

**REVISED STANDARDS AND PROCEDURES FOR AUDITING THE PERFORMANCE OF  
LRIT DATA CENTRES AND THE INTERNATIONAL LRIT DATA EXCHANGE  
(LRIT AUDIT PROCEDURES)**

(Endorsed by the Assembly at its twenty-second session)

**1. Introduction**

1.1 The International Mobile Satellite Organization (IMSO) was appointed<sup>1</sup> by the Maritime Safety Committee (MSC) of the International Maritime Organization (IMO) as the **LRIT Coordinator** and assigned to perform the tasks specified in section 14 of resolution MSC.263(84), Revised Performance Standards and Functional Requirements for the Long-Range Identification and Tracking of Ships (Revised performance standards). These tasks include, but are not limited to:

- .1 reviewing the performance of the LRIT system in general;
- .2 auditing the performance of all LRIT Data Centres (DCs) and the International LRIT Data Exchange (IDE) based on their archived information; and
- .3 reporting its findings to the IMO Sub-Committee on Radiocommunications and Search and Rescue (COMSAR)<sup>2</sup> on an annual basis.

1.2 The purpose of these procedures is to set out general arrangements for the annual audit and review by the LRIT Coordinator of LRIT DCs and the IDE, and to specify detailed action to be followed.

1.3 The audit and review process will be carried out generally in accordance with the principles of ISO 19011:2002 on Guidelines for quality and/or environmental management systems auditing; and specifically in accordance with the Principles and guidelines relating to the review and audit of the performance of LRIT Data Centres and of the International LRIT Data Exchange (MSC.1/Circ.1412).

**2. Definitions**

2.1 For the purposes of these procedures, the following terms have the meanings attributed below:

**Audit**

The audit is the process of reviewing, analysing and evaluating the performance of all DCs and the IDE based on their archived information.

**Audit client**

The audit client is all Contracting Governments to the 1974 Safety of Life at Sea (SOLAS) Convention acting through the Maritime Safety Committee (MSC).

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<sup>1</sup> Resolution MSC.275(85), Appointment of the LRIT Coordinator

<sup>2</sup> Pursuant to the decision of MSC 89, the COMSAR Sub-Committee has been tasked to deal with the LRIT-related issues.

### **Auditor**

The auditor is the International Mobile Satellite Organization acting in its capacity as the LRIT Coordinator.

### **Auditee(s)**

The auditees are all LRIT Data Centres and the International LRIT Data Exchange.

### **Audit evidence**

Audit evidence is described in section 7 of this document.

### **Audit findings**

Audit findings are results of the LRIT Coordinator's evaluation of the collected audit evidence against the audit criteria.

### **Audit date**

Audit date is the date on which the LRIT Coordinator will begin the audit analysis and by which the LRIT Coordinator must therefore have received all the audit evidence.

### **Audit report**

Audit report is the outcome of an audit after consideration of the audit evidence and all audit findings. The report is issued in two versions: "comprehensive" and "summary". The audit reports should contain conclusions of the auditor as well as relevant comments by the auditee.

### **Revised Performance Standards**

The Revised performance standards are contained in resolution MSC.263(84), as amended "Revised Performance Standards and Functional Requirements for the Long-Range Identification and Tracking of Ships".

### **Technical specifications for the LRIT system**

The Technical specifications for the LRIT system are contained in MSC.1/Circ.1259; as amended, "Technical Documentation (Part I)".

### **Principles and Guidelines**

Principles and guidelines are contained in MSC.1/Circ.1412 - "Principles and Guidelines Relating to the Review and Audit of the Performance of LRIT Data Centres and of the International LRIT Data Exchange".

