

COUNCIL
113th session
Agenda item 3

C 113/3/6
20 October 2014
Original: ENGLISH

STRATEGY, PLANNING AND REFORM

Report of the Correspondence Group on the Revision of the Guidelines on the Application of the Strategic Plan and the High-level Action Plan of the Organization

Submitted by the United Kingdom

SUMMARY

Executive Summary:	This document summarizes the work and recommendations of the intersessional Correspondence Group regarding the Guidelines on the application of the Strategic Plan and the High-level Action Plan of the Organization established by Council 112
Strategic Direction:	4
High-level Action:	4.0.3 and 4.0.5
Planned Output:	4.0.3.1 and 4.0.5.1
Action to be taken:	Paragraph 38
Related documents:	C 112/3/5, C 112/INF.2, C 112/D paragraphs 3.6 and 3.7

Introduction

1 The Council, at its 112th session, established a Correspondence Group to revise the Guidelines on the application of the Strategic Plan and the High-level Action Plan of the Organization ("the GAP"), under the coordination of the United Kingdom.

2 The terms of reference of the correspondence group were:

- .1 To develop appropriate changes to the Guidelines in order to, inter alia, better reflect the process for proposing and considering new planned Outputs and clarifying requirements for unplanned Outputs, using document C 112/INF.2 as a basis, and any other improvements, taking into account comments made at C 112.
- .2 Present its report to C 113.

The following participated in the correspondence group:

AUSTRALIA
BAHAMAS
CANADA
CHILE
CYPRUS
DENMARK
FRANCE
GERMANY
GREECE
INDONESIA
JAPAN

NETHERLANDS
NORWAY
PANAMA
REPUBLIC OF KOREA
SINGAPORE
SOUTH AFRICA
SPAIN
SWEDEN
UNITED KINGDOM
UNITED STATES

Overview

3 The group worked in line with its terms of reference, using C 112/INF.2 as a base document and taking into account the comments made at C 112, in particular with regards to the possibility of having a single process for "Outputs" and the need to ensure the right relationship of a decision on proposed new work to the existence of industry standards.

4 The group was guided by the earlier commitments of the Council that "strict discipline" should be observed in the use of the GAP. In this regard the group noted that section 4 "Application" already contains mandatory language. The group was of the view that it would be preferable for mandatory language to be used consistently throughout the document.

5 In addition, the group tried to streamline the GAP in order to make it easier to understand and use. This included the removal of the terms "unplanned Output", "planned Output", and "interim Output". Instead it is proposed, as suggested at C 112, that the single term "Output" is used.

6 The group also considered a number of possible improvements to the drafting of the GAP, details of which are described below.

7 Owing to time constraints, the correspondence group worked through just two rounds of comments. Therefore while there was general agreement within the group, there are some aspects of the changes which the group was not able to finalize.

Details of the changes proposed

8 Details of the changes and considerations of the Group are described in the following paragraphs and the updated text of the GAP is included in the annex of this paper.

9 Paragraph 2.1.2 – While the group agreed on having a single definition "Output", there was a recognition that it will still be important to track the number of "Outputs" that are added to the High-level Action Plan (HLAP) during the course of a biennium, as the same principles of strict discipline apply and there will be an ongoing need to monitor the application of this particular aspect of the Guidelines. One member of the group advocated maintaining separate definitions as the best means to achieve this.

10 Paragraphs 2.1.5 and 2.1.6 Biennial agenda & Post-biennial agenda – There was a suggestion to add "the current" into these definitions, but the group concluded that this would not in fact clarify the definitions. There was also a discussion about when items on the post-biennial agenda should be initiated. The group was of the view that, in principle, such items should be initiated in the next biennium after their acceptance. However, it was also noted

that current practice means there are a number of items that have been on post-biennial agendas for multiple biennia. Therefore both options have been included in the definition, and a number of consequential changes would be needed elsewhere in the document depending on which option is selected.

11 Paragraph 3.3.4 – this was deleted as its meaning and purpose was not clear to the group.

12 Paragraph 3.4 – While recognising the importance of the strict discipline, the group also felt that it was important that there remained the flexibility to allow a timely response to certain urgent issues. Following a range of proposals the majority of the group felt that the existing text provided the correct balance. The footnote about the Risk Management Framework was removed in line with the Council's earlier decision about its scope.

