



IMO-OMI



UNEP-PNUE

REGIONAL MARINE POLLUTION EMERGENCY RESPONSE CENTRE
FOR THE MEDITERRANEAN SEA (REMPEC)



EURO-MEDITERRANEAN PARTNERSHIP

EUROMED COOPERATION ON MARITIME SAFETY AND PREVENTION OF POLLUTION FROM SHIPS
(SAFEMED)

EU-Funded MEDA Regional Project MED 2005/109-573



**WORKSHOP ON THE IMPLEMENTATION OF THE
VOLUNTARY IMO MEMBER STATE AUDIT SCHEME
(VIMSAS)**

**Corinthia San Gorg Hotel, Malta
4 - 6 March 2008**

SAFEMED Project Task 1.8 O

EUROMED
REPORT

INTRODUCTION

1. The Workshop on the Implementation of the Voluntary IMO Member State Audit Scheme (VIMSAS), hereinafter referred to as “the Workshop”, was held at the Corinthia San Gorg Hotel, St George’s Bay, St Julians, Malta from the 4 to the 6 March 2008. The Workshop was organised by the Regional Marine Pollution Emergency Response Centre for the Mediterranean Sea (REMPEC) within the framework of the MEDA Regional Project “Euromed Cooperation on Maritime Safety and Prevention of Pollution from Ships – SAFEMED” (MED 2005/109-573) financed by the European Community (hereinafter referred to as “the SAFEMED Project”).
2. The Workshop, identified as SAFEMED Task 1.8 O, was carried out under Activity 1 (Towards an effective flag State implementation and monitoring of classification societies) of the SAFEMED Project which is being implemented by REMPEC.

PARTICIPATION

3. The organisation of the Workshop and the participation at the Workshop of two representatives from the ten beneficiaries of the SAFEMED Project (Algeria, Egypt, Israel, Jordan, Lebanon, Morocco, Palestinian Authority, Syria, Tunisia and Turkey) was financed by the SAFEMED Project.
4. Besides the ten SAFEMED Project beneficiaries, the invitation to participate in this Workshop was also extended to all the other Contracting Parties to the Barcelona Convention for the Protection of the Marine Environment and the Coastal Region of the Mediterranean.
5. A total of twenty-two participants attended the Workshop: fourteen participants from eight SAFEMED beneficiaries and eight participants from the other Mediterranean coastal States not benefiting from the SAFEMED Project, namely seven participants from Malta and one from Monaco. The list of participants is given in **ANNEX I**.
6. Participants in the Workshop were Government officials primarily from ministries, and Governmental departments/agencies responsible for maritime affairs. The Workshop was organised so as to generate direct involvement from the participants and this resulted in a number of questions and fruitful exchanges during the proceedings. The fact that there was also simultaneous interpretation to/from the English, French and Arabic languages encouraged the participants, especially those from the Arabic-speaking countries which make the majority of the SAFEMED beneficiaries, to participate more fully throughout the Workshop.

OBJECTIVES

7. The main objectives of the Workshop were:
 - to promote the application of the VIMSAS, including the proposed EU legislation;
 - to familiarise participants with the VIMSAS and to provide them with the necessary knowledge on the operational framework for the application of the Scheme; and
 - to identify the assistance required by the SAFEMED Project beneficiaries and Mediterranean countries to volunteer for the Scheme.

WORKSHOP CONTENT AND SCHEDULE

8. The content and schedule of the Workshop were discussed and agreed upon with IMO prior to and as part of the preparations and organisation of the Workshop. The Programme and the selection of speakers and presentations were based upon the main objectives mentioned above. A copy of the Workshop programme is given in **ANNEX II** to

this report. A specificity of this Workshop were the interviews carried out separately for each delegation.

9. Seven speakers and interviewers participated in the Workshop. The speakers included Mr. Lawrence Barchue, Head, Member State Audit & Internal Oversight Office, International Maritime Organization (IMO); Professor Jens Uwe Schroeder, World Maritime University (WMU); Mr. George Christophi, Marine Surveyor at the Ministry of Communication and Works, Department of Merchant Shipping, Cyprus; Mr. Ioannis Efstratiou, Marine Surveyor A at the Ministry of Communication and Works, Department of Merchant Shipping, Cyprus; Mr. Daniel Warin, Administrateur, European Commission, DG TREN; Mr. Lawrence Sciberras, flag and port State control inspector at the Merchant Shipping Directorate of the Malta Maritime Authority and Mr. Philippe Bacquet, Chargé de mission qualité et sécurité, Direction des Affaires Maritimes, France. The complete list of lecturers and interviewers is included in the 'List of Participants' given in **ANNEX I**.

