

# IMSAS – HYDROGRAPHIC SERVICES: OBLIGATIONS, RESPONSIBILITIES AND ITS VERIFICATION



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# Contents

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1. Why to be audited?
2. Evolution of the Audit Scheme (IMSAS)
3. Verification of coastal State obligations (Mandatory IMO Instruments)
4. Hydrographic Services: Obligations of Contracting Governments
5. Applicable Standards
6. Coastal States Obligations under IMSAS
7. Coordination between State entities

# 1. Why be Audit?

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- Who are the actors in ensuring compliance with international maritime standards?
- IMO has no enforcement and compliance monitoring powers.
- New approaches and new tools for performance measurement

## 2. EVOLUTION OF IMO AUDIT SCHEME

### ASSEMBLY 24 (2005)

VOLUNTARY IMO MEMBER STATE AUDIT SCHEME (VIMSAS)

2005 – 2013

Resolution A.974(24) – *Framework and Procedures*

Resolution A.973(24) – *Code for the implementation of mandatory IMO instruments*

79 Member States and two Associate Members have volunteered

59 Member State, two Associate Members and five dependent territories audited

### ASSEMBLY 26 (2009)

DEVELOPMENT OF THE MANDATORY AUDIT SCHEME

2010 - 2015

Resolution A.1018(26) – *Further development of the Voluntary IMO Member STATE AUDIT Scheme*

Revised Code - *IMO Instrument Implementation (III) Code*

Amendments to 8 instruments

Revised Framework and Procedures

Auditor's Manual – Circular letter No.3425

### ASSEMBLY 28 (2013)

IMO MEMBER STATE AUDIT SCHEME

1 January 2016

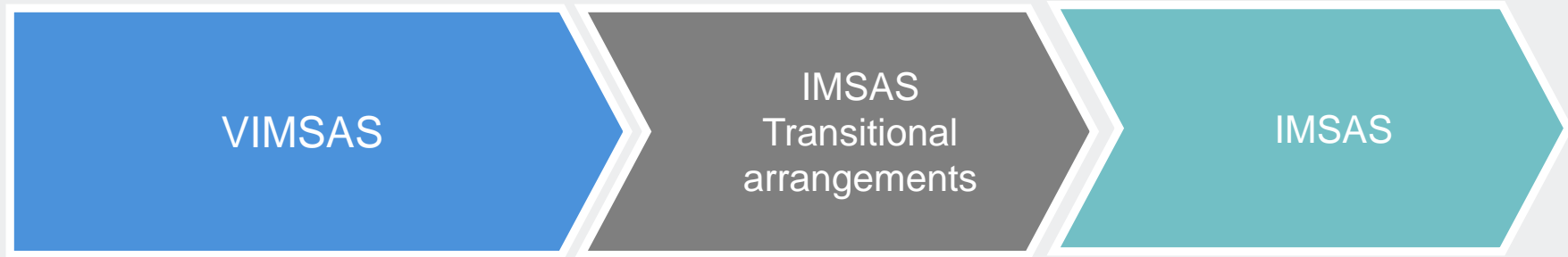
Resolution A.1067(28) – *Framework and Procedures for the IMO Member State Audit Scheme*

Resolution A.1068(28) – *Transition from the Voluntary IMO Member State Audit Scheme to IMO Member State Audit Scheme*

Resolution A.1070(28) – *IMO Instrument Implementation (III) Code*

Resolutions A.1083 (28), A.1084 (28) and A.1085 (28)

## 2. EVOLUTION OF IMO AUDIT SCHEME



2006 – 2013  
Code on the  
implementation of  
IMO instruments

Framework and  
Procedures - res.  
A.974(24)

Resolution A.1070(28)

Dec 2013 – 2015  
IMO Instruments  
Implementation (III)  
Code

Framework and  
Procedures - res.  
A.1067(28)

Resolution A.1070(28)

2016 – ...  
IMO Instruments  
Implementation (III)  
Code

Framework and  
Procedures - res.  
A.1067(28)