13 It was noted that section 4 uses mandatory language, and the group was of the view that mandatory language should be used throughout the Guidelines. Due to the constraints of time, it was not possible for the group to review each instance where "should" might be replaced with "shall" and therefore these are shown in square brackets. There was also a discussion about the appropriate mechanism to give the Guidelines status that would support the use of mandatory language. It was felt that the inclusion of a "DIRECTS" paragraph in the Assembly Resolution which adopts the revised Guidelines would be a potential route to achieve this.

14 Paragraph 5.5 – It became clear that the meaning of this paragraph was not well understood within the group and therefore alternative text was developed. In particular, the group felt that the concept of "interim Outputs" had not been used as intended. It was agreed that this should be removed from the Guidelines in order to simplify them and improve the ease of understanding and application. There were, however, some within the group in favour of retaining the concept believing that the setting of "interim Outputs" provided focus to what should be delivered in a particular biennium.

15 Paragraph 5.6.2 – The group was mindful of the difficulties in establishing an objective assessment of the urgency of any particular Output and therefore some of the group suggested replacing "urgency" with "need" within this paragraph.

16 Paragraph 6.2.1 & 6.2.2 – The group discussed the inclusion of references to the Secretariat Business Plan in these two points. The inclusion of a reference to it in 6.2.1 was accepted by most, but not all, of the group. Support for the inclusion of the reference in 6.2.2 was less clear cut; in addition, there were two possible drafting alternatives put forward. There was also some discussion about whether IMO organs should include within their agendas an item for the Secretariat to report on work done under the remit of the Business Plan.

17 Paragraph 6.2.4 – As noted in the context of 5.5, the group decided to delete the concept of "interim Outputs" and therefore the existing text of 6.2.4 has been deleted. However, the group did not have time to fully establish the appropriate handling of those Outputs which are identified as requiring more than one biennium for completion, and so further consideration of how to harmonize 6.2.4 and 6.2.5 is needed.

18 Paragraph 6.2.6 – there was a proposal to combine the terms "continuous" and "annual" and in future just use "annual". This received some support from the group; however others felt that both "continuous" and "annual" should be maintained as potential descriptors of Outputs.

19 Paragraph 6.4 – The group did not reach consensus about the inclusion of a reference to the Secretariat reporting on the status of its business plan within this paragraph. The group agreed that the Secretariat should report to Council on its business plan. It did not, however, agree on whether this needed to be included as a requirement within the GAP.

20 Section 8 – The key changes developed by the group were to revise this section to align with the single concept "Output".

21 Paragraph 8.1.2 – some members of the group suggested that this point should be deleted, as the reference to the "current" High-level Action Plan was only applicable to the consideration of unplanned Outputs and therefore it did not fit with the generalized consideration of Outputs.

22 Paragraph 8.1.5 – the meaning of the existing text was unclear to the group. Modifications were made to try and clarify the meaning; however, there was not complete agreement about what the correct interpretation should be.

23 Paragraph 8.4 & 8.5 – the value of the preliminary assessment of Outputs was raised, with some feeling that it was of limited value and merely represented a burden on the Secretariat and Chairman. However, the majority of the group felt that it was a useful tool to support the consideration of the proposal by the relevant Organ and therefore it should be maintained.

24 Paragraph 8.4.3 – most of the group felt that the determination of urgency was something which could only really be established by the IMO organ and therefore it should be removed from the preliminary assessment. Instead, consideration of "need" should be included.

25 Paragraph 8.4.4 – the group felt that an important part of the preliminary assessment would be consideration by the Chairman of the work load of the relevant Organ and the potential impact of the proposed Output on that. Therefore a new bullet has been introduced to reflect this.

26 Paragraph 8.6.4 – while noting that the term "compelling need" has been used in past Assembly Resolutions, (e.g. A.500(XII) and A.998(25)), the group was generally of the view that its use within these Guidelines did not support their clarity or applicability. The group did not believe that the exclusion of "compelling" from these Guidelines would undermine the principle that a higher standard of need should be demonstrated when considering proposals for new or amended mandatory instruments relative to proposal relating only to non-mandatory instruments.

27 Paragraph 8.6.8 – The majority of the group support the retention of the first part of this bullet point only, because the relationship between a proposal for an Output and the existence of industry standards would vary from case to case. There were also proposals for alternative wording and for an additional point to cover times when IMO might need to act, in particular, to harmonize a number of existing sets of industry standards. The group did not have time to reach a conclusion about these additional proposals.