## **3. Audit objectives**

- 3.1 The objectives of the review and audit of the performance of DCs and the IDE are to:
  - .1 verify that the LRIT system operates in accordance with the provisions of SOLAS regulation V/19-1 and of the Revised performance standards, taking into account the related provisions of the Technical specification for the LRIT system and any relevant decisions of the MSC;

- .2 verify that DCs operate in accordance with the provisions of SOLAS regulation V/19-1 and of the Revised Performance Standards, taking into account the related provisions of the Technical Specification for the LRIT system and any relevant decisions of the MSC;
- .3 verify that Contracting Governments and Search and Rescue Services receive only the LRIT information they have requested and are entitled to receive;
- .4 verify that the IDE operates in accordance with the provisions of SOLAS Regulation V/19-1 and of the Revised Performance Standards, taking into account the related provisions of the Technical Specification for the LRIT system and any relevant decisions of the MSC;
- .5 identify any need for initiating corrective and/or preventative actions in the LRIT system; and
- .6 identify opportunities for improving the efficiency, effectiveness and security of the LRIT system.

#### **4. Audit criteria**

4.1 The main criteria for the audit are SOLAS regulation V/19-1 and the Revised performance standards.

4.2 The supplementary criteria are the Technical specifications for the LRIT system; guidance, guidelines and recommendations approved or adopted by the MSC in relation to the LRIT system; and instructions of the MSC to the LRIT Coordinator in connection with the review and audit of the performance of the DCs and of the IDE.

4.3 The documents specifying and setting out the main and supplementary criteria are listed in appendix 1 of the Principles and guidelines. As these documents are subject to amendment by IMO from time to time, it is essential that the latest versions are referred to.

#### **5. Audit scope**

5.1 The scope of the audit is limited to matters relating to the operation of the DCs and of the IDE to the extent that such matters can be reasonably and with confidence verified through the audit evidence.

5.2 Matters relating to the implementation of the provisions of SOLAS regulation V/19-1 and of the Revised performance standards by Contracting Governments are outside the scope of the audit. Specifically, all matters which would require the provision to the LRIT Coordinator of list(s) of ships which at any time are required to transmit LRIT information in accordance with the provisions of SOLAS Regulation V/19-1.4.1 are outside the scope of the audit.

5.3 Unless the MSC decides otherwise, the LRIT Coordinator is not required to audit the fee structures of DCs or of the IDE.

5.4 The audit may be performed through the analysis of a sample of audit evidence. However, the report is considered to cover the whole 12-month period between two consecutive anniversary dates of the auditee concerned unless otherwise stated in the audit report.

5.5 The audit criteria do not require an onsite visit to the physical location(s) of the auditee(s). However, if an auditee explicitly requests such a visit prior to audit planning, then the LRIT Coordinator may carry out a site visit and include its observations in the audit report. In this case, the auditee will be required to cover all the associated costs of the LRIT Coordinator for performing such visit in accordance with the LRIT Coordinator's Terms of Business and published charges.

## 6. Responsibilities

6.1 The LRIT Coordinator and the auditee should be well aware of the importance of the task they are about to perform and should act with care and professionalism when discharging their responsibilities related to the review and audit.

6.2 In this context, the LRIT Coordinator should:

- .1 conduct a fair, consistent, professional, independent and evidence-based audit;
- .2 discharge its responsibilities in relation to the audit in a timely manner;
- .3 cooperate and provide assistance to the auditee on any matters related to the audit;
- .4 establish communication with the auditee and provide the auditee with necessary information related to the audit;
- .5 make audit findings available to the auditee and seek contributions from the auditee within an established timeframe;
- .6 prepare a complete, accurate, concise and clear record of the audit and make copies available to the auditee;
- .7 submit a comprehensive report of the audit to the Secretary-General of IMO; and
- .8 submit a summary report of the audit to the COMSAR Sub-Committee for consideration.

6.3 On its part, the auditee will be expected to:

- .1 cooperate with the LRIT Coordinator and to discharge its responsibilities in relation to the audit in a timely manner;
- .2 conclude with IMSO an LRIT Services Agreement<sup>3</sup>, or contract incorporating the Statement of Goals and Objectives<sup>4</sup>, with respect to the legal, operational and financial commitments of the audit;
- .3 settle its financial obligations *vis-à-vis* IMSO in accordance with the provisions of IMSO LRIT Business Plan<sup>5</sup>;

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<sup>3</sup> Approved by the IMSO Assembly at its Twentieth Session, as may be amended.

<sup>4</sup> Approved by the IMSO Assembly at its Twentieth Session, as may be amended.

