to implement the ap- plicable IMO instruments and also how this is communicated to all concerned.		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
8	Part 1 Common Areas  Records	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 10	Records, as appropriate, should be established and maintained to provide evidence of conformity to requirements and of the effective operation of the State. Records should remain legible, readily identifiable and retrievable. A documented procedure should be established to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records.	Provide references to relevant policies/ standards with respect to record keeping	
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	<ul style="list-style-type: none"> <li>- Records established and maintained.</li> <li>- Records are legible, readily identifiable and retrievable</li> <li>- Documented procedure defining controls on identification, storage, protection, retrieval, retention time and disposition of records</li> </ul>		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 13	Please describe which records are retained and for what period.		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
9	Part 1 Common Areas  Improvement	<p data-bbox="483 185 857 288">Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)</p> <p data-bbox="483 320 857 392">Requirement of III Code para. 11</p> <p data-bbox="483 528 857 799">Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)</p>	<p data-bbox="880 185 1364 520">States should continually improve the adequacy of the measures which are taken to give effect to those conventions and protocols which they have accepted. Improvement should be made through rigorous and effective application and enforcement of national legislation, as appropriate, and monitoring of compliance.</p> <p data-bbox="880 528 1364 632">Demonstrates continual improvement of measures giving effect to conventions and protocols accepted.</p> <p data-bbox="880 663 1364 831">Improvement made through rigorous and effective application and enforcement of national legislation, as appropriate, and monitoring of compliance.</p> <p data-bbox="880 863 1364 999">A culture exists providing opportunities to people for improvement of performance in maritime safety and environmental protection activities.</p> <p data-bbox="880 1031 1364 1206">Action taken to identify and eliminate causes of any non-conformities in order to prevent recurrence. Non-conformities reviewed and analysed.</p> <p data-bbox="880 1238 1364 1302">Implementation of necessary corrective actions monitored.</p> <p data-bbox="880 1334 1364 1372">Reviews of corrective actions taken.</p>	<p data-bbox="1386 185 1760 248">Please describe how your State:</p> <ul style="list-style-type: none"> <li data-bbox="1386 256 1760 392">- stimulates a culture which provides for improvement of performance in relevant maritime activities;</li> <li data-bbox="1386 424 1760 520">- identifies and eliminates the root causes of any non-conformities; and</li> <li data-bbox="1386 552 1760 655">- anticipates potential non-conformities in order to prevent their occurrence.</li> </ul>	

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 14	Please describe how your State: <ul style="list-style-type: none"> <li>- stimulates a culture which provides for improvement of performance in relevant maritime activities;</li> <li>- identifies and eliminates the root causes of any non-conformities; and</li> <li>- anticipates potential non-conformities in order to prevent their occurrence.</li> </ul>		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
10	Part 1 Common Areas  Improvement	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 12	The State should stimulate a culture which provides opportunities for improvement of performance in maritime safety and environmental protection activities, which may include, inter alia: .1 continual training programmes relating to safety and pollution prevention; .2 regional and national drills on safety and pollution prevention, which engage a broad spectrum of maritime-related national, regional and international organizations, companies and seafarers; and .3 using reward and incentive mechanisms for shipping companies and seafarers regarding improving safety and pollution prevention.		
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	See Requirements under No. 9		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 14	See Requirements under No. 9		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
11	Part 1 Common Areas  Improvement	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 13	Further, the State should take action to identify and eliminate the cause of any non-conformities in order to prevent recurrence, including: .1 review and analysis of non-conformities; .2 implementation of necessary corrective action; and .3 review of the corrective action taken.		
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	See Requirements under No. 9		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 14	See Requirements under No. 9		