28 Paragraph 8.7 – this is a core aspect of the Guidelines, a number of changes have been made to the text. There was also the suggestion to reorder the points in a more logical sequence, with views in support of either moving from reasons for non-acceptance to acceptance (as shown) or from reasons for acceptance to non-acceptance. In 8.7.2 & 8.7.3 square brackets are dependent on the decision made on definition of Post-biennial agenda. It was also suggested that a table could be used here to clarify the considerations.

29 Paragraph 8.9 – there were a number of issues raised with this paragraph and, in the end, the group concluded that the best option was to delete the paragraph as it was not seen as adding value to the Guidelines. Among these, the issue of the appropriate action to be taken in instances when an Output is sent to a subsidiary body and the subsidiary body comes to the conclusion that there is in fact no work, or no viable solution that could be delivered under the Output was raised. This is a situation which neither the GAP nor the Committee Guidelines appear to provide for, and so is something which perhaps needs to further exploration.

30 Paragraph 8.14*bis* – it was proposed to include explicit reference to the existing practice where subsidiary bodies prepare proposals for Outputs, as and when the perceived need for them arises from the existing work of such bodies.

31 Paragraph 8.16 – reference to urgent matters was removed as 3.4 already provides for such action and repetition of this provision here was seen to weaken the Guidelines.

32 Paragraph 8.17 – noting that there is no IMO agreed process for the determination of priorities, reference to "priority" was removed from this bullet point, as well as the other places where it occurred in the Guidelines. The overall meaning and purpose of this bullet point was not clear to some in the group and several members of the group suggested its deletion; however others were in favour of retaining it.

33 Paragraph 8.18 – the timing of capacity-building assessments was discussed by the group with some taking the view that this assessment should be undertaken as soon as an Output is accepted, while others instead believed it should be undertaken at the point when work on the Output was initiated. The final drafting of this point is therefore subject to clarification of this issue.

34 Annex 2 – some clarifications of the notes on the completion of the Biennial Status Report were agreed.

35 Annex 3 – changes made to this annex reflect the changes made in the body of the text. In particular, while "compelling" has been removed, a footnote has been introduced to remind those preparing proposals of the principles contained in the relevant Assembly Resolutions about the higher evidence required when considering changes to mandatory instruments.

36 Annex 4 – it was suggested that "burden" is a subjective consideration and it would be better for the checklist to only refer to Administrative Requirements. It would then be for the IMO Organ considering the proposal to determining whether the introduction of such requirements were justified by their anticipated benefits.

Actions requested of the Council

37 The Council is requested to:

- .1 note the work of the correspondence group;
- .2 endorse the use of mandatory language within the GAP to ensure strict discipline is observed throughout the Organization; and
- .3 consider and decide as appropriate on the proposed amendments contained in the annex.

ANNEX

GUIDELINES ON THE APPLICATION OF THE STRATEGIC PLAN AND THE HIGH-LEVEL ACTION PLAN OF THE ORGANIZATION

1 INTRODUCTION

1.1 The Strategic Plan for the Organization, as revised and adopted by the Assembly, sets out:

- .1 the mission statement of IMO;
- .2 the trends, developments and challenges, in the shipping and maritime world, which the Organization faces in fulfilling its mission;
- .3 the broad strategic directions towards which IMO will work in addressing the identified trends, developments and challenges; and
- .4 performance indicators for measuring the Organization's performance against the strategic directions.

The Strategic Plan covers a six-year period and is an expression of the Member States' commitment to ensuring the fulfilment of the Organization's aims and objectives in a uniform manner on a global basis, and to setting clear priorities for the purpose of achieving them.

1.2 The High-level Action Plan of the Organization, as ~~revised and~~ adopted by the Assembly, sets out:

- .1 the high-level actions necessary to achieve the strategic directions included in the Strategic Plan; and
- .2 the ~~priority~~ outputs that are planned to be delivered by the Organization over a two-year period, as a result of undertaking the high-level actions.

1.3 The High-level Action Plan provides the linkage between the Organization's strategy and its day-to-day work and, therefore, constitutes the work programme of the Assembly, Council, committees and their subsidiary bodies for a biennium and the basis of the Organization's biennial results-based budget, including the Secretariat's Business Plan.