<sup>5</sup> Approved by the IMSO Assembly at its Twenty-Second Session, as may be amended.

- .4 cooperate and make available to the LRIT Coordinator the information and audit evidence required to enable the satisfactory completion of an audit of its performance;
- .5 determine and propose corrective actions to address any significant audit findings; and
- .6 keep the LRIT Coordinator informed of the status of its finding note(s).

## **7. Audit evidence**

7.1 The LRIT Coordinator will request the submission of audit evidence from DCs and the IDE in order to be able to undertake a review and audit of their performance.

7.2 The audit evidence required should, as a minimum, consist of:

- .1 replies to questionnaire(s) developed by the LRIT Coordinator taking into account the audit objectives, criteria and scope:

The Review and Audit Questionnaire is developed to be a practical and convenient way of collecting significant information from an auditee regarding its compliance with the audit criteria and to provide the auditee an opportunity to self-certify some of its obligations relating to the LRIT system. It will include questions relating to the management, infrastructure, technical and operational aspects of the DC or of the IDE, so far as they fall within the scope of the audit.

- .2 samples of LRIT information and samples of LRIT messages, including related samples of journals, where such ones are required:

All DCs subject to audit are required to provide at least one sample, which covers 30 consecutive calendar days (the 30-day sample), of their LRIT information and messages within the period which is to be covered by the audit. For the IDE, the 30-day sample data will consist of the IDE journals which include all the LRIT messages that the IDE handled during the sample period.

The LRIT Coordinator and the IDE operators have agreed on arrangements concerning provision of the IDE journals to the LRIT Coordinator on a regular basis to support audit of DCs and of the IDE.

- .3 statistics compiled by DCs and the IDE:

Auditees keeping statistics on LRIT related matters for their own use may provide these statistics to the LRIT Coordinator as part of the audit evidence so as to assist the LRIT Coordinator in its assessment. Depending on the content and size of the statistics and records that may be submitted, the LRIT Coordinator may request them to be provided as recorded on paper or on electronic media.

- .4 records of communications between the LRIT Coordinator and DCs and/or the IDE;
- .5 data and information contained in the production environment of the LRIT Data Distribution Plan (DDP):

The LRIT Coordinator has made arrangements with the DDP Server Operator for accessing the DDP Server on continuous basis for the purposes of performance review and audit.

- .6 data and information that may be obtained from search and rescue (SAR) services:

The LRIT Coordinator may seek to obtain audit evidence from search and rescue services associated with the auditee concerning their use of the LRIT system for SAR purposes, in particular the arrangements established for them to request and receive LRIT information that they are entitled to receive.

7.3 In order to protect the sample data whilst it is in transit from the auditee to the LRIT Coordinator, the LRIT Coordinator may from time to time establish recommendations on the means of transmission and encryption of electronic data.

7.4 The LRIT Coordinator has prepared guidance for the provision of LRIT sample data to the LRIT Coordinator for audit and review purposes and has made it available to all concerned through IMSO Circular LRIT/004/2010.

7.5 All audit evidence should be provided to the LRIT Coordinator in the English language and in electronic format, unless otherwise stated by the LRIT Coordinator.

7.6 The LRIT Coordinator will not normally submit any of the audit evidence itself for consideration by the COMSAR Sub-Committee. However, extracts from the audit evidence may be used in the audit reports.

7.7 The LRIT Coordinator has established internal security measures and procedures to ensure, so far as is possible, that all confidential audit evidence is protected from unauthorized access or disclosure from the time that it is received by the LRIT Coordinator. The security of any audit evidence remains the responsibility of the auditee until it is received by the LRIT Coordinator.

7.8 The LRIT Coordinator will retain and protect the 30-day sample data in a secure environment until the audit report has been considered and accepted by the COMSAR Sub-Committee, or after the resolution of any pending or outstanding issues or after the closing of any outstanding non-conformities, whichever is later. The LRIT Coordinator will then destroy the 30-day sample data and provide relevant information to the auditee concerned.