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No	Title/Topic	References	Requirements	Possible Audit Questions	Remarks
12	Part 1 Common Areas  Improvement	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 14	The State should determine action needed to eliminate the causes of potential non-conformities in order to prevent their occurrence.		
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	See Requirements under No. 9		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 14	See Requirements under No. 9		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
13	Part 3 Coastal States  Implementation	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 45	Coastal States have certain rights and obligations under various international instru- ments. When exercising their rights under those instruments coastal States incur additional obligations.		
		Requirement of III Code Circular Letter No. 3425 - Auditor’s Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	Policies implemented through issuance of national legislation and guidance.		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire Para. 44 to 48	Please describe how your State fulfils the following: .1 promulgating navigation- al warnings and dangers to nav- igation; .2 establishment and maintenance of any aids to nav- igation within waters for which it has responsibility and how in- formation relating to these is promulgated; .3 putting measures in place to encourage the collec- tion of meteorological data and what use is made of this data; .4 establishing arrange- ments for maritime distress communication monitoring and coordination and rescue within your State; .5 establishing arrange-		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
			<p>ments for investigating reported incidents of pollution;</p> <p>.6 arrangements for the provision of hydrographic services; and</p> <p>.7 any other measures undertaken by your State to evaluate its effectiveness in implementing the above provisions.</p> <p>Please describe, if applicable:</p> <p>.8 any maritime traffic routeing 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;</p> <p>.9 any IMO maritime traffic routeing system or restricted area within waters under the jurisdiction of your State and how it is managed; and</p> <p>.10 any reporting system or VTS system adopted by IMO that is within your State.</p>		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
14	Part 3 Coastal States  Implementation	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 46	In order to effectively meet its obligations, a coastal State should: .1 implement policies through issuing national legislation and guidance, which will assist in the implementation and enforcement of the requirements of all safety and pollution prevention conventions and protocols to which it is a party; and .2 assign responsibilities to update and revise any relevant policies adopted, as necessary.	Describe your process for justifying the provision of VTS relative to the volume of traffic or degree of risk for each authorised VTS authority.  Describe your arrangements for compliance with resolution A.857 (20), Guidelines for VTS for each authorised VTS authority.	
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS), Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	Responsibilities assigned to update and revise any relevant policies adopted		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire	See Requirements under No. 13		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
15	Part 3 Coastal States  Implementation	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 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.		
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	Legislation, guidance and procedures established for the consistent implementation and verification of the rights, obligations and responsibilities of the State contained in the relevant international instruments to which it is a party, in general		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 14	See Requirements under No. 13.		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
16	Part 3 Coastal States  Implementation	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 48.7	Those rights, obligations and responsibilities may include, inter alia:  - vessel traffic services;		
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	For vessel traffic services		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 14	See Requirements under No. 13 related to VTS		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
17	Part 3 Coastal States  Enforcement	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 49	Coastal States should take all necessary measures to ensure their observance of international rules when exercising their rights and fulfilling their obligations.		
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	All necessary measures taken to ensure observance of international rules when exercising the rights and fulfilling the obligations as a coastal State		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire No. 14			

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
18	Part 3 Coastal States  Enforcement	<p>Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)</p> <p>Requirement of III Code para. 50</p>	<p>A coastal State should consider, develop and implement a control and monitoring programme, as appropriate, in order to:</p> <p>.1 provide for the allocation of statistical data so that trend analyses can be conducted to identify problem areas;</p> <p>.2 establish mechanisms for timely response to pollution incidents in its waters; and</p> <p>.3 cooperate with flag States and/or port States, as appropriate, in investigations of maritime casualties.</p>	<p>Describe the measures employed to enforce VTS legislation</p> <p>Describe the measures taken to ensure compliance with VTS by ships entitled to fly your flag. (Flag State responsibility.)</p> <p>Describe the measures taken to ensure compliance with VTS by foreign flag ships within VTS areas</p> <p>Is there a compliance and enforcement plan for VTS?</p>	
		<p>Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)</p>	<p>Control and monitoring programme considered, developed and implemented</p> <ol style="list-style-type: none"> <li>1. Statistical data collected and trend analyses conducted</li> <li>2. Cooperation with flag States and/or port States in investigation of maritime casualties</li> </ol>		
		<p>Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme</p>	<p>Please describe how your State fulfils the requirements of the III Code for:</p> <ol style="list-style-type: none"> <li>1. considering, developing and implementing a con-</li> </ol>		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
		Appendix 2: Pre-Audit Questionnaire Para. 26	trol and monitoring programme; 2. cooperating with other flag and/or coastal States for the investigation of maritime casualties.		