ORGANISATION AND LOGISTICS

10. REMPEC was responsible for the organisation of the Workshop.
11. The role of REMPEC included:
 - identification of a local hotel with fully equipped conference room and other facilities;
 - identification of interpreters (English/French/Arabic);
 - identification of a local supplier of interpretation equipment;
 - secretarial support;
 - invitation of participants;
 - preparation of the programme of the Workshop;
 - providing and making arrangements for the venue of the Workshop;
 - identification, selection and invitation of external speakers;
 - providing its own Workshop coordinator and moderator;
 - making necessary travel and accommodation arrangements for speakers and participants;
 - covering the costs of travel and daily subsistence allowance for speakers and participants;
 - providing lunch and coffee breaks for all the participants;
 - providing a Workshop documentation folder to all participants and speakers;
12. All the participants and speakers were provided with a Workshop documentation folder consisting of the following documents:
 - Copy of the final Programme of the Workshop;
 - Copy of the 'Information to Participants' Note;
 - Evaluation Form;
 - Provisional List of Participants;
 - Copy of the IMO A. Res. 974(24) – Framework and procedures for the Voluntary IMO Member State Audit Scheme, in the Arabic, English and French languages;
 - Copy of the IMO A. Res. 996(25) – Code for the Implementation of Mandatory IMO Instruments, 2007;
 - Copy of the Note A 25/8/1 by the IMO's Secretary General to the 25th Session of the Assembly on the Voluntary IMO Member State Audit Scheme Auditor's Manual, in the English and French languages;
 - Copy of the Note A 25/8/2 by the IMO's Secretary General to the 25th Session of the Assembly on the Voluntary IMO Member State Audit Scheme Consolidated Audit Summary Report, in the English and French languages.
13. The Workshop was held between the 4 and 6 March 2008 in one of the conference rooms of the Hotel Corinthia San Gorg, St. Julians, Malta where the speakers and SAFEMED participants were accommodated.

14. Like in all regional activities organised by REMPEC, the official languages of the Workshop were English and French. Hence all presentations were simultaneously interpreted into these two languages, namely English and French. In addition, Arabic simultaneous interpretation was offered in order to encourage interaction between participants and lecturers. This proved to be very useful to participants and facilitated exchange of view during the Workshop.
15. Mr. Jonathan Pace, REMPEC's Senior Programme Officer and SAFEMED Project Coordinator, acted as the coordinator of the Workshop and was responsible for ensuring its smooth running. The preparations were carried out by Mr. Albert Bergonzo, SAFEMED Project Officer (Maritime Administration) with the assistance of Captain Joseph Zerafa, SAFEMED Project Officer (Maritime Safety).

PRESENTATIONS

16. The first presentation on Day 1 was delivered by **Mr. Jonathan Pace**, Senior Programme Officer at REMPEC, entitled 'The role of the SAFEMED Project in the preparation of Mediterranean partners for the Audit Scheme'. Mr. Pace provided a comprehensive overview of the initiatives taken within the framework of the SAFEMED Project in the field of flag State implementation. These initiatives included inter alia the preparation and collection of information on the status and resources of the beneficiaries' maritime administrations, through the filling and/or updating of the IMO Self-Assessment Form (Task 1.1 P & 1.2 P) and the commissioning of two desk studies destined to become references on possible standard models for flag State administrations (Task 1.4 O) and on a framework for the adequate monitoring of classification societies (Task 1.7 O). Following this line, the VIMSAS Workshop was the logical next step, on top of these deliverables, in the Project's Activity on flag State implementation.
17. The second presentation entitled 'The case for the Voluntary IMO Member State Audit Scheme' was presented by **Mr. Lawrence Barchue**, Head, Member State Audit & Internal Oversight Office, International Maritime Organization (IMO). Mr. Barchue presented first the roles and responsibilities of the various stakeholders: IMO, flag States, Recognised Organisations (ROs) and shipping companies. He described how, given the increasing need to measure the effectiveness of IMO standards in view of the competitiveness of the economic environment and the lack of uniformity in enforcing the international treaties, IMO has adopted new tools for performance benchmarks, first with the Self-Assessment Form, and now with the Voluntary Audit Scheme. He detailed the role of the IMO in the Scheme, and emphasised the principles underlying its implementation.
18. The third presentation, entitled 'Scope covered by the Audit scheme (Code for the implementation of mandatory IMO instruments)', was delivered by **Professor Jens-Uwe Schroeder**, from the World Maritime University (WMU). Professor Schroeder outlined the different sections of the Code, detailed what maritime administrations can do and must do, in their capacities as flag State, port State and coastal State, their duties, and what enforcement means in practice in order to meet obligations.
19. The next presentation, entitled 'The expected benefits of the Audit Scheme for Member States', was delivered by **Mr. George Christophi**, Marine Surveyor at the Department of Merchant Shipping of the Ministry of Communication and Works, Cyprus. Mr. Christophi detailed how the VIMSAS can result in an increased productivity, better allocation of resources, improved cooperation between all stakeholders within administrations, resulting in more efficient policy-making and elaboration of a strategy. He concluded by pointing out that member States can indeed expect large benefits from the Audit, and that better flag State performance results in turn lead to increased safety at sea.
20. The last presentation on Day 1, entitled 'Training of auditors and the new auditor's manual' was also delivered by **Mr. Lawrence Barchue**. Mr. Barchue explained to the

