



Why a Quality Management System ?





Art 8

Directive 2009/21/EC

- **Quality management system and internal evaluation**
- 1. By 17 June 2012 each Member State shall develop, implement and maintain a quality management system for the operational parts of the flag State-related activities of its administration. Such quality management system shall be certified in accordance with the applicable international quality standards.
- 2. Member States which appear on the black list or which appear, for two consecutive years, on the grey list as published in the most recent annual report of the Paris Memorandum of Understanding on Port State Control (hereinafter the Paris MOU) shall provide the Commission with a report on their flag State performance no later than four months after the publication of the Paris MOU report.
- The report shall identify and analyse the main reasons for the lack of compliance that led to the detentions and the deficiencies resulting in black or grey status.





SAF, VIMSAS, III and QMS

- The IMO Conventions and UNCLOS have a large number of requirements placed on flag states, coastal states and port states.
- The Self Assessment Form (SAF) which was a tool which flag states were invited to complete and use as a measure of their own performance was the first IMO approach towards pushing flag states towards better compliance.





SAF, VIMSAS, III and QMS

- The Self Assessment Form didn't really improve flag state performance so the IMO introduced the Voluntary Flag State Audit Scheme. (VIMSAS) and invited flag states to volunteer for audit.
- As at September 2013 61 member states have been audited (including 5 dependent territories and 2 Associate members). This total represents 41% of the IMO membership.





SAF, VIMSAS, III and QMS

- The VIMSAS scheme remains voluntary and the IMO remain committed to seeing improved flag state performance.
- In December 2013 the 28th Assembly adopted the “III Code”. (IMO Instruments Implementation Code).





SAF, VIMSAS, III and QMS

- The III Code will be mandatory - the Assembly also adopted amendments to all the affected IMO Conventions to make use of the III Code mandatory for all member states.
- The III Code is not appreciably different from the previous Guidelines on the Implementation of Mandatory Instruments





Mandatory Audit Procedures

- The 28th Assembly also adopted the procedures on mandatory audits.;
- First states to be audited will be those which have not done VIMSAS – on a random draw.
- Then the states that have done VIMSAS in order of their VIMSAS audits
- Mandatory audits will be on a 7 year cycle.
- The audit standard will be III from now but will be applied pragmatically for those states that have prepared pre III.





III Code

- The III Code does not say that a Quality Management System is a requirement.