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No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
19	Part 3 Coastal States  Evaluation and review	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)  Requirement of III Code para. 51	A coastal State should periodically evaluate its performance in respect of exercising its rights and meeting its obligations under the applicable international instruments.	Describe the measures taken to evaluate effectiveness of VTS (e.g. vessel tracking analysis, incident analysis, equipment service availability, planning and inspection).	
		Requirement of III Code Circular Letter No. 3425 - Auditor's Manual for the IMO Member State Audit Scheme (IMSAS) Appendix 2 – Assessment of Areas Related to the III Code (Verification Index)	Performance periodically evaluated in respect of exercising its rights and meeting its obligations under the applicable international instruments.	Describe the measures, if any, taken to evaluate the effectiveness in implementing SOLAS regulations V/12  Does the State use a recognised quality management system, e.g. ISO 9001:2000, for VTS? How does this contribute to the effectiveness in VTS service delivery?	
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme  Appendix 2: Pre-Audit Questionnaire Para. 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.		

## **ANNEX 2 – CHECKLIST FOR AUDITORS – Vessel Traffic Services (VTS) elements**

*(Extract from Annex 3 Part 2 of IMO Circular No. 3425 Auditor's Manual for the IMO Member State Audit Scheme (IMSAS))*

### **Legislation**

- What national Administration is responsible for VTS?
- Under what law(s) does each Administration act?

### **Organization**

- How is each Administration organized?
- To what other bodies, if any, has responsibility for VTS been delegated?
- Has this delegation been formally established and documented?

### **Resources**

- What is the mechanism for establishing resource requirements (Equipment/Human)?
- What are the funding mechanisms for the Administration?
- What is the mechanism for ensuring competence of personnel?

### **International recommendations/regulations**

- What national legislation is in place to support provision of, and compliance with VTS systems?
- What international recommendations and guidelines in respect of VTS are reflected in the Administration's policies and procedures?

## ANNEX 3 - AUDIT CHECKLIST FOR THE ASSESSMENT OF A VTS

(Extract from IALA Guideline 1101 – Auditing and Assessing VTS, Annex A, Edition 1 (Dec.-13).)

### 1. General information

No.	Issue / question	VTS notes	Auditor notes / comments
1.	Date:		
2.	Name of Auditing body:		
3.	Name of the Competent authority:		
4.	Name of the VTS authority:		
5.	Name of VTS centre(s): The full name and address of the VTS centre(s), as given in their official documentation, should be inserted.		
6.	Date of last audit: Provide a copy of the audit report.		
7.	Are internal audits carried out? Provide a copy of the assessment / audit report.		
8.	What are the type(s) of service provided by the VTS? <ul style="list-style-type: none"> <li>• Information Service</li> <li>• Navigational Assistance Service</li> <li>• Traffic Organization Service</li> </ul>		
9.	VTS Area(s): A chart showing the delineation of the VTS area / sectors.		
10.	Allocated VHF channels: Provide a list of the allocated VTS VHF channels		
11.	Radio Call sign and name identifiers: Provide the radio call sign and name identifier of the VTS.		

### 2. Doctrine and Requirement

#### 2.1 List of documents

*Comment: The reference documents that shall be maintained, integrated and considered into the internal VTS procedures should be listed and considered.  
For a full and latest list of relevant VTS documents, please refer to IALA web page.*

#### 2.2 Compliance with Requirements

No.	Issue / question	VTS notes	Auditor notes / comments
12.	Which government body is responsible for the implementation and enforcement of SOLAS Chapter V Regulation 12 – Vessel Traffic Services?		
13.	What national legislation is in place to enable laws to be passed to give domestic effect to SOLAS obligations, such as: <ul style="list-style-type: none"> <li>• Regulatory provisions?</li> <li>• Compliance and enforcement provisions?</li> </ul>		
14.	Is the VTS operated in accordance with IMO Resolution A.857(20)?		
15.	Describe the legislative framework in place and the measures taken to ensure compliance with IMO Res. A.857(20)?		

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No.	Issue / question	VTS notes	Auditor notes / comments
16.	List any internal or external stakeholder arrangements for the operation of the VTS.		
17.	Does the VTS extend beyond the territorial seas?		
18.	If yes, is this consistent with Guideline No. 1071 On Establishment of a Vessel Traffic Service beyond Territorial Seas?		
19.	Are the types of service delivered consistent with IALA Guideline 1089?		
20.	Any other issues to discuss?		