participants the responsibility of the Secretary-General of the IMO in ensuring that audit team members meet the required standards in the performance of their duties as auditors and how this resulted in a series of training courses organised in various regions of the world. He then presented in detail the auditor's manual, intended to be used as general guidance and designed to ensure consistency in the evaluation of volunteering IMO Member States.

21. The first presentation on Day 2, entitled 'EU policy regarding the Audit Scheme' was delivered by **Mr. Daniel Warin**, Administrateur, European Commission, DG TREN. In his introduction, Mr. Warin emphasised the support of the European Union for the Audit Scheme and informed the audience of the on-going debate within the EU regarding the possible adoption of a mandatory audit scheme requirement for EU Member States.
22. The next presentation entitled 'The Audit process' was delivered by **Mr. Lawrence Sciberras**, flag and port State control inspector, Malta Maritime Authority. Mr. Sciberras, in this presentation, covered the various stages of the Audit and emphasised the logic of the process, from the initial planning to the corrective action plan, records and follow-up, and how preparation was essential for the success of the operation. He described the role of the various parties and how interaction between stakeholders is ensured through the cycle of meetings and reports.
23. The third presentation for the morning of Day 2 entitled 'Volunteering for the Audit Scheme and requesting Technical Cooperation assistance' was delivered by **Mr. Lawrence Barchue** of IMO. In this presentation, Mr. Barchue went into detail about the assistance provided by IMO to Member States who so require, not only for the preparation but also to address the findings of the audit. IMO may provide assistance during the various stages of the process but also, beyond the national audit, by creating a network of exchange of information. This question of assistance is of direct interest to the SAFEMED beneficiaries
24. **Professor Jens-Uwe Schroeder** then delivered a presentation entitled 'Pre-audit preparations for the administrations'. In this presentation, Professor Schroeder informed participants of the various steps to take before the actual audit takes place, using Res. A 974(24) as the regulatory framework to be followed by IMO Member States volunteering for the audit. Professor Schroeder detailed the procedures to be followed and proposed prior measures to implement within the administration.
25. The previous presentations focused on the theoretical side of the audit and the regulatory framework. Thus, it seemed interesting, as the Workshop progressed, to obtain feedback from a Mediterranean IMO Member State, and also an EU Member State, that volunteered for the audit. To that effect, **Mr. George Christophi** and **Mr. Ioannis Efstratiou**, Marine Surveyors at the Department of Merchant Shipping of the Ministry of Communication and Works, Cyprus shared their experiences with the participants, first regarding the preparatory phase of the Audit, and then on the follow-up to the audit. Among the salient points of the presentations were the fact that this is not an exercise limited to the Maritime Administration but which involves the political authorities and other Government agencies, that the preparatory phase, prior to the on-site presence of the auditors, is an essential one, and that the outcome of the audit and follow-up need to be appropriated by all stakeholders.
26. During the afternoon of Day 2, interviews with each delegation were conducted (Vide paragraph 28 hereunder).
27. Day 3, being the last day of the Workshop, began with a presentation entitled 'Corrective actions following the audit' that was delivered by **Mr. Lawrence Sciberras**. In his presentation, Mr. Sciberras, gave a detailed account of the moment when the corrective action plan should be elaborated and the content of the plan. From his personal experience as auditor, Mr. Sciberras gave a concrete example of a corrective action plan.