2 DEFINITIONS

2.1 For the purposes of the Guidelines, the following definitions will apply:

- .1 "IMO organs": the organs of the Organization as defined in Article 11 of the IMO Convention;
- .2 ~~"Planned output~~ "Output": a product planned an item in the High-level Action Plan to be delivered by the Organization one or more IMO organs during a the current biennium or accepted for a subsequent biennium;
- ~~.3 "Unplanned output": a product that may be agreed by IMO organs to be delivered during a biennium after the adoption of that biennium's High-level Action Plan;~~

- .4 "Agenda": a list of ~~planned~~ outputs for discussion at a particular meeting;
- .5 "Biennial agenda": a list of ~~planned~~ outputs to be delivered by an one or more IMO organ during a ~~the current~~ biennium by an individual IMO organ; and
- .6 "Post-biennial agenda": a list of ~~accepted~~ outputs accepted by IMO Organs in one ~~the current~~ biennium that are to be delivered or initiated [beyond a current] ~~[in the next]~~ biennium.

3 PURPOSE, AIM AND OBJECTIVES

3.1 The purpose of the Guidelines is to provide a uniform basis for the application of the Strategic Plan and the High-level Action Plan throughout the Organization.

3.2 The aim is to strengthen existing working practices through the provision of enhanced planning and management procedures that are flexible, manageable, proportional, transparent and balanced.

3.3 The Guidelines are therefore formulated to achieve the following objectives:

- .1 to align and strengthen the planning and reporting processes by linking agenda setting and reporting more clearly to the Strategic Plan and High-level Action Plan;
- .2 to strengthen the linkage between ~~planned~~ outputs on the biennial agenda and the resources required to deliver the outputs;
- .3 to facilitate the efforts of the Council and the committees in controlling and monitoring the Organization's work;
- .4 ~~to promote greater understanding and assimilation of the interconnections between the Strategic Plan and High-level Action Plan and planned outputs;~~
- .5 to promote discipline in adherence to the planning procedures and guidelines;
- .6 to promote objectivity, clarity and realistic time frames in the establishment of biennial agendas by the IMO organs and their subsidiary bodies;
- .7 to ensure maximum possible participation by all Member States and by organizations with observer status in all of the Organization's work; and
- .8 to establish responsibilities and promote involvement in the planning and reporting processes.

3.4 [Nothing in these Guidelines should prohibit the Organization from taking immediate action on urgent matters if the risk of not acting will adversely affect the Organization's ability to meet its objectives.⁴ ~~Any [diversion] [deviation] from these Guidelines however should be submitted to the Council for its endorsement.] [Only in those circumstances when not taking immediate action will adversely affect the Organization's ability to meet its objectives and~~

⁴ ~~Refer to the IMO Risk Management Framework (C 110/3/5, annex 1).~~

such immediate action is prohibited by not provided for by these guidelines, the Organization may deviate from them. Any such deviation from these Guidelines [should] [shall] be justified to the Council.]

4 APPLICATION

4.1 The Guidelines shall be strictly applied by all IMO organs.

4.2 The Guidelines will be kept under review by the Council and will be updated as necessary in the light of experience gained in their application.

4.3 The Council and the committees shall review, align and revise their own guidelines for the organization and method of work, taking account of these Guidelines.

5 STRATEGIC PLANNING PROCESSES: HIGH-LEVEL ACTION PLAN

5.1 The Organization's Strategic Plan includes a number of key strategic directions to enable IMO to achieve its mission objectives. In order for the Organization to effectively address those strategic objectives, the High-level Action Plan has been developed, which identifies the actions required and provides the linkage between the Organization's strategy and the work of the various IMO organs.

5.2 The High-level Action Plan thus identifies the high-level actions necessary to achieve the strategic objectives in the Strategic Plan, as well as the priorities for a biennium in response to those identified actions.

5.3 All IMO organs [should] [shall] at all times be conscious of the status and purpose of the Strategic Plan and the High-level Action Plan as well as of the strict linkages between the High-level Action Plan and the budget for the corresponding biennium.

5.4 The Council and the committees [should] [shall] identify, in a timely manner, the ~~products~~ outputs to be included as ~~planned outputs~~ in the High-level Action Plan for the ~~coming next~~ biennium, and the Secretariat should develop its Business Plan, as such identification provides a basis for making an estimate of the budget required for that biennium.