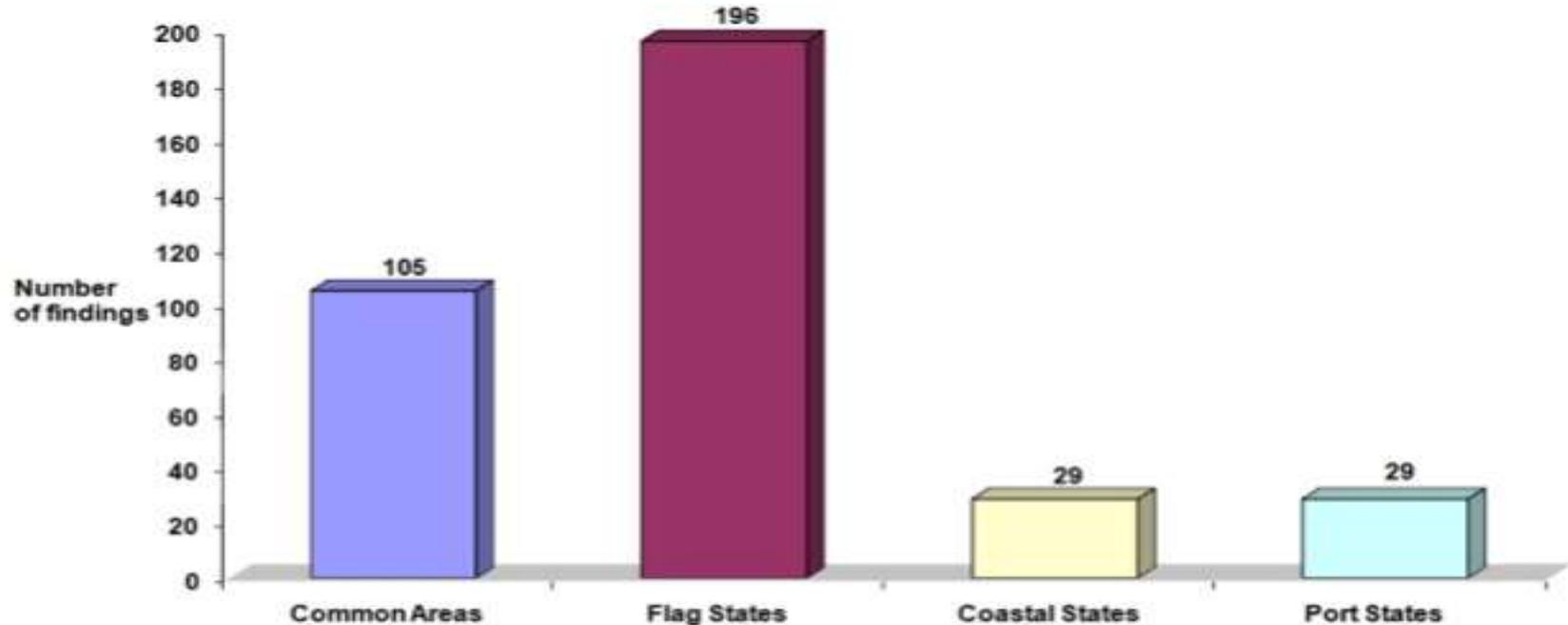
Results from VIMSAS Audits

- The IMO has analysed the findings from all the audit reports to date. (See FSI.20/Inf 16).
- Findings are grouped between “Common areas” (applicable to flag state roles, coastal state roles and Port state roles), and
- Separate flag, port and coastal state findings.