INTERVIEWS

28. In order to generate active participation from the participants, and considering that this was a Workshop, individual (in practice by delegation) interviews were held on the afternoon of Day 2. It was felt that during these interviews, participants would talk more freely and have more time to express themselves than in a round-table. The purpose of these interviews, based on the IMO Self-Assessment Forms that were filled in as part of Task 1.1 P of the SAFEMED Project, was to identify willingness and potential obstacles in volunteering for the audit scheme. Professor Jens-Uwe Schroeder was requested to lead the interviews, assisted by Mr. Lawrence Sciberras and Mr. Philippe Bacquet. Mr. Bacquet was specifically requested to carry out the interviews with the French-speaking delegations. All three interviewers are experienced Audit Scheme auditors. After the end of Day 1 of the Workshop, a meeting was held between the three interviewers in order to coordinate and ensure consistency during the interviews. The questions and the procedure to be followed during these interviews were agreed upon by the interviewers. After the interviews, Professor Schroeder produced a synthesis (see **Annex 3**) and presented the feedback from the interviews on Day 3 of the Workshop. This presentation was then the subject of discussion and debate.

PANEL DISCUSSION

29. The possible future evolutions of the Audit Scheme were the subject of a panel discussion that took place during Day 3 and which was led by Mr. Mario Mifsud from the Maltese delegation. The main issues that were raised related to making the Audit Scheme mandatory, widening the scope of the Audit, and how to make the Audit more accessible to developing countries. The general conclusion was that the transition from voluntary to mandatory may not necessarily be productive and that this issue required further in-depth consideration, as the purpose of the audit is not to blame Maritime Administrations but to promote a culture of maritime safety and this cannot be achieved without the consent of the maritime administrations. It was argued that a maritime safety culture cannot necessarily be obtained by imposing compulsory measures but by raising awareness and ensuring the commitment of Maritime Administrations. Also, a voluntary scheme allows preserving the sovereignty of IMO Member States, which is a basis for the functioning of intergovernmental organizations.

CONCLUSION

30. The participants were requested to complete the Evaluation Form at the end of the Workshop. All participants submitted their evaluation forms. Overall satisfaction was very high, as reflected in the following figures. According to the feedback obtained from these Evaluation forms, 56% of the participants confirmed that the Workshop went beyond their expectations while 44% stated that the Workshop met their expectations. As regards the quality and the contents of the presentations, 48 % of the participants stated that these were very good while another 44% said that these were good. Such a positive feedback was similarly reflected in other questions put to the participants on the Evaluation Form and also from the speakers themselves. A synthesis of the answers can be found in **Annex 4**.
31. It can safely be said that the Workshop was considered a success. In his closing remarks, **Mr. Lawrence Barchue**, Head of IMO's Member State Audit and Internal Oversight Section, congratulated REMPEC for organizing the Workshop which provided another dimension to understanding the Audit Scheme through the feedback of maritime administration officials and resource personnel involved in the implementation of the VIMSAS. He further stated that this type of workshops could perhaps also be replicated in other regions of the world.

ANNEX I

SAFEMED PROJECT WORKSHOP ON THE IMPLEMENTATION OF THE VOLUNTARY INTERNATIONAL MARITIME ORGANISATION MEMBER STATE AUDIT SCHEME

Malta (4-6 March 2008)

REVISED FINAL LIST OF PARTICIPANTS

| <u>PARTICIPANTS</u> | | | | | |
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ANNEX II

WORKSHOP ON THE IMPLEMENTATION OF THE VOLUNTARY INTERNATIONAL MARITIME ORGANISATION MEMBER STATE AUDIT SCHEME

Malta, 4-6 March 2008

PROGRAMME

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|--------------|---------------------|
| DAY 1 | 4 MARCH 2008 |
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Theme I: The Audit Scheme framework