5.5 ~~In the process of constructing the High-level Action Plan for the next biennium, due account should be taken, inter alia, of: (a) planned outputs the delivery of which has been postponed from a prior biennium accepted for the post-biennial agenda; (b) final outputs which cannot be completed in the current biennium (c) outputs that may need to be produced following the delivery of related interim outputs in [a prior] [the current] biennium; (cd) any specific requirement to review the effectiveness of planned outputs delivered in a prior biennium; (d) accepted outputs on the post-biennial agendas; and (e) new planned outputs. Further information about the process for the consideration of new planned outputs is given in section 8. In the process of constructing the High-level Action Plan for the next biennium the following should be included a) continuous and annual Outputs within the current High-level Action Plan, b) incomplete Outputs within the current High-level Action Plan. Outputs from the Post-Biennial agenda should also be included, subject to resource availability. Any other proposals for Outputs may be included following their assessment in accordance with these Guidelines.~~

5.6 Decisions on the inclusion of ~~planned~~ outputs in the High-level Action Plan for the ~~coming~~ next biennium [should] [shall] be guided by the strategic directions and high-level actions established in the Strategic Plan and the High-level Action Plan and [should] [shall] take due account of:

- .1 the anticipated workload of the IMO organs delivering the output;
- .2 the ~~demonstrated~~ [agreed urgency] [need] to deliver the output;
- .3 the personnel and budgetary resources available; and
- .4 the potential adverse impact that a decision on whether or not to include an output may have on the ability of the Organization to meet its objectives.²

5.7 Adoption by the Assembly of the High-level Action Plan and the corresponding results-based budget for the biennium ~~implies~~ denotes that the Assembly was satisfied that there is a reasonable match between the two and that the available resources and the meetings programme should result in the ~~warrant~~ the delivery of the outputs planned in the High-level Action Plan.

5.8 Such ~~planned~~ outputs may be revised during the biennium by the relevant IMO organ committee, taking into account the provisions of paragraph 5.6, if subsequently endorsed by the Council.

5.9 Annex 1, diagram 1, provides an overview of the Organization's overall planning hierarchy and its links to related processes, and indicates the scope of the Guidelines.

5.10 Annex 1, diagram 2, provides an overview of the Organization's strategic planning process and its related planning and reporting flows during the course of a biennium.

6 MANAGEMENT AND CONTROL

6.1 Management and control of the planning of, and reporting on, the implementation of the Strategic Plan and the High-level Action Plan are critical elements to measure the Plans' effectiveness and transparency. Consequently, it is important that proper management and control mechanisms are in place to ensure that:

- .1 biennial agendas and agendas are both clearly linked to the Strategic Plan and the High-level Action Plan;
- .2 the ~~competing demands~~ objectives of the Strategic Plan and the High-level Action Plan can be ~~prioritized~~ met within the resource constraints of the Organization and its membership;
- .3 the Organization's response to changes in the environment within which it operates is consistent with the Strategic Plan and the High-level Action Plan; and
- .4 monitoring and reporting are such that progress on biennial agendas is explicitly linked to progress on the ~~production~~ delivery of ~~planned~~ outputs.

² Refer to the IMO Risk Management Framework (C 110/3/5, annex 1).

6.2 In order to provide a transparent link between the Strategic Plan and the Organization's work, the following principles [should] [shall] be applied:

- .1 ~~the planned~~ outputs included in the High-level Action Plan [should] [shall] ~~– together with those included in the Secretariat's Business Plan –~~ [explicitly] form the basis of the biennial work of all the IMO organs and the budget of the Organization;
- .2 [except for those items included in the Secretariat's Business Plan,] the items contained in the agendas and biennial agendas of all IMO organs [should] [shall] all be ~~included as planned~~ outputs in the High-level Action Plan [or included in the secretariat's Business Plan];
- .3 the biennial agendas of all IMO organs [should] [shall] follow format 1 set out in annex 2;
- .4 ~~for outputs with a target completion date beyond the current biennium, the High-level Action Plan should specify the planned interim output at the end of the biennium to be delivered within the current biennium;~~
[For outputs with a target completion date beyond the current biennium, the High-level Action Plan [should] [shall] specify the planned completion date.]
- .5 target completion dates in the biennial agenda format in annex 2 (format 1) [should] [shall] specify the year of planned completion within the current biennium, ~~or be specified as~~ and include details for any "annual" for tasks that are to be completed on an annual basis;
- .6 [continuous] [annual] items are discouraged but in those cases where they are deemed unavoidable it is still necessary for them to be given a "SMART" definition so that progress during the biennium can be assessed; and]
[continuous items [should] [shall] only be included in exceptional cases where deemed unavoidable and the output [should] [shall] be described in "SMART" terms so that progress during the biennium can be assessed; and]
- .7 documents submitted to committees and sub-committees [should] [shall] clearly demonstrate the direct relation between the proposals they contain and the ~~planned~~ output to be accomplished delivered under the relevant agenda item, on the basis of the High-level Action Plan.