45 Audits - 26% of Member States

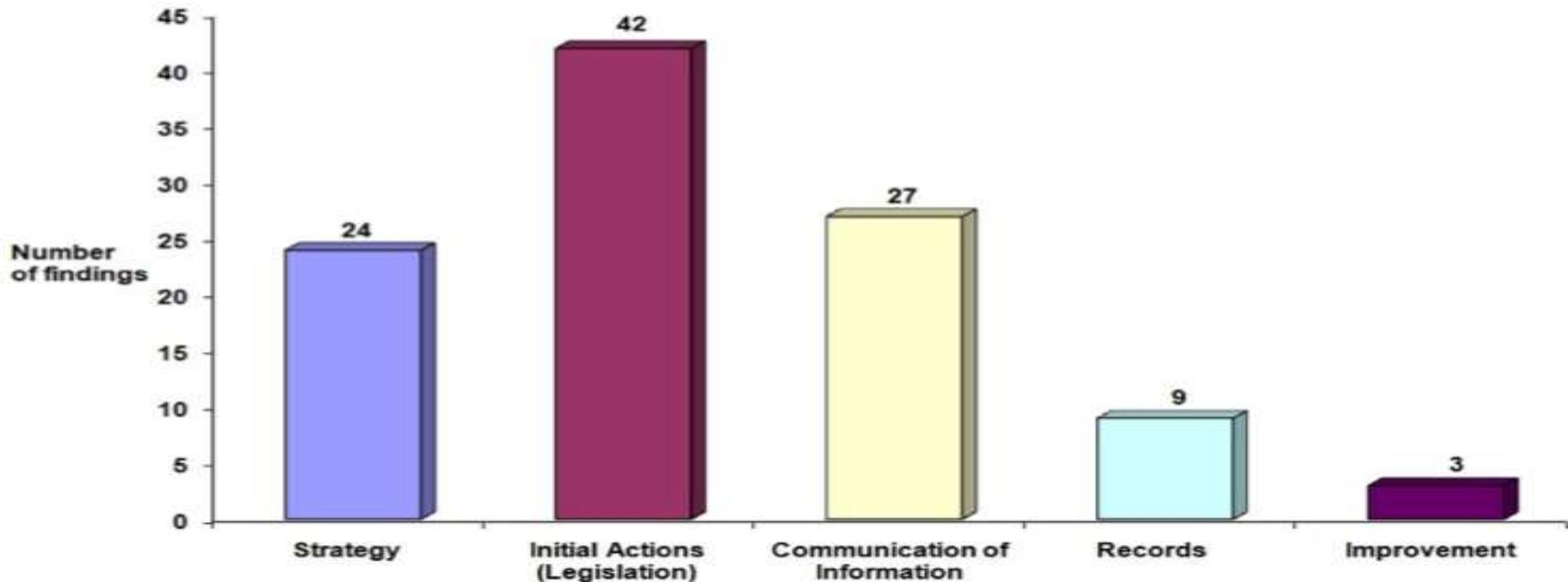


The Consolidated audit summary shows the degree to which “findings” are concentrated on common