

## Appendix 2

### PRE-AUDIT QUESTIONNAIRE

The pre-audit questionnaire (PAQ) should be returned, duly completed, by the Member State to be audited, as soon as possible and not later than two months after receipt, and updated, as appropriate, not later than three months before the audit.

The structure of the PAQ is harmonized with the sections and provisions of the IMO Instruments Implementation Code (III Code) and this should be referred to when completing the form.

Any material provided may be used in the final report.

The Member State should keep the descriptions/answers clear and concise and, if more convenient, link the responses to appendices or documents attached to the PAQ containing descriptions, procedures, diagrams, etc. which are relevant for answering the questions in the PAQ and to illustrate the Member State's implementation of the applicable IMO instruments.

#### GENERAL INFORMATION

1	Name of State:	
2	Full contact details for the designated single point of contact for the audit:	
<b>Name and Title</b>		
<b>Address</b>		<b>Telephone No.:</b> <b>Fax No.:</b> <b>E-mail address:</b>

3 Full contact details of all government body(ies) covering the following areas of responsibility (when the responsibility is divided between more than one entity please insert details of each of the government bodies):

<b>Safety</b>						
	<b>Flag State</b>	<b>IMO instruments and main national laws/regulations the body has responsibility for</b>	<b>Coastal State</b>	<b>IMO instruments and main national laws/regulations the body has responsibility for</b>	<b>Port State</b>	<b>IMO instruments and main national laws/regulations the body has responsibility for</b>
<b>Name(s) of government body(ies)</b>						
<b>Address</b>						
<b>Website</b>						
<b>Environmental Protection</b>						
	<b>Flag State</b>	<b>IMO instruments and main national laws/regulations the body has responsibility for</b>	<b>Coastal State</b>	<b>IMO instruments and main national laws/regulations the body has responsibility for</b>	<b>Port State</b>	<b>IMO instruments and main national laws/regulations the body has responsibility for</b>
<b>Name(s) of government body(ies)</b>						
<b>Address</b>						
<b>Website</b>						

4 Please provide a description, preferable as an organogram and/or a diagram, depicting the area of responsibility of each of the above-mentioned government bodies (responsibilities should be described according to the general obligations emanating from the IMO instruments).

5 Please indicate the number of employees of each relevant government body by category and by location (repeat the table as many times as necessary). Include any additional explanations regarding number and location of employees.

Category	No. of employees	Location
Flag State surveyors/inspectors/auditors		
Port State control officers		
Investigators		
Management		
Support Staff		

6 Please indicate the number of ships on your State's register according to the following types and the nature of the trade in which they are involved. Please provide the information separately for each register, where applicable.

	Number	Nature of Trade
Passenger		
Cargo		
Fishing		
Other		

7 Please indicate the number and location of ports in your State according to the following types.

	Number	Location(s)
Passenger		
Cargo		
Other		

8 Please provide information on any relevant organizations and/or entities fulfilling functions required by the mandatory instruments, their relationship to the maritime administration and details of the functions they provide.

**(PLEASE USE III CODE AS A GUIDE WHEN COMPLETING THIS PAQ AFTER THIS POINT)**

### **PART 1 – COMMON AREAS**

#### **Strategy (paragraphs 3 and 9)**

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.

### **General (paragraphs 4 and 5)**

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| 10 | Please describe how your State:<br>.1 develops and promulgates legislation and takes all other steps to give the applicable IMO instruments full and complete effect (include a flow chart); and<br>.2 incorporates amendments to IMO instruments into national legislation. |
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### **Scope (paragraphs 6 and 7)**

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| 11 | Please provide INDIVIDUALLY FOR EACH OF THE INSTRUMENTS:<br>.1 the number of equivalents/exemptions issued under this instrument and reported, as appropriate, to the IMO; and<br>.2 whether information on national laws, etc. has been communicated to IMO. |
| 12 | Please describe how policies are developed to implement legislation, including administrative procedures and examples thereof.  |

### **Records (paragraph 10)**

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| 13 | Please describe which records are retained and for what period. |
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### **Improvement (paragraphs 11 to 14)**

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| 14 | Please describe how your State:<br>.1 stimulates a culture which provides for improvement of performance in relevant maritime activities;<br>.2 identifies and eliminate the root causes of any non-conformities; and<br>.3 anticipates potential non-conformities in order to prevent their occurrence. |
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## **PART 2 – FLAG STATE**