## **8. Audit planning**

8.1 In accordance with the terms of the Revised performance standards, all DCs and the IDE are subject to audit and review of their performance on an annual basis. Audits will be planned by the LRIT Coordinator based on the *anniversary dates* of each DC and of the IDE. For this purpose, anniversary dates of the IDE and DCs are calculated as follows;

- .1 For the IDE, 15 October of each year;
- .2 For a DC which participated in the prototype testing phase, the date when the DC become part of the production environment of the LRIT system; and
- .3 For a DC which has undergone, or is undergoing, or is to undergo, developmental and integration testing, the date when the DC has completed, or is to complete, the integration testing phase.

8.2 In addition, the anniversary date of an existing DC may, or may not, change in the way specified below if the DC concerned undergoes additional testing for any of the following reasons:

- .1 if an NDC is to start providing services to Contracting Government(s) other than that which established the centre – anniversary date remains unchanged;
- .2 if a NDC is to become a RDC or a CDC – anniversary date becomes the date on which the new testing was completed;
- .3 if a NDC that is already providing services to other Contracting Government(s), or a RDC or a CDC is to start providing services to Contracting Government(s) which was/were not included in previous testing – anniversary date remains unchanged; and
- .4 if a Contracting Government is to become part of the establishment of an existing RDC or CDC – anniversary date remains unchanged.

8.3 A list showing anniversary dates of all DCs participating in the LRIT system and the IDE is provided in Appendix. The LRIT Coordinator will keep this list updated should any of the information change.

8.4 The audit can be carried out within three months before or after the anniversary date provided that the period between two consecutive audits does not exceed fifteen months. If the audit is carried out within this six-month period, the anniversary date for the auditee will remain unchanged.

8.5 Exceptionally, a DC may request the LRIT Coordinator to conduct its audit on a date other than the anniversary date, or outside of the six-month period described above, provided that the first audit is not held more than fifteen months after the integration date. In such a case the new audit date should be considered thereafter as being the anniversary date. The LRIT Coordinator will inform the COMSAR Sub-Committee if this situation arises.

8.6 If the first audit of an auditee cannot be carried out within 15 months after its integration, or if the period between two consecutive audits exceeds 15 months, the auditee should remain liable to complete that audit, and pay the appropriate fee, at the earliest opportunity. This liability should accumulate until all outstanding annual audits have been completed. The LRIT Coordinator will inform the COMSAR Sub-Committee if this situation arises.

8.7 A DC or the IDE may still be liable for review and audit of its performance even after it has ceased its operations provided that it had been operational in the production system at least six months since its first integration or anniversary date, whichever applies.

8.8 At the last quarter of each calendar year, the LRIT Coordinator will prepare a preliminary annual audit schedule for the following year and make it available to all concerned for their information and suggestions, if any.

## **9. Finding Notes and Corrective Actions**

9.1 The LRIT Coordinator will evaluate the audit evidence against the audit criteria and generate audit findings. A finding note may arise when objective evidence of non-compliance is found with any of the audit criteria. Additionally, some finding notes can be issued to identify opportunities for improvement.

9.2 The LRIT Coordinator will determine and grade all audit findings under the following three categories:

- .1 **Observation:** Findings that have been identified through the examination of the audit evidence provided by the DC and which could lead to noncompliance with the audit criteria unless investigated and treated properly;
- .2 **Non-conformity:** Findings that have been identified through the examination of the audit evidence provided by the DC and were supported by objective evidence of deviation from the requirements of the audit criteria. These findings are considered as errors experienced in the functioning of the DC and may result in risk to the proper operation of the auditee unless investigated and treated properly; and
- .3 **Major Non-conformity:** Findings that have been identified through the examination of the audit evidence provided by the DC and were supported by objective evidence of systematic, deliberate and/or constant deviation from the requirements of the audit criteria. These findings are considered to pose a serious risk to the proper operation of the LRIT system, and of the auditee in particular, and should be corrected immediately.

9.3 All DCs and the IDE should keep the LRIT Coordinator informed should the situation referred in their finding note change. Not implementing the corrective actions in the agreed time frame, or failing to provide information to the LRIT Coordinator relating to implementation of the corrective actions on time, may lead to new finding note(s) being issued at the next audit.