areas and on flag state activities.





PART 1 - COMMON AREAS



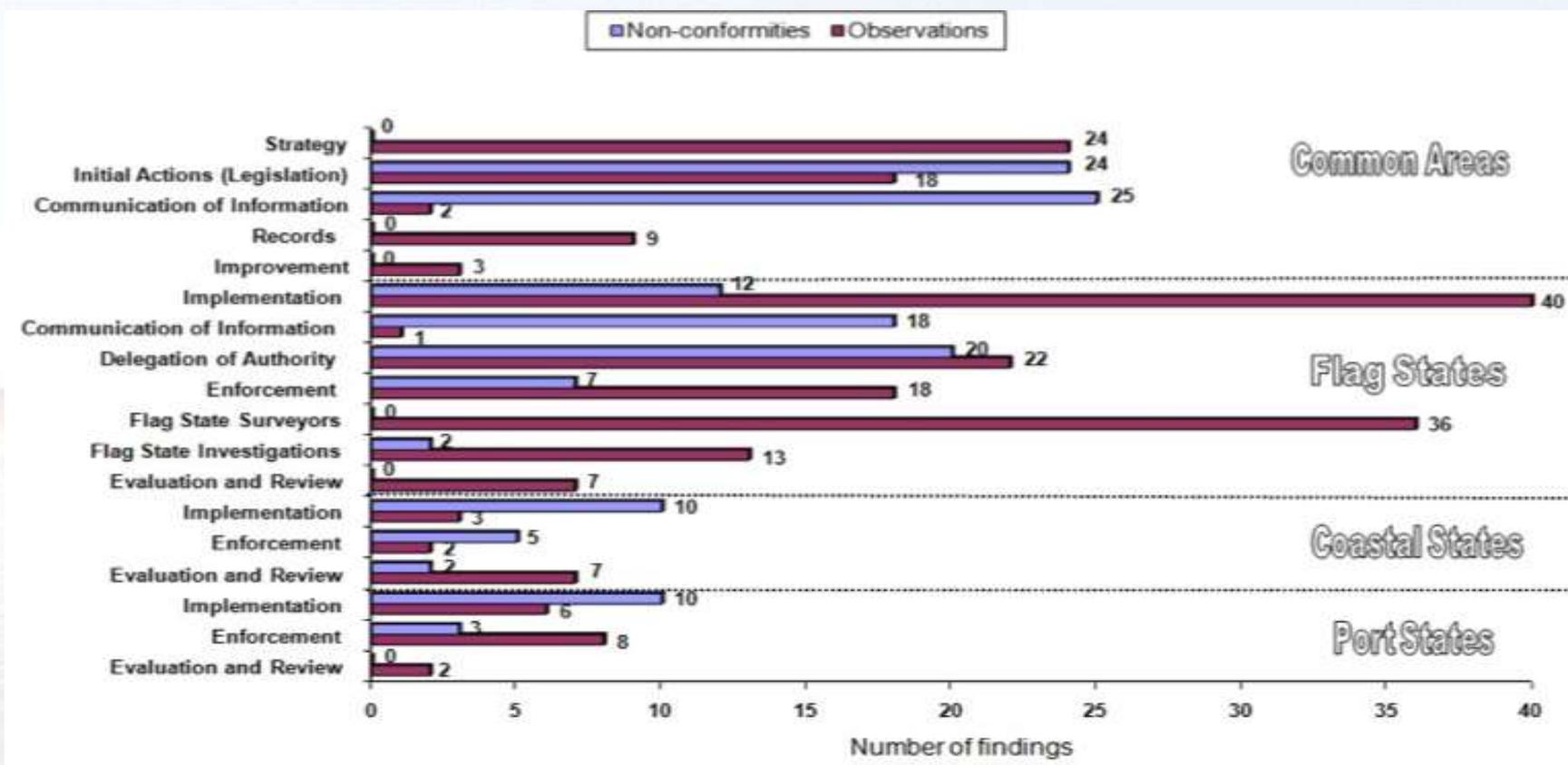
Spread of “Findings” in the common areas (From 45 audits)