### **Implementation (paragraphs 15 and 16)**

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| 15 | Please describe how your State assigns responsibilities for implementing relevant legislation and national policies including how these are periodically reviewed.  |
| 16 | Please describe how your State develops or implements:<br>.1 an independent audit and inspection programme for ships entitled to fly the flag; and<br>.2 guidance for those requirements in the IMO instruments that are to "the satisfaction of the Administration". |

### **Delegation of authority (paragraphs 18 to 21)**

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| 17 | List the recognized organizations (ROs) and/or nominated surveyor(s) that are appointed to act on behalf of your State for conducting surveys, inspections and audits, issuing of certificates and documents, marking of ships and other statutory work required by the IMO instruments. |
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18 Please provide a matrix indicating which functions (plan approvals, surveys, certification, exemptions and equivalent arrangements) have been delegated. The formal agreements or equivalent arrangements with ROs should also be attached.

19 Please describe how your State maintains oversight of the functions delegated to ROs and/or nominated surveyors.

#### **Enforcement (paragraphs 22 to 27)**

20 What enforcement actions has your State undertaken during the preceding twelve months where breaches of provisions of the IMO instruments have been identified.

21 Please describe how your State:

- .1 follows up on detentions of ships entitled to fly its flag;
- .2 ensures that international certificates are only issued or endorsed to a ship when it is determined that the ship meets all applicable requirements; and
- .3 ensures that an international certificate of competency or endorsement is only issued to a person when it is determined that the person meets all applicable requirements.

#### **Flag State surveyors (paragraphs 29 to 36)**

22 Please describe your State's requirements for the following:

- .1 surveyor/inspector/auditor/investigator recruitment criteria; and
- .2 the initial and in-service training requirements for surveyors/inspectors/auditors/investigators.

#### **Flag State investigations (paragraphs 40 and 41)**

23 Please describe how your State:

- .1 maintains records, databases, etc. of the number of accidents involving personal injuries, occupational accidents and casualties to ships, and pollution incidents that are investigated by your State and/or other States during the last two years;
- .2 ensures that investigations are impartial and objective;
- .3 ensures reportable personal injuries, accidents and casualties are reported and the criteria for determining what is reportable;
- .4 ensures that accidents, casualties and injuries are investigated and the criteria for determining what to investigate; and
- .5 reports accidents and casualties to IMO.

#### **Evaluation and review (paragraphs 42 to 44)**

24 Please describe how your State evaluates its performance in meeting the requirements of the IMO instruments. In particular, evaluation of detention rates, inspection results, casualty statistics, communication processes, annual loss statistics and other performance indicators.

## PART 3 – COASTAL STATE

### Implementation (paragraphs 45 to 48)

- 25 Please describe how your State fulfils the following:
- .1 promulgating navigational warnings and dangers to navigation;
  - .2 establishment and maintenance of any navigational aids 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
  - .7 any other measures undertaken by your State to evaluate its effectiveness in implementing the above provisions.
- Please describe, if applicable:
- .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;
  - .9 any IMO maritime traffic routing system or restricted area within waters under the jurisdiction of your State and how it is managed; and
  - .10 any reporting system or VTS system adopted by IMO that is within your State.

### Enforcement (paragraph 50)

- 26 Please describe how your State fulfils the requirements of the III Code for:
- .1 considering, developing and implementing a control and monitoring programme;
  - .2 the timely response to pollution incidents; and
  - .3 cooperating with other flag and/or coastal States for the investigation of maritime casualties.

### Evaluation and review (paragraph 51)

- 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.

## PART 4 – PORT STATE

### Implementation (paragraphs 52 to 56)

- 28 If applicable please indicate:
- .1 what legislation is in place permitting port State control to be undertaken on foreign ships visiting your ports and the procedures for undertaking them;
  - .2 the regional port State control regimes your State is affiliated to;
  - .3 the recruitment criteria and qualifications for port State control officers engaged in port State duties;
  - .4 the arrangements in place to enable port State control interventions to be transmitted "forthwith" to all parties concerned;

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| <ul style="list-style-type: none"><li>.5 how many port State control inspections have been carried out by your State over the last two years, and how do these relate to national and regional targets;</li><li>.6 whether your State has reception facilities for ship-generated wastes under the MARPOL Convention and provide details of this and the adequacy of these arrangements; and</li><li>.7 whether a register of fuel oil suppliers is maintained and who maintains it.</li></ul> |
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**Evaluation and review (paragraph 63)**

29	Please explain how your State evaluates its performance as a port State.
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