6.3 In order to maintain a balance between effective control and the need for flexibility in addressing urgent and unexpected challenges within the Organization's mandate, any decision to include ~~unplanned~~ a new outputs in the current High-level Action Plan, in accordance with section 8, ~~should~~ must be endorsed by the Council.

6.4 In Order to ensure transparent and efficient monitoring and reporting, and in accordance with section 9, a uniform format [should] [shall] be used for reports on the status of outputs in the High-level Action Plan. [The Secretariat should also report to the Council on the status of its business plan]

7 RESPONSIBILITIES

7.1 Member States and the Secretariat should ensure consistency and discipline in the administrative management of the planning and reporting cycle.

7.2 Accordingly, the chairmen, vice-chairmen and secretaries of the Council, committees and sub-committees have a specific responsibility for effective management of the planning and reporting cycle and for consistent and rigorous application of these Guidelines and of their own guidelines on organization and methods of work.

7.3 In order to fulfil the function in paragraph 7.2, well-established cooperation and coordination are expected between the chairmen, vice-chairmen and secretaries of the Council, committees and sub-committees by all available means, including through face-to-face meetings and teleconferences as deemed necessary.

8 OUTPUTS

General

8.1 All IMO organs, in determining ~~inclusion~~ the acceptance of unplanned outputs, and the inclusion on their biennial or post-biennial agendas, [should] [shall] at all times be guided by the Strategic Directions and High-level Actions established in the Strategic Plan and the High-level Action Plan of the Organization, and [should] [shall] in particular take due account of:

- .1 the specific necessity for ~~the~~ an output to be started during the current biennium;³
- [.2 the potential impact that the inclusion of an output may have on the timely delivery of outputs planned in the current High-level Action Plan;]
- .3 the potential impact that the inclusion of an output may have on the workload of the IMO organs involved; ~~and~~
- .4 the personnel and budgetary resources available; ~~and~~
- .5 the potential adverse impacts on the ability of the Organization to meet its objectives if ~~of~~ a decision is made not to ~~as to whether or not to~~ accept a proposal for inclusion of an ~~a new~~ output in the biennial or post-biennial agendas ~~on the ability of the Organization to meet its objectives~~ and on shipping.

Submission of proposals for outputs

8.3 To enable IMO organs to carry out a proper assessment of proposals for new outputs, submissions containing such proposals must, at a minimum, contain the information – including demonstration and documentation – specified in the table at annex 3.

³ The normal action will be for Outputs, if accepted, to be placed on the Post-Biennial Agenda, and only in exceptional circumstances will Outputs be added to the Biennial Agenda and current HLAP.

Preliminary assessment of proposals for outputs

8.4 In order to facilitate consideration of proposals for outputs by an IMO organ, its Chairman [should] [shall] undertake a preliminary assessment of such proposals. The Chairman [should] [shall], for that purpose, be supported by the vice-chairman and the Secretariat and [should] [shall] consult the Chairman of any subsidiary body concerned.

8.5 The outcome of the preliminary assessment [should] [shall] be submitted to the IMO organ concerned for approval, and [should] [shall] include the Chairman's appraisal of:

- ~~.1~~ whether the proposal complies with the requirements for the submission of proposals for ~~new~~ outputs, as specified in ~~paragraph 8.3~~ and in annex 3;
- ~~.2~~ whether the proposal complies with the criteria specified in paragraph 8.6;
- ~~.3~~ ~~whether the demonstrated urgency of the proposal requires its inclusion on the biennial agenda; and, if so,~~
- .3 whether the demonstrated need of the proposal requires its inclusion on the biennial agenda; and, if so
- ~~.4~~ ~~to what extent the general criteria specified in paragraph 8.1 should be taken into account.~~
- .4 whether the agenda of the IMO organ can absorb the work associated with the output.