TRACECA Maritime Safety & Security II

Contract No. 2012/308-311

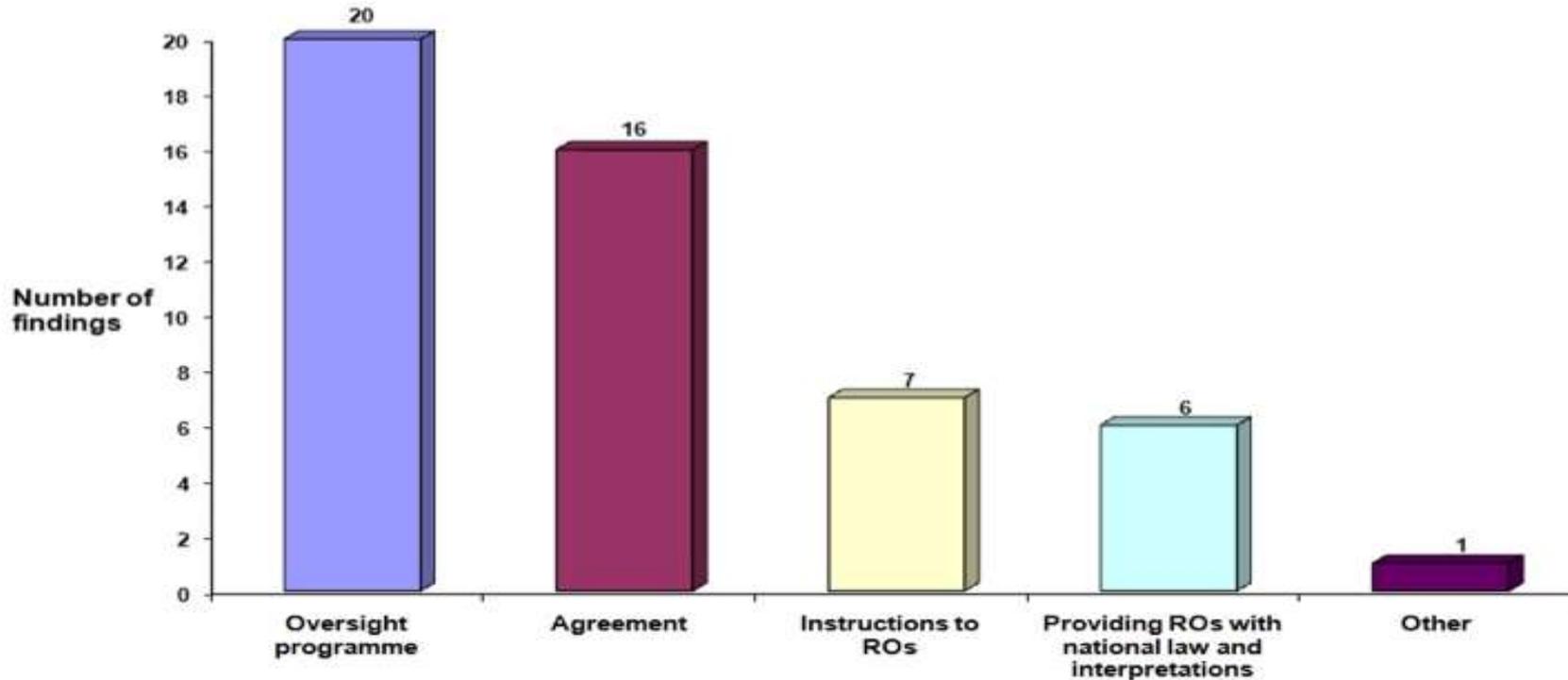


“Findings” by area of the Code.