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|---------------|---|---------------------------|
| 09.00 – 09.30 | Registration of participants | |
| 09.30 – 09.45 | Opening | |
| 09.45 – 10.00 | Introduction to the workshop/objectives/logistics | (REMPEC) |
| 10.00 – 10.30 | <i>Coffee break</i> | |
| 10.30 – 11.00 | The role of the SAFEMED Project in the preparation of Mediterranean partners for the Audit Scheme | (REMPEC) |
| 11.00 – 12.00 | The case for the Voluntary IMO Member State Audit Scheme | L.D. Barchue (IMO) |
| 12.00 – 12.30 | Questions and discussion | |
| 12.30 – 14.00 | <i>Lunch</i> | |
| 14.00 – 15.00 | Scope covered by the Audit scheme (Code for the implementation of mandatory IMO instruments) | Prof. J.U. Schroeder(WMU) |
| 15.00 – 15.45 | The expected benefits of the Audit Scheme for Member States | G. Christophi (Cyprus) |
| 15.45 – 16.15 | <i>Coffee break</i> | |
| 16.15 – 17.00 | Training of auditors and the new auditor's manual | L.D. Barchue (IMO) |
| 17.00 – 17.15 | Questions and discussion | |

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| DAY 2 | 5 MARCH 2008 |
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| 09.00 – 09.30 | EU Policy regarding the Audit Scheme | D. Warin (EC) |
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Theme II: Preparation for the Audit Scheme

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| 09.30 – 10.00 | The Audit process | L. Sciberras (Malta) |
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| 10.00 – 10.30 | Volunteering for the Audit Scheme and requesting Technical Cooperation assistance | L.D. Barchue (IMO) |
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| 10.30 – 11.00 | <i>Coffee break</i> | |
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| 11.00 – 11.30 | Pre-audit preparations for the administration | Prof. J. U. Schroeder (WMU) |
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Theme III: Implementation of the Audit Scheme

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| 11.30 – 12.00 | Experience from countries (I) – Preparatory phase | G. Christophi – I. Efstratiou (Cyprus) |
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| 12.00 – 12.30 | Experience from countries (II) – Implementation and follow-up | G. Christophi – I. Efstratiou (Cyprus) |
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| 12.30 – 12.45 | Questions and discussions | |
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| 12.45 – 14.00 | <i>Lunch</i> | |
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| 14.00 – 15.30 | Individual interviews | P. Bacquet (France) / J.U. Schroeder(Germany) / L. Sciberras (Malta) |
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| 15.30 – 16.00 | <i>Coffee break</i> | |
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| 16.00 – 17.00 | Individual interviews | P. Bacquet (France) / J.U. Schroeder(Germany) / L. Sciberras (Malta) |
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| DAY 3 | 6 MARCH 2008 |
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Theme IV: Follow-up

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| 09.15 – 10.00 | Corrective actions following the Audit | L. Sciberras (Malta) |
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| 10.00 – 10.30 | <i>Coffee break</i> | |
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| 10.30 – 11.30 | Future evolutions of the Audit Scheme | Panel discussion |
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| 11.30 – 11.45 | Questions and discussion | |
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| 11.45 – 12.45 | Feedback from interviews | Prof. J.U. Schroeder (WMU) |
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| 12.45 – 14.15 | <i>Lunch</i> | |
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| 14.15 – 14.45 | Concluding remarks | F. Hebert (Director of REMPEC) |
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ANNEX III

Workshop on the Implementation of the Voluntary IMO Member State Audit Scheme (VIMSAS)

Malta, 4 – 6 March 2008

Summary of Feedback on the Voluntary Member State Audit Scheme provided by Workshop Participants

Introduction

1 The Regional Marine Pollution Emergency Response Centre for the Mediterranean Sea (REMPEC) hosted the above mentioned workshop as part of the activities within the Euromed Cooperation on Maritime Safety and Prevention of Pollution from Ships (SAFEMED) project. In this respect participants from 10 Mediterranean countries that have not yet volunteered for the VIMSAS (Algeria, Egypt, Israel, Jordan, Lebanon, Malta, Monaco, Morocco, Tunisia, Turkey) were invited in order to discuss about the consequences of the VIMSAS for their respective countries.

2 The workshop consisted of a three day program. During the first day various aspects of the Code were introduced. This refers in particular to the contents of the Code, training aspects for auditors and the general procedures involved in an audit. On day two experiences were shared (by representatives of Cyprus) with regard to the involvement into an audit process and the outcome for this particular IMO member State.

3 At the end of day 2 the participants of the workshop were asked to provide a personal feedback on the Code and the other issues discussed during the workshop. A summary of the feedback provided was introduced on the final day of the workshop and approved by the participants. This document provides the summary of this feedback.