Assessment of proposals for outputs

8.6 Before deciding to accept a proposal for a new output, the IMO organ concerned [should] [shall] carry out a comprehensive and thorough assessment the proposal.

The assessment [should] [shall] at least include a test against the following criteria:

- ~~.1~~ Is the subject addressed by the proposal considered to be within the scope of IMO's objectives and the Strategic Plan for the Organization?
- ~~.2~~ Does the proposal contribute to the high-level actions established in the High-level Action Plan?
- ~~.3~~ Does the proposal involve the exercising of functions conferred upon a Committee by or under any international convention or related instrument?
- ~~.4~~ Has a ~~compelling~~ need — or, in the case of proposals calling for new conventions or amendments to existing conventions, a ~~compelling~~ need — for the measure been [justified demonstrated and documented] [demonstrated]?
- ~~.5~~ Has an analysis been provided that justifies demonstrates and documents the practicality, feasibility and proportionality of the proposed measure?
- ~~.6~~ Has the analysis of the issue sufficiently addressed the cost to the maritime industry as well as the relevant legislative and administrative burdens?

- .7 ~~Do~~ Are the benefits ~~(e.g. in terms of enhanced maritime safety, maritime security or protection of the marine environment, or facilitation of maritime traffic)~~ that are expected to be derived from the inclusion of the proposed output [justify such action] [clearly stated]?
- .8 Do adequate industry standards exist or are they being developed? ~~thereby reducing the need for action within IMO?~~ [Do adequate industry standards exist or are they being developed that may reduce the need for action within IMO?]
- [.8bis Is IMO's action required to establish a common international standard?]
- .9 Has the proposed output been properly specified in SMART terms (specific, measurable, achievable, realistic, time-bound)?
- .9bis Does the completed checklist contained in Annex 5 of the GAP demonstrate that the human element has been sufficiently addressed?
- ~~.10 Does the proposal properly demonstrate the urgency of the action proposed, and does it plausibly demonstrate that and why the output should be included in the current biennial agenda?~~
- .10 If inclusion of the output in the current biennium is proposed is this action properly justified?
- .11 Would a decision ~~reject not to accept~~ the proposal pose an unreasonable risk to the Organization's overall objectives?

Decision on acceptance and inclusion of outputs

8.7 Based on its assessment in accordance with paragraph 8.6, having taken due account of the Chairman's appraisal of the proposal, the IMO organ may decide that:

- .6 that the proposal is not within the scope of the current Strategic [or High-level Action] Plan[s] and should, therefore, not be accepted for inclusion.
- .1 that the compelling need has not been sufficiently [or correctly] demonstrated and therefore the proposed output should not be included;
- .4 for outputs for which extensive work is required, such as the revision of conventions or the preparation of codes, invite the Chairman of the coordinating subsidiary body, to invite the chairman with the support of the Secretariat, may be invited to prepare a comprehensive and coherent plan of work in order to inform the IMO organ of the full impact of the proposed output before it finalizes its decision on the proposed output;
- .2 that it did not find the urgency of the proposed action did not justify justified inclusion within the current biennium, and therefore accept the proposed output for inclusion in [a following] [the next] biennium;
- .3 the implications for the present workload of the organization are considered unacceptable within the current biennium, and therefore accept the proposed output for inclusion in following [a following] [the next] biennium;
or

~~.5 that the urgency and compelling demonstrated need of the proposed output are is such that it should be included in the proposed output, together with a target date for completion, in its the biennial agenda, or that of one of its subsidiary bodies, being satisfied that the implications for the workload and planning may be considered are acceptable.~~

Strategic plan	Need to carry out the work	Urgency to deliver the output	Work Load/Personnel and Budgetary resources	Decision
Within scope of strategic plan	Demonstrated	Justified	Implication of workload and planning are acceptable within the current biennium	Accept output for inclusion within the current biennium
			Implications for the present workload of the organization are unacceptable within the current biennium,	Accept output for inclusion in the next biennium
	Demonstrated	Not Justified	Acceptable to next biennium	Accept output for inclusion in the next biennium
	Not demonstrated	Not Justified	No need to further consider	Output not to be accepted for inclusion
Outside the scope of current strategic plan	No need to further consider	No need to further consider	No need to further consider	Output not to be accepted for inclusion

]

8.8 Upon a decision by an IMO organ to include ~~an proposed~~ output in its post-biennial agenda, the IMO organ [should] [shall] include ~~the output it~~ and the timescale for completion in its proposals for the High-level Action Plan of the next biennium.