9.4 In case any non-conformity is identified of such a nature the continuity of the LRIT system may be affected, the LRIT Coordinator will immediately inform all members of the LRIT Operational governance body<sup>6</sup> and provide them with sufficient information to enable them to determine what action should be taken to protect the integrity of the LRIT system.

## **10. Pre-audit arrangements**

### *10.1 Pre-Audit Letter*

10.1.1 Twelve weeks before the planned audit date, the LRIT Coordinator will send a notification letter (the Pre-Audit Letter) to the auditee detailing the dates, plans, procedures and methods to be followed for the successful completion of the audit. The Pre-Audit Letter will include a statement of the cost of the audit and expected schedule of payments.

10.1.2 The auditee is requested to acknowledge receipt of the Pre-Audit Letter within fourteen days after the date of issue, confirming (or otherwise) the proposed dates for the audit and the sample data, and providing relevant information for other matters highlighted in the letter.

10.1.3 The Auditee may propose changes to the proposed dates for the audit and the sample data by giving reasonable grounds for its request. The LRIT Coordinator should consider the request of the auditee and should communicate its final decision to the auditee within fourteen days after receiving the request. The auditee and the LRIT Coordinator should make every attempt to resolve any diverging opinions concerning the dates for the audit and for the sample data. However, if an agreement cannot be reached, then the

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<sup>6</sup> Established in accordance with MSC.1/Circ.1376 – “Continuity of Service Plan for the LRIT system”.

decisions of the LRIT Coordinator will prevail. Subsequently, the LRIT Coordinator will provide the auditee with the Review and Audit Questionnaire for completion.

## 10.2 *Submission of audit evidence*

10.2.1 All DCs and the IDE are responsible for making the requisite audit evidence available to the LRIT Coordinator in the right format and on time. Auditees should be aware that the LRIT Coordinator may require the submission of further audit evidence as circumstances may warrant.

10.2.2 The auditee should submit all the audit evidence, particularly the Review and Audit Questionnaire and the sample data, to the LRIT Coordinator by the Audit Date.

10.2.3 On receipt of the audit evidence, the LRIT Coordinator will check the evidence to make sure it includes the correct information in the correct format. If the LRIT Coordinator detects any error or missing information, it will immediately contact the auditee to seek ways to resolve any outstanding queries.

## 10.3 *Cancellation of the audit*

10.3.1 The LRIT Coordinator may decide to cancel an audit if:

- .1 the auditee specifically asks the LRIT Coordinator to cancel its audit; or
- .2 the auditee does not respond to the Pre-Audit letter and indicate its confirmation of the audit within the given timeframe; or
- .3 the auditee fails to provide the LRIT Coordinator with all the requested audit evidence by the Audit Date and in the required format; or
- .4 the auditee fails to provide any requested additional audit evidence in a timely manner; or
- .5 the auditee fails to fulfil its financial and contractual obligations to the LRIT Coordinator.

10.3.2 In any of the above situations, the LRIT Coordinator will inform the auditee and provide relevant information to the COMSAR Sub-Committee in relation to the cancellation of the audit.

## **11. Conducting the audit**

11.1 After all the necessary materials for the audit have been received and obtained, the LRIT Coordinator will begin the review and audit analysis. The LRIT Coordinator will normally complete the initial audit analysis within 30 days after the Audit Date or after the submission of satisfactory audit evidence, whichever is later.

11.2 The audit of the 30-day sample data will be conducted automatically by specially designed computer systems developed by the LRIT Coordinator. This will ensure a comprehensive, consistent and equitable analysis of the sample data delivering clear, accurate, quantitative results in accordance with the pre-defined rules and principles of the LRIT system.

11.3 The results of the computer-based analysis will be evaluated together with the other audit evidence provided by the auditee in order to enable the LRIT Coordinator to conduct a full review of the performance of the auditee.

#### 11.4 *Finding Notes*

11.4.1 When the initial audit analysis has been completed, the LRIT Coordinator will communicate its findings to the auditee together with any issued finding notes (Major Non-conformity, Non-conformity and/or Observation), as appropriate. All findings must be clearly documented and supported with objective evidence to avoid any misinterpretation.