# Some expected benefits of making the Scheme mandatory

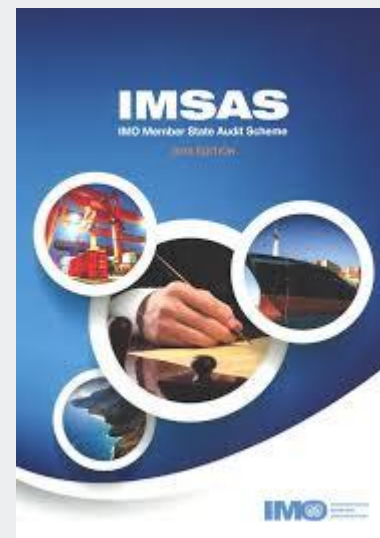
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- The process is inclusive of all, therefore **all States** will benefit from the Scheme
- The diversity of State structures, ability and specific maritime interests will **inform the regulatory framework** for the future
- The administrative and organizational aspects of the Scheme will not rely exclusively on the decision of individual Member State; but become a collective pool of resources
- The concept of a management system is introduced globally in the implementation and enforcement of State obligations and responsibilities relating to maritime transport

### 3. Verification of Obligations (Mandatory IMO Instruments)

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- IMO Member State Audit Scheme (IMSAS) is mandatory from January 2016
- Contracting Governments to nine IMO instruments will be audited once in seven years, to verify its implementation and enforcement
  - SOLAS 1974
  - SOLAS PROTOCOL 1988
  - MARPOL 73/78
  - MARPOL PROTOCOL 1997
  - STCW 1978
  - LOAD LINES 1966 (LL66)
  - LL 66 PROT 1988
  - TONNAGE 1969
  - COLREG 1972
- Audit standard :  
IMO Instruments Implementation Code (III Code)  
(IMO Res. A.1070(28))



### 3. Verification of Obligations - Supporting reference document

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- Resolution A.1121(30) - 2017 Non-exhaustive list of obligations under instruments relevant to the III Code (reviewed and updated periodically):

<b>Annex 1:</b>	OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES
<b>Annex 2:</b>	SPECIFIC FLAG STATE OBLIGATIONS
<b>Annex 3:</b>	<b>SPECIFIC COASTAL STATE OBLIGATIONS</b>
<b>Annex 4:</b>	SPECIFIC PORT STATE OBLIGATIONS
<b>Annex 5:</b>	INSTRUMENTS MADE MANDATORY UNDER IMO CONVENTIONS
<b>Annex 6:</b>	SUMMARY OF AMENDMENTS TO MANDATORY INSTRUMENTS REFLECTED IN THE NON-EXHAUSTIVE LIST OF OBLIGATIONS (ANNEXES 1 TO 4)
<b>Annex 7:</b>	AMENDMENTS TO IMO INSTRUMENTS EXPECTED TO BE ACCEPTED AND TO ENTER INTO FORCE BETWEEN 1 JANUARY 2018 AND 1 JULY 2018



### 3. Verification of Obligations – III Code (Resolution A.1070(28))

- Part 1 – Common areas
  - Strategy;
  - Initial actions;
  - Communication of information; and
  - Records and improvement
- Part 2, 3 & 4 – Flag, port and coastal
  - Implementation;
  - Enforcement; and
  - review



## 4. Hydrographic Services – Obligations

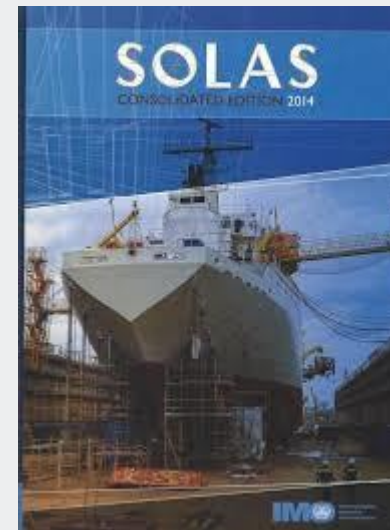
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### International Instruments

- SOLAS 1974, Chapter V (Safety of Navigation), Reg.9
- III Code (paragraphs 45-51)