Methodology used

4 The interviews were carried out by three invited experts from Malta, France and Germany. Each expert interviewed 3 three respectively 4 delegations. The interviews were conducted separately and full confidentiality had been assured to the interviewees. The objective of the interviews was not to receive official statements on behalf of member States of IMO. The sole purpose was to receive personal feedback provided by individuals working in maritime administrations and potentially being affected by an IMO member State audit.

5 The interviewers used a fixed set of questions that was agreed before the workshop in order to enable a comparison of the feedback provided by the participants. Due to the shortage of available time (45 minutes for each interview) it was agreed that the questions should be considered as guidance. Deviations or omissions to a certain degree, if necessary, were possible.

6 The questions are shown in Appendix 1 of this paper and focused on the following main areas:

- .1 Personal feelings about VIMSAS
- .2 Benefits of VIMSAS
- .3 Authorities involved in an audit
- .4 Possible problems during an audit
- .5 Likelihood of an audit

Feedback provided in the interviews

General remarks

7 All interviews were carried out in an open, positive and constructive atmosphere. The interviewers wish to thank the participants for their cooperation and valuable feedback provided.

Principal findings

8 None of the interviewees rejected the Code and the Auditing scheme. A number of countries are already committed to volunteer for the audit in a foreseeable time.

9 The majority of participants welcomed VIMSAS and saw benefits in the Code and the auditing scheme. These benefits are various and often depend on the situation of the country of the individual participant. However, a majority of participants also pointed out a number of practical problems with regard to the acceptance of the Audit Scheme and the preparation for the Audit.

10 The majority of participants pointed out that the external verification of the arrangements is helpful. A number of participants raised the issue that external audits could raise the internal awareness for maritime improvement needs in a more effective way as this currently might be the case.

11 It was also pointed out by a number of participants that extensive support in the preparation is needed. Here any help offered by IMO or the current SAFEMED initiative would be highly appreciated. Specific support, however, need to be determined on an individual level.

12 During the workshop a number of times the question was raised if the audit scheme will become mandatory. Although the IMO representative pointed out that currently no such discussions are undertaken within IMO, the representative of the Commission indicated that for EU member States such an obligation could be imposed. It was mentioned by participants that it is – neither on IMO nor on EU level – too early to discuss the obligation for an audit at this stage after just 20 audits conducted.

13 It was also mentioned during the interviews that the framework should be amended in order to avoid that member States consider this a one time experience and in order to avoid that it is conveniently possible to return to a pre-audit status, where not all obligations are met and some of the corrective actions suggested in connection with an audit can be withdrawn.

Personal feelings about the Code

14 When asked about the personal feelings with respect to the Code the majority of participants considered this as a very positive initiative. It was stated that specifically the guidance provided through the Code is very helpful. The Code and especially the Annex provides a clear overview about the requirements applicable to flag, coastal and port State administrations. It was mentioned by one interviewee that the Code as such can be taken as a guideline for training of new personnel entering maritime administrations.

15 In this respect the element of clarifying and communication of relationships with other authorities involved in the maritime sector of a member State as well as the specific requirement to develop a strategy to implement and enforce the international mandatory instruments was welcomed by the majority of interviewees.

16 Although the Code suggests clear and documented procedures as well as the review of performance of a member State it is not specifically suggested to be implemented as a quality insurance system. A few participants felt that this should be underlined more precisely.

Benefits of the Code

17 The expected benefits of the Code in the countries of the interviewees are very different and depend to a large extent on the individual situation in the different countries. It is therefore not possible to provide for a general trend in feedback given. The most frequently mentioned issues were that the Code and an audit will certainly help to raise awareness for maritime issues within the administrations. Maritime business is not always given a high priority. The Code can help here in pointing out that dedicated efforts and suitable resources are required in order to meet the international obligations of IMO member States.

Authorities involved in an Audit

18 The maritime sector in all countries represented during the workshop differs in terms of organization and number of authorities involved. Often different ministries are charged with a number of tasks under the mandatory instruments of the Code. Most likely the Ministries of Transport and Environment are involved. However, in a number of countries the Ministry of Defense (e.g. for SAR tasks) and the Foreign Office (for the legal processes involved in becoming a party of an international instrument) is involved as well.

