



IALA GUIDELINE

1115

PREPARING FOR AN IMO MEMBER STATE AUDIT SCHEME (IMSAS) ON VESSEL TRAFFIC SERVICES

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DOCUMENT REVISION

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

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CONTENTS

1. AIMS AND OBJECTIVES	4
2. INTRODUCTION	4
3. OVERVIEW	5
4. INTERNATIONAL FRAMEWORK	5
4.1. IMO	5
4.2. IALA	6
5. PREPARING FOR AN IMSAS AUDIT – VESSEL TRAFFIC SERVICES	6
6. ACRONYMS AND DEFINITIONS	7
6.1. Acronyms	7
6.2. Definitions	7
ANNEX A GUIDANCE FOR AUDIT PREPARATION	8
ANNEX B CHECKLIST FOR AUDITORS – VESSEL TRAFFIC SERVICES (VTS) ELEMENTS	24



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 affected.

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.

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. INTERNATIONAL FRAMEWORK

4.1. 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:

- 1 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
- 2 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.

4.2. 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 <http://www.iala-aism.org/> under 'publications', where these can be freely downloaded in pdf-format.

5. 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.

6. ACRONYMS AND DEFINITIONS

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

6.1. ACRONYMS

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

6.2. DEFINITIONS

Competent Authority	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.
VTS	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.
VTS Authority	The authority with responsibility for the management, operation and coordination of the VTS, interaction with participating vessels and the safe and effective provision of the service.

ANNEX A **GUIDANCE FOR AUDIT PREPARATION**

This section 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? 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.	
		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.		
		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.		
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 inter-national 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	Methodology established to monitor and assess that the strategy ensures effective		



No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
		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).	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		
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				



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.	Have domestic law/s and regulations been promulgated to give full and complete effect to SOLAS Chapter V (Safety of Navigation) Regulation 12? If Yes, list the law/s and regulations What administration has the contracting Government made responsible as the Competent authority for VTS (refer to IMO Resolution A.857 (20))? Under which legislation is the Competent authority for VTS established? Does the legislation allow regulations to be made in relation to VTS? Does this include arrangements for the Competent authority to regulate: VTS Authorities, including authorisation, certification and auditing? VTS training organisations, including accreditation, approval of model courses and auditing? Masters of vessels to provide reports required by VTS authorities and to comply with their instructions, where empowered?	
		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).	Means in place to ensure compliance with relevant international rules and regulations in respect of maritime safety and protection of the marine environment. National legislation exist to give effect to the provisions of relevant IMO instruments.		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme Appendix 2: Pre-Audit Questionnaire No. 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); .2 incorporates amendments to IMO instruments into national legislation.		



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	Has responsibility for VTS been delegated to other bodies/agencies? If yes, list the agencies/ bodies. Has this delegation been formally established and documented? If yes, reference the documentation.	
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 information 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 maritime policies and strategy of your State to implement the applicable IMO instruments and also how this is communicated to all concerned.		
8	Part 1 Common Areas Records	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code)	Records, as appropriate, should be established and maintained to provide evidence of conformity to requirements and of the effective operation of the	Provide references to relevant policies/ standards with respect to record keeping.	



No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
		Requirement of III Code para. 10.	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.		
		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).	Records established and maintained. Records are legible, readily identifiable and retrievable. Documented procedure defining controls on identification, storage, protection, retrieval, retention time and disposition of records.		
		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.		
9	Part 1 Common Areas Improvement	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code). Requirement of III Code para. 11.	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.	Please describe how your State: – stimulates a culture which provides for improvement of performance in relevant maritime activities;	



No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
		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).	Demonstrates continual improvement of measures giving effect to conventions and protocols accepted. Improvement made through rigorous and effective application and enforcement of national legislation, as appropriate, and monitoring of compliance. A culture exists providing opportunities to people for improvement of performance in maritime safety and environmental protection activities. Action taken to identify and eliminate causes of any non-conformities in order to prevent recurrence. Non-conformities reviewed and analysed. Implementation of necessary corrective actions monitored. Reviews of corrective actions taken.	<ul style="list-style-type: none"> - - identifies and eliminates the root causes of any non-conformities; and - - anticipates potential non-conformities in order to prevent their occurrence. 	
		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: stimulates a culture which provides for improvement of performance in relevant maritime activities; identifies and eliminates the root causes of any non-conformities; and anticipates potential non-conformities in order to prevent their occurrence.		
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:		



No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
			<p>.1 continual training programmes relating to safety and pollution prevention;</p> <p>.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</p> <p>.3 using reward and incentive mechanisms for shipping companies and seafarers regarding improving safety and pollution prevention.</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)	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.		
11	Part 1 Common Areas Improvement	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code) Requirement of III Code para. 13.	<p>Further, the State should take action to identify and eliminate the cause of any non-conformities in order to prevent recurrence, including:</p> <p>.1 review and analysis of non-conformities;</p> <p>.2 implementation of necessary corrective action; and</p>		



No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
			.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.		
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.		



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 instruments. 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 navigational warnings and dangers to navigation; .2 establishment and maintenance of any aids to navigation 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		



No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
			<p>.7 any other measures undertaken by your State to evaluate its effectiveness in implementing the above provisions. Please describe, if applicable:</p> <p>.8 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;</p> <p>.9 any IMO maritime traffic routing 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>		



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.		



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.		



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.		



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.			



No	Title/Topic	IMO References	Requirements	Possible Audit Questions	Remarks
18	Part 3 Coastal States Enforcement	Resolution A.1070 (28) IMO Instruments Implementation Code (III Code) Requirement of III Code para. 50.	A coastal State should consider, develop and implement 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.	Describe the measures employed to enforce VTS legislation. Describe the measures taken to ensure compliance with VTS by ships entitled to fly your flag. (Flag State responsibility.) Describe the measures taken to ensure compliance with VTS by foreign flag ships within VTS areas. Is there a compliance and enforcement plan for VTS?	
		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).	Control and monitoring programme considered, developed and implemented. Statistical data collected and trend analyses conducted. Co-operation with flag States and/or port States in investigation of maritime casualties.		
		Resolution A.1067(28) Framework and Procedures for the IMO Member State Audit Scheme. Appendix 2: Pre-Audit Questionnaire Para. 26.	Please describe how your State fulfils the requirements of the III Code for: considering, developing and implementing a control and monitoring programme; co-operating with other flag and/or coastal States for the investigation of maritime casualties.		



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). 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?	
		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.		
		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 B CHECKLIST FOR AUDITORS – VESSEL TRAFFIC SERVICES (VTS) ELEMENTS

B 1. INTRODUCTION

This section is an 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?