

IMSAS Audit of Finland

4 November 2024

CLOSING MEETING

Scope of the Audit

- Scope is included in the Memorandum of Cooperation signed on 28 February 2024.
- Standard : III Code, (Part: 1 Common Areas, 2 FS, 3 CS, 4 PS)
- Nine mandatory IMO instruments
 - SOLAS 1974
 - SOLAS PROT 1988
 - MARPOL 73/78
 - MARPOL PROTOCOL 1997
 - STCW 1978
 - LOAD LINES 1966 (LL66)
 - LOAD LINE PROT 1988
 - TONNAGE 1969
 - COLREG 1972

Objective of the Audit

To determine to what extent IMO instruments are implemented and enforced by observing /assessing:

- Compliance with the audit standard
- Enactment of legislation (Safety / Environment) for the IMO instruments
- Administration, implementation and enforcement of applicable laws and legislation
- Mechanisms and controls in place for delegation of authority (to ROs) and for implementing convention requirements
- The extent to which other obligations and responsibilities under the IMO instruments are discharged

Methods and Procedures used

- All information gathered during the audit will be treated in confidence (MoC, sect. 2. Confidentiality) including information gathered during the interviews
- The audit was based on a sampling process
- The audit was not to judge persons but to verify whether the system is in place.
- Interviews were held with the appointed persons (Audit Timetable)
- Deviations found were discussed, stated, and confirmed with the auditee(s) involved
- Deviations are graded as Findings or Observations

Methods and Procedures used

- Finding: Non-Compliance with a mandatory requirement contained in an IMO instrument or the III Code. Supported by objective evidence
- Observation: Statement of fact substantiated by objective evidence, relating to a non-mandatory provision of the III Code
- Debriefing of IMO audit team and the SPC at the end of each day
- During debriefing, review of findings/observations of that day were discussed and agreed with the SPC.

Methods and Procedures used

Forms used

Form A: Findings/Observation notice
By the Audit Team

Form B: Corrective Action
By the SPC/Administration

Form for Comments on the progress of implementation of the corrective action plan
(CPICAP) by the SPC/Administration

Form C: Verification of implementation of corrective actions.
By the ATL (Audit Team)

Presentation of Findings/Observations

The Draft Audit Interim Report and Draft ESR includes:

- Findings / Observations
- Areas of positive development / Areas for further development
- Deviations stated/agreed during the interviews
- Finalized on 3 November 2024, comments processed, and final findings/observations agreed

Audit of Finland- Outcome

| | Common areas | Flag State activities | Coastal activities | Port State activities |
|-----|-----------------------------|---|-------------------------------------|------------------------------|
| FDs | 1 (Communication) | 3 (Flag State implementation) (Flag State enforcement) (Flag State surveyors) | 1 (Ship routing services) | 0 |
| OBs | 0 | 0 | 0 | 0 |

| | |
|----------------------|------------------------|
| Best practice | 1 (Legislation) |
| AFD | 2 |

Findings/Observations

Forms A (Findings/ Observations)

- Signed by the ATL and SPC
- One copy for Member State and one for the ATL

Reports

- Draft interim report and draft Executive Summary Report
- Corrections if any (factual only). To be submitted by SPC by 8 November
- Draft Interim Report will then be sent to IMO for technical review
- After technical review, sent to SPC as the Audit Interim Report and ESR

Further actions required by the State

- Develop corrective action plan (Forms B) including root causes for the Findings stated in the Audit Interim Report
- Forms B : indicate appropriate timelines for completing / closing out of the FDs.
- CAP should be presented to the ATL and IMO within 90 days after receiving the agreed Audit Interim Report.
- Forms to be signed by the State after verification by the ATL and technical review by IMO.
- As guidance use available Consolidated Audit Summary Reports (IMO Circular Letters No.3772, 3879, 4028, 4317, 4442, 4771 and 4919) and analysis of CASR (document III 7/INF.27)

Further actions required by the State

Member State is encouraged to provide feedback to IMO (MSA) regarding the conduct of the Audit, including all phases of the audit from start to end.

IMO will use this for improving their quality system.

Thank you.

International Maritime Organization

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