### 3. Operation

#### 3.1 Procedures

No.	Issue / question	VTS notes	Auditor notes / comments
21.	Do you have documented operational procedures in place? (ref: IALA Recommendation V-127)		
22.	How do you promulgate relevant VTS information to your users such as applicability, necessary reporting, etc.? For example, do you publish via IALA World VTS Guide, ALRS, User Guides, or website?		
23.	Do you have established operating procedures for incidents such as collision, allision, grounding, etc? (ref: IALA Recommendation V-127)		
24.	Do you have contingency plan(s) to ensure the availability of the VTS operations in cases of emergency (i.e. redundancy of equipment, secondary location to operate, extra staffing, etc.)?		
25.	Any other issues to discuss?		

#### 3.2 Personnel, training and qualification

No.	Issue / question	VTS notes	Auditor notes / comments
26.	Is the VTS appropriately staffed, according to an established ratio of operators and supervisors? (if any) (ref: IALA Guideline 1045 On Staffing levels for VTS Personnel)		
27.	How do you manage personnel rosters and schedules? Provide documents.		
28.	Are training courses for VTS personnel delivered according to IALA Recommendation V-103 and associated Model Courses? Provide documentation such as certificates and records of training.		
29.	Is the training provided by an accredited organization (ref: IALA Guideline 1014 On the accreditation and approval process for VTS training)?		
30.	What is your VTS operator / supervisor on the job training program? Provide documentation of qualifications.		
31.	Do you have a policy regarding the use of drugs and alcohol?		
32.	Do you have a policy on managing / preventing fatigue amongst your VTS personnel?		
33.	Any other issues to discuss?		

### 3.3 Equipment

No.	Issue / question	VTS notes	Auditor notes / comments
34.	List your operational equipment e.g. radar, AIS, CCTV, remote sites, etc. (ref: IALA Recommendation V-128 On Operational and Technical Performance Requirement for VTS Equipment)		
35.	What is your maintenance program, i.e. how do you ensure reliability of your equipment?		
36.	Do you have any systems not covered by IALA Recommendation V-128? If Yes, please provide justification.		
37.	Any other issues to discuss?		

### 4. Management system

No.	Issue / question	VTS notes	Auditor notes / comments
38.	Do you have any measures in place for identifying and managing opportunities for improvement? For example, do you conduct customer satisfaction surveys with your stakeholders?		
39.	Do you have a process for taking corrective and/or preventative action as part of continually improving of the management system?		
40.	What performance measures are in place to assess and monitor that the objectives of the VTS are being met? For example, do you collect any data on the number of accident/incidents such as groundings, collisions, allisions, near-misses, and pro-active interventions by VTS Operators?		
41.	Any other issues to discuss?		

## ANNEX 4 - AUDIT SCHEME SEQUENCE OF ACTIVITIES

(Sequence of Activities according to IMO Resolution A.1067(28), Appendix 3)

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

MS = Member State

SG = IMO Secretary-General

ATL = Audit Team Leader

## **ANNEX 5 - SOLAS Chapter V, Regulation 12**

1. *Vessel traffic services (VTS) contribute to safety of life at sea, safety and efficiency of navigation and protection of the marine environment, adjacent shore areas, work sites and offshore installations from possible adverse effects of maritime traffic.*
2. *Contracting Governments undertake to arrange for the establishment of VTS where, in their opinion, the volume of traffic or the degree of risk justifies such services.*
3. *Contracting Governments planning and implementing VTS shall, wherever possible, follow the guidelines developed by the Organization.\* The use of VTS may only be made mandatory in sea areas within the territorial seas of a coastal State.*
4. *Contracting Governments shall endeavour to secure the participation in, and compliance with, the provisions of vessel traffic services by ships entitled to fly their flag.*
5. *Nothing in this regulation or the guidelines adopted by the Organization shall prejudice the rights and duties of Governments under international law or the legal regimes of straits used for international navigation and archipelagic sea lanes.*

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\* Refer to the Guidelines on vessel traffic services adopted by the Organization by resolution A.857(20).