### General obligations of Contracting Governments:

- to give effect to the provisions of the Convention and its annex
- to promulgate national laws
- to take all other steps to give full and complete effect
- implement policies and assign responsibilities for providing hydrographic services
- ensure observance of international rules on hydrographic services
- periodical evaluation of performance in providing hydrographic services



## 4. Hydrographic services – Obligations (contd.)

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### Instrument:

SOLAS 1974 regulation V/9 – Hydrographic services

### Specific responsibilities and obligations

- (i) Arrange for the collection and compilation of hydrographic data and the publication, dissemination and keeping up to date of all nautical information necessary for safe navigation in its waters;
- (ii) Carry out the nautical and hydrographic services, such as:
  - hydrographic surveying for safe navigation;
  - Preparation and issuance of nautical publications (e.g., nautical charts, sailing directions, lists of lights, tide tables);
  - Promulgation of notices to mariners to keep the nautical publications up to date;
  - Provision of data management services in support of the above.
- (iii) Maintain uniformity in charts, nautical publication and services
- (iv) Co-ordinate abovementioned activities to ensure timely, reliable and unambiguous hydrographic and nautical information.

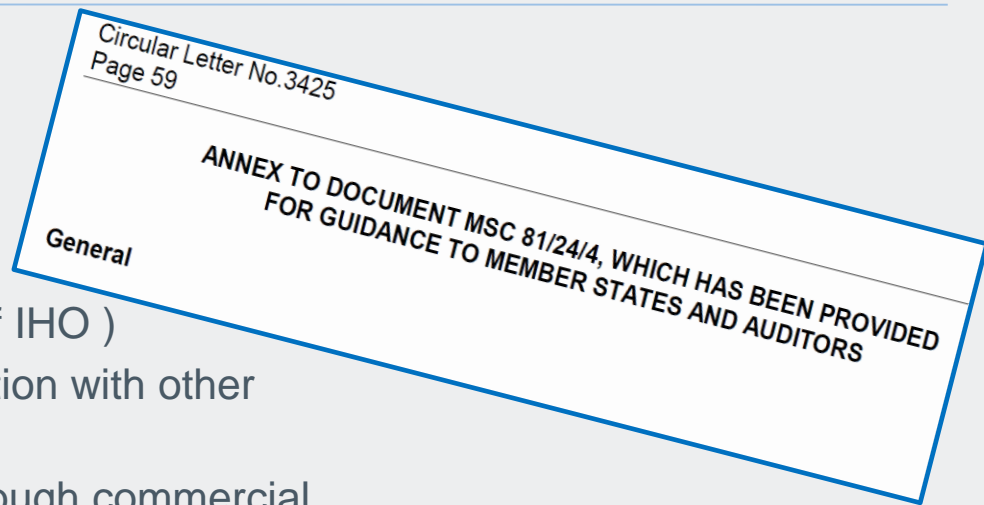
## 5. Hydrographic services – Standards applicable (IHO)

Guidance document :

Annex 3, IMO Circ. letter no.3425

Contracting Government obligations

- conduct hydrographic surveys (ref. S-44 of IHO )
- conduct hydrographic surveys in co-operation with other countries;
- if hydrographic surveys are carried out through commercial companies, ensure compliance with the standard (S-44);
- maintain and update information about the status of hydrographic surveys ( ref: S-55 of IHO ), such as
  - percentage of water surveyed (0-200 m depth)
  - percentage of water surveyed (greater than 200 m depth)
  - percentage of waters which requires resurveying
  - percentage of waters which has never been systematically surveyed



## 6. Coastal State obligations under IMSAS audit

Implementation, enforcement and review of the responsibilities and obligations on

- .1 radiocommunication services;
- .2 meteorological services and warnings;
- .3 search and rescue services;
- .4 hydrographic services;
- .5 ships' routing;
- .6 ship reporting systems;
- .7 vessel traffic services; and
- .8 aids to navigation.