19 In most countries the Ministry of Transport is in the position to coordinate the formalities to volunteer for an audit. However, this will usually only be undertaken on the initiative of the individual unit responsible for maritime affairs (i.e. the Directorate General for Maritime Transport in most of the cases). In some countries different procedures apply. A number of countries have already decided to volunteer, as previously mentioned.

20 More specific details on the organizational structure in the individual countries are given in a number of country reports that have been written in the SAFEMED project in 2006. The level of co-operation between different authorities involved in the maritime sector varies from country to country. During the interviews examples of well documented structures and organized relationships between different Ministries were given, as well as reports about problems, underestimation of the importance of the shipping business, as well as reports about currently ongoing initiatives to restructure the maritime administrative sector.

21 On the question with regard to the audit schedule all participants pointed out that an audit is possible with a maximum of 3 auditors within 5 days.

Possible problems during an Audit

22 Although no participant envisaged significant problems during an audit a number of problems have been mentioned for the preparation of an audit. The most frequently mentioned issue was the need for external support in preparation of an audit. Also in the majority of the countries represented during the workshop financial implications for the preparation of the audit are a major concern. In a number of these countries the maritime administration is not very large and thus has limited funds. Therefore external help in this respect is a key to success. However, in order to use the full potential of the audit opportunity an internal realization of the importance of such an audit leading to the provision of suitable funds is needed as well.

23 Problems during an audit could result from the number of different authorities involved. It will be a challenge to generate the necessary understanding of the need to carry out the audit and to obtain the required commitment in order to perform the audit on the highest possible level.

24 Smaller administrations might have more problems following a 5 day audit program than larger administrations where dedicated personnel can be made available at any time.

Likelihood of an Audit

25 A majority of participants is convinced that their countries will volunteer in a very short period of time. A few countries have already made binding internal commitments to undergo the audit. Participants from two countries only expressed concerns or had no opinion about the likelihood of their country volunteering for VIMSAS.

26 Organizational changes currently undertaken in some represented countries could lead to delays in volunteering. Other reasons mentioned why the country would not volunteer at this stage were lacking finances, maritime affairs not having a high priority, as well as currently existing gaps in the implementation of national legislation in connection with international obligations of some countries represented during the workshop. Representatives of one country, however, pointed out that they would welcome to be audited at the current stage with all clearly visible problems of the Maritime Administration in order to get an external opinion about how to set administrative priorities and general advice on potential improvements.