Decision on inclusion in the biennial agenda of subsidiary bodies

8.9 ~~Upon acceptance of an output to be included in the biennial agenda of a subsidiary body, an IMO organ may decide:~~

- ~~.1 to agree in principle with the proposal and its inclusion in the biennial agenda, and to leave the detailed consideration of the technical aspects of the proposal and the development of appropriate requirements and/or recommendations to the subsidiary body or bodies concerned; or~~
- ~~.2 to agree in principle with the proposal, but request the subsidiary body or bodies concerned to consider the proportionality and feasibility of the proposal on a preliminary basis, and to advise the parent organ as to~~

~~whether, in its opinion, the output should or should not be included in the subsidiary body's biennial agenda; or~~

- ~~.3 to agree in principle with the proposal, but request the subsidiary body or bodies concerned to prepare a comprehensive plan of work in accordance with paragraph 8.12, and to advise the parent organ on the efficient organization of the work to be undertaken.~~

8.10 A decision of an IMO organ to include a new output in the biennial agenda of a subsidiary body [should] [shall] include clear and detailed instructions for the work to be undertaken by, ~~and the final output expected from,~~ the subsidiary body or bodies concerned, preferably by establishing the terms of reference under which such work should be undertaken. ~~Such instructions or terms of reference should also specify the output expected at the end of the current biennium~~

Co-ordination of outputs included on the agenda of more than one subsidiary body

8.11 A decision of an IMO organ to include an new output on the agenda ~~in the work of~~ more than one subsidiary body [should] [shall]:

- .1 designate the subsidiary body that is to coordinate the work so as to avoid duplication, maintain consistency in the standards being developed and ensure effective communication between the subsidiary bodies concerned;
- .2 ensure that the coordinating subsidiary body can complete the work by the target completion date decided;
- .3 ensure that only those subsidiary bodies essential for the completion of the work will be involved, in order to avoid superfluous work and documentation; and
- .4 ensure that the work is included in the biennial agendas of all the subsidiary bodies concerned; and.
- .5 ensure that the coordination subsidiary body reports to its parent organ(s) on the status of the work

~~8.12 For outputs involving more than one subsidiary body and for which extensive work is required, such as the revision of conventions or the preparation of codes, the Chairman of the coordinating subsidiary body, in consultation with the Chairmen of the other subsidiary bodies involved, and with the support of the Secretariat, may be invited to prepare a comprehensive and coherent plan of work in order to advise the parent body on the efficient organization of the work to be undertaken.~~

8.12 For interrelated outputs contributing to the same overall objective designate the subsidiary body to overlook the coherence in the work on those outputs.

Other principles on outputs

8.13 ~~The committees and the Secretariat~~ IMO organs [should] [shall] report on their decisions on proposals for new outputs in their regular reports to the Council, for its endorsement and in order to facilitate the monitoring ~~by the Council~~ of the delivery of the current biennial agendas and the planning of the future work.

8.14 Proposals for the inclusion of new outputs [should] [shall] not be submitted to a subsidiary body. A subsidiary body [should] [shall] not undertake work on outputs or expand the scope of outputs unless directed or authorized to do so by its parent body.

8.14bis Proposals for the inclusion of outputs can be developed and submitted by a subsidiary body when such proposals arise from other outputs already on the agenda of that subsidiary body.

8.15 Proposals for the inclusion of new outputs, submitted by non-governmental organizations, [should] [shall] be co-sponsored by Governments.

8.16 Follow-up action in response to specific requests for action emanating from the Assembly and diplomatic conferences convened by IMO, UN conferences and bodies, regional intergovernmental conferences and other international and intergovernmental organizations, etc., [should] [shall] be evaluated in the light of these Guidelines, ~~unless they are specifically identified as, and demonstrated to be, urgent matters.~~

[8.17 The High-level Action Plan may specify certain IMO activities that are dictated by the need to take action on specific areas of maritime safety, maritime security, environmental protection, facilitation of maritime traffic and maritime law], ~~irrespective of any order of priority.~~

8.18 Following the decision by an IMO organ to include an new output involving the amendment of mandatory instruments in its biennial or post biennial agenda, the relevant IMO organ must [when work starts on the output] [