(Ref: paragraphs 45-51 of the III Code)



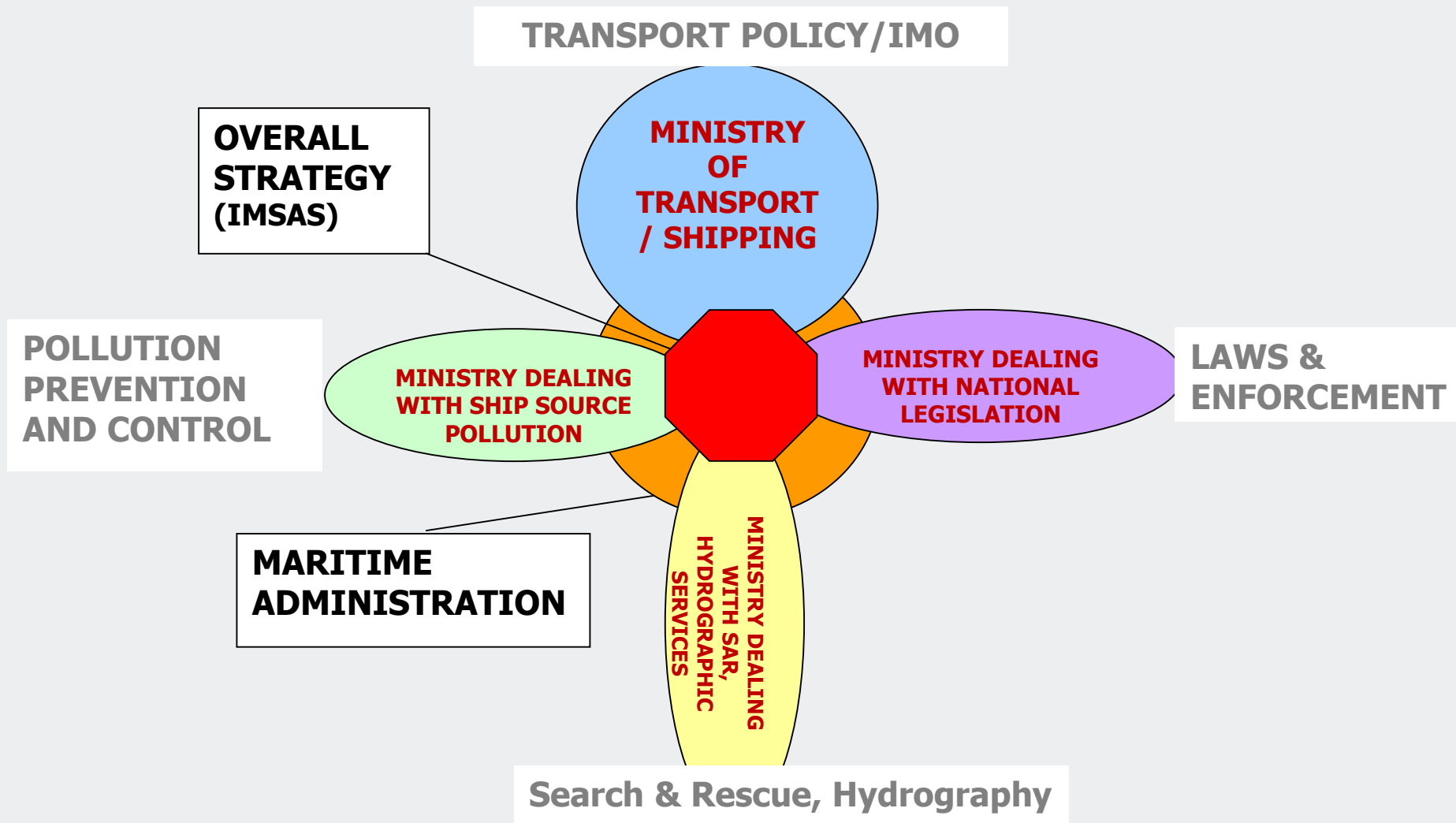
## 6. Coastal State Obligations (Hydrographic Services- IMSAS audit)

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### IMSAS audit verifies

- Who is the entity responsible for hydrographic services
- Official assignment of responsibility and legal provisions
- International standards being used
- How often the performance is evaluated and shortcomings addressed
- Details of co-operation agreements with other countries
- Current status of hydrographic surveying and nautical charting

# Coordination between States entities in fulfilling the obligations of a State



# THANK YOU

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