11.4.2 The auditee will have fourteen days to determine, in consultation with the LRIT Coordinator, appropriate corrective actions for the issued finding notes and to propose the period within which the audit findings should be dealt with and closed. The auditee will also be required to provide comments and explanations relating to the findings in the finding notes. If the auditee is unable to provide the requested information to the LRIT Coordinator in time, this situation may be reflected in the audit reports.

11.4.3 The LRIT Coordinator may require the submission of further audit evidence or sample data from the auditee with a view to ascertaining that the agreed corrective actions have been implemented and any audit findings have been resolved and/or that any further audit findings have not occurred. If the LRIT Coordinator does not see a compelling need to request submission of further audit evidence, completion and effectiveness of the corrective actions will be verified at the next audit, unless otherwise agreed.

## 12 **Audit reports**

### 12.1 *The Comprehensive Audit Report*

12.1.1 The comprehensive audit report is intended to provide a complete, accurate, concise and clear record of the audit and will at least include or refer to the following key elements:

- .1 an Executive Summary;
- .2 the audit objectives;
- .3 the audit scope, particularly identification of the unit or processes audited and the time period covered;
- .4 a list of the auditee representative(s);
- .5 the dates on which the audit activities were conducted;
- .6 the audit criteria;
- .7 a summary of the audit evidence reviewed;
- .8 the audit findings;
- .9 the audit conclusions, including a statement of any uncertainties and/or obstacles encountered that could decrease the reliability of the audit conclusions;
- .10 any comments or remarks by the auditee; and

.11 any statement of a confidential nature.

12.1.2 The comprehensive audit report will only be submitted to the Secretary-General of IMO. A copy of the report will be made available to the auditee concerned.

## 12.2 *The Summary Audit Report*

12.2.1 The LRIT Coordinator will prepare a summary audit report which will be a summarized version of the comprehensive audit report and will include the following points:

- .1 the audit findings, including information on non-conformities and their status;
- .2 the audit conclusions;
- .3 any uncertainties and/or obstacles encountered that could decrease the reliability of the audit conclusions;
- .4 any areas not covered although within the scope of the audit;
- .5 any unresolved diverging opinions between the LRIT Coordinator and the auditee;
- .6 recommendations for improvement, if any; and
- .7 agreed follow-up action plans, if any.

12.2.2 The summary audit report will only be submitted to the COMSAR Sub-Committee. A copy of the report will be made available to the auditee concerned.

## 12.3 *Reporting*

12.3.1 After the analysis of all necessary audit evidence has been completed and relevant corrective actions for the issued finding notes have been agreed, the LRIT Coordinator should, within one month, prepare a *draft* comprehensive audit report and forward it to the auditee for its perusal and comments, if any.

12.3.2 Any comments of the auditee should be submitted to the LRIT Coordinator within fifteen days after the date on which the draft report was sent to the auditee. If no comments were received, then the LRIT Coordinator would finalise the audit report accordingly.

12.3.3 The LRIT Coordinator and the auditee should endeavour to resolve any difference of opinion in relation to the content of the comprehensive audit report within five days after the date the auditee has submitted its comments. If the matter cannot be resolved, the comments of the auditee should be included in both audit reports for consideration of the issue by the COMSAR Sub-Committee.

12.3.4 The LRIT Coordinator will normally submit the summary audit report to the next available session of the COMSAR Sub-Committee which will consider the report on behalf of the MSC, and which will report on any issues that might require further consideration or approval by the MSC.

12.3.5 All LRIT audit reports will be in the English language only.

### **13 Financial obligations**

13.1 Financial obligations of the auditee to the LRIT Coordinator for performing the audit and delivering the relevant audit reports are covered by either the LRIT Services Agreement or contract which must be signed by the auditee prior to any audit taking place.

13.2 The Pre-Audit Letter will contain information on the level of audit fee that will be charged by the LRIT Coordinator for performing the audit and will invite the auditee to confirm whether it wishes to pay the full audit fee before the audit takes place, or pay in three stage payments, as follows (in either case the auditee will normally be issued with a single invoice):

- .1 First Stage Payment – 25 percent on submission of the 30-day sample data to the LRIT Coordinator for audit and review;
- .2 Second Stage Payment – 50 percent on submission by the LRIT Coordinator of the draft Comprehensive audit report to the auditee; and
- .3 Final Stage Payment – 25 percent on finalization of the reports.