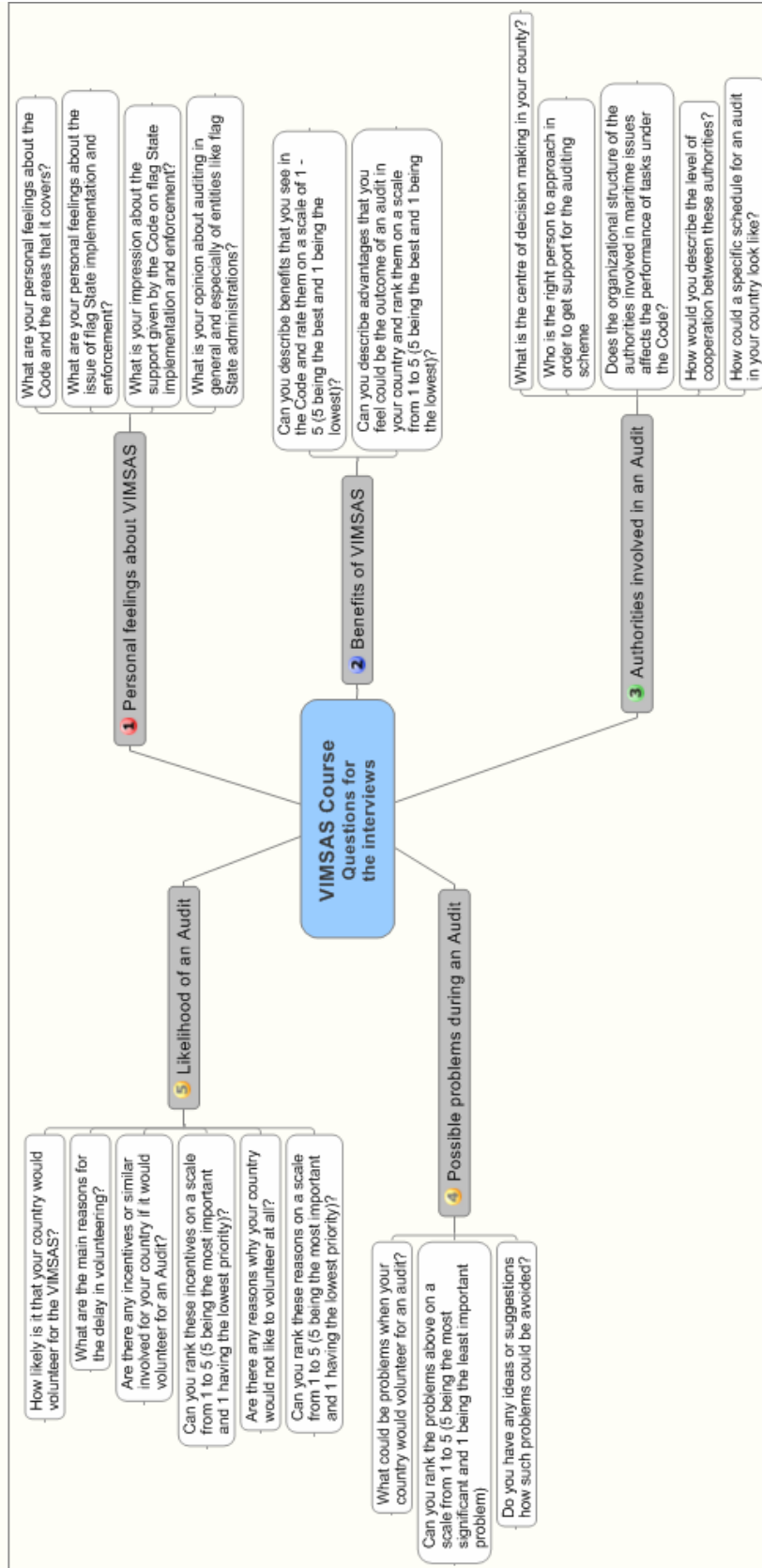
27 A number of participants had a clear idea about benefits resulting from the audit. Apart from a strengthened Maritime Administration in terms of importance within the maritime sector in the particular country as well as in terms of human and financial resources a number of additional benefits were mentioned. Often the issues of a more regulated and clarified structure/relationship between different entities involved in the maritime affairs in the individual countries represented was considered a benefit of the audit and of the Code. A few representatives pointed out that a successful audit would be in the economic interest of the maritime business of their countries. Successful participation in VIMSAS could serve as a quality recommendation to ship owners and could help raising/confirming the maritime attractiveness of these States. In this respect it was also mentioned by a number of

interviewees that the Code could help to demonstrate that individual countries are aiming to meet European maritime standards.

28 On the question why an individual administration would not like to volunteer a number of reasons have been mentioned. While there is a clear understanding of the benefits and opportunities involved with regard to VIMSAS and the Code among the participants of the workshop a political decision in the individual States is dependent on a number of other factors. In this respect issues of sovereignty, public perception and political will to undergo such an audit were mentioned. To volunteer for an audit depends often to a large extent on the initiative of maritime administrations. However, in order to succeed dedicated convincing of higher political levels as well as other important players (e.g. defense forces) in the national maritime sector is needed.

Appendix 1

Questions raised during the interviews



ANNEX IV

**WORKSHOP ON THE IMPLEMENTATION OF THE VOLUNTARY
INTERNATIONAL MARITIME ORGANIZATION MEMBER STATE AUDIT
SCHEME**

Malta, 4-6 March 2008

EVALUATION FORM (SYNTHESIS)

1. Did the Workshop meet your expectations?

Beyond your expectations : **56 %**

More or less on par with your expectations **44%**

Below your expectations

2. Generally speaking, how do you judge the content and quality of the lectures/presentations?

Very good **48%** Quite good **8%**

Good **44%** Not good enough

3. Did you acquire new knowledge during this Workshop?

Very much **70%**

Some **30%**

Not enough

4. Will the knowledge acquired during this Workshop help you in your current work?

Very much **70%**

Enough **30%**

No

5. Do you think that the duration of the lectures/presentations was adequate?

About right **82%**

Too long **9%**

Not long enough **9%**

6. Did you have enough time for questions?

Yes **87%**

No **13%**

7. Do you think that it was useful to have the individual interviews during this Workshop?

Yes **91%**

No **9%**

8. Generally speaking, are you satisfied with the Workshop?

Very satisfied **61%**

Satisfied **39%**

Unsatisfied