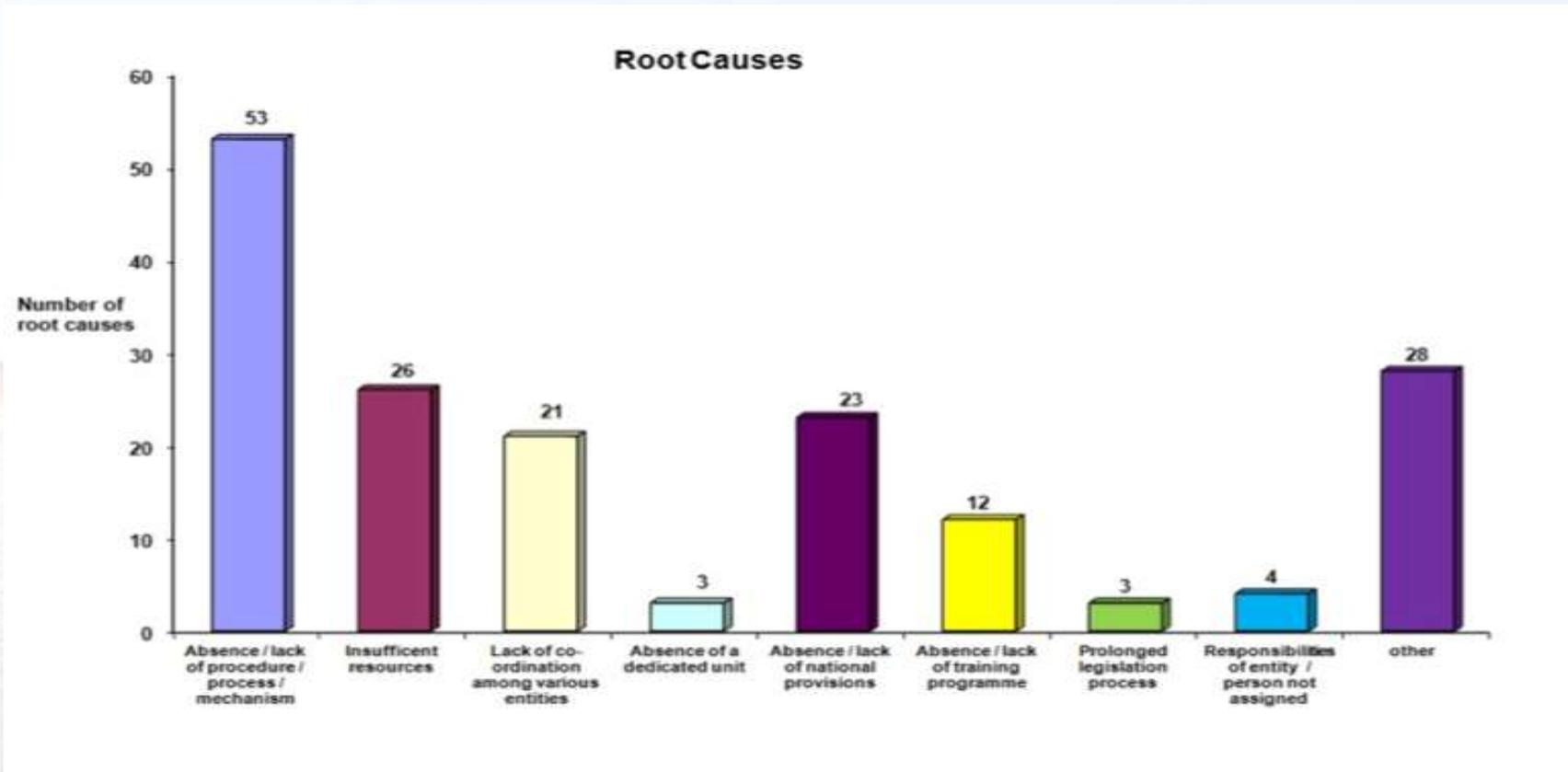


Delegation of Authority



Analysis of “findings” related to delegation of authority to recognised organisations.





Analysis of “Root Causes” 45 audits





The largest number of findings have their “root causes” in:

- absence or lack of a procedure,
- insufficient resources,
- lack of co-ordination amongst various entities,
- absence of national provisions,
- absence or lack of training programmes.

The ISO 9001 standard addresses at least four of these points.





ISO 9001/2008 General Requirements

- The Organization shall;
 - determine the processes needed for the quality management system and their application throughout the organization (see 1.2),
 - determine the sequence and interaction of these processes,
 - c) determine criteria and methods needed to ensure that both the operation and control of these processes are effective,
 - d) ensure the availability of resources and information necessary to support the operation and monitoring of these processes,
 - e) monitor, measure where applicable, and analyse these processes, and
 - f) implement actions necessary to achieve planned results and continual improvement of these processes.
 - These processes shall be managed by the organization in accordance with the requirements of this International Standard.

53 Findings from 45 audits highlighted a lack of procedures as the root cause.





Section 6.1 - Provision of Resources ISO 9001/2008

➤ Provision of resources

➤ The organization shall determine and provide the resources needed

- a) to implement and maintain the quality management system and continually improve its effectiveness, and
- b) to enhance customer satisfaction by meeting customer requirements.

26 Findings from 45 audits highlighted lack of resources as the root cause.





ISO 9001 - Management Commitment

➤ Top management shall provide evidence of its commitment to the development and implementation of the quality management system and continually improve its effectiveness by

- a) communicating to the organization the importance of meeting customer as well as statutory and regulatory requirements,
- b) establishing the quality policy,

21 findings from 45 audits highlighted lack of coordination amongst various entities as the root cause.





23 findings from 45 audits highlighted “Lack of National Provisions” as a root cause. ISO 9001 does not mandate a national strategy but it does say:

- The quality management system documentation shall include
 - a) documented statements of a quality policy and quality objectives, and

- Top management shall ensure that the quality policy
 - a) is appropriate to the purpose of the organization,





ISO 9001

Section 6.2.2 – Competence, training and awareness

➤ The organization shall

- a) determine the necessary competence for personnel performing work affecting conformity to product requirements,
- b) where applicable, provide training or take other actions to achieve the necessary competence,
- c) evaluate the effectiveness of the actions taken,
- d) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives, and
- e) maintain appropriate records of education, training, skills and experience (see 4.2.4)

12 findings from 45 audits highlighted lack of training programmes as a root cause.





Summary

- *Directive 2009/21/EC requires member states marine administrations to have a QMS – for flag state activities.*
- *The IMO's III Code contains mandatory requirements that can only be effectively met with a QMS for Flag, port and coastal state activities.*
- *The ISO 9001-2008 standard is the “best fit” for both requirements.*