13.3 In the absence of any request from the auditee for an invoice, the LRIT Coordinator will issue the invoice on the *audit date* for payment within 30 days. The invoice will be communicated to the auditee together with the IMSO *Terms of Business*.

13.4 If the audit is cancelled before the agreed audit date, the LRIT Coordinator will refund to the auditee any amount paid by the auditee. If the audit is cancelled after the agreed audit date, then the LRIT Coordinator will retain the first stage payment or 25 percent of the total audit fee, to cover costs already incurred by the LRIT Coordinator, refunding any money that has already been paid over and above this level.

13.5 The LRIT Coordinator will not submit any audit report to the Secretary-General of IMO unless and until payment of the audit fee has been received in full by IMSO.

### **14 Communication of information**

14.1 Any information or material to be communicated in relation to the audit should be in writing or other agreed data format and should only be sent by/to the individuals who are appointed as formal points of contact in the most recent version of the DDP.

14.2 All communication, except submission of audit evidence, in relation to the audit may be done by email or letter as appropriate.

### **15 Amendments to the LRIT Audit Procedures**

These procedures will be kept under review, and may be amended if necessary.

**APPENDIX**  
**LIST OF ANNIVERSARY DATES OF THE LRIT COMPONENTS**  
 (As of 28 June 2012)

<b>No</b>	<b>Name of the LRIT Component</b>	<b>Anniversary Date</b>
1	IDE	15/10/08
2	USA	15/12/08
3	Bahamas	19/12/08
4	Marshall Islands	29/12/08
5	Canada	30/12/08
6	Republic of Korea	16/03/09
7	Japan	31/03/09
8	EU	04/06/09
9	Antigua and Barbuda	19/06/09
10	Australia	30/06/09
11	Saint Vinc. and the Gren.	15/07/09
12	Barbados	15/07/09
13	China	20/07/09
14	Singapore	24/07/09
15	Cayman Islands (UK)	27/07/09
16	Sierra Leone	27/07/09
17	Jamaica	28/07/09
18	Belize	03/08/09
19	Isle of Man (UK)	03/08/09
20	Liberia	06/08/09
21	India	07/08/09
22	Vanuatu	11/08/09
23	Chile	18/08/09
24	South Africa	02/09/09
25	Bahrain	08/09/09
26	Myanmar	14/09/09
27	Bermuda (UK)	16/09/09
28	Panama	16/09/09
29	Faroe Islands (Denmark)	17/09/09
30	Russian Federation	24/09/09
31	Jordan	28/09/09
32	Pakistan	29/10/09

33	Morocco	16/11/09
34	Saint Kitts and Nevis	01/12/09
35	Indonesia	04/12/09
36	Egypt	04/01/10
37	Montenegro	13/01/10
38	United Rep. of Tanzania	14/01/10
39	Bolivia (Plurinational State of)	15/01/10
40	Israel	18/01/10
41	Thailand	20/01/10
42	Mauritius	22/01/10
43	Philippines	25/01/10
44	Pacific	09/02/10
45	Nigeria	16/02/10
46	Azerbaijan	22/02/10
47	Kuwait	24/02/10
48	Qatar	03/03/10
49	Turkey	05/03/10
50	United Arab Emirates	22/03/10
51	Ecuador	15/04/10
52	Ukraine	03/05/10
53	Kenya	27/05/10
54	Venezuela	18/06/10
55	DPR of Korea	02/07/10
56	Brazil + Uruguay	19/07/10
57	Malaysia	01/09/10
58	Algeria	08/11/10
59	Bangladesh	07/12/10
60	Brunei Darussalam	15/12/10
61	Comoros	13/01/11
62	Seychelles	25/02/11
63	Dominica	01/04/11
64	Argentina	14/04/11
65	Guyana	16/06/11
66	Islamic Republic of Iran	14/09/11
67	Cambodia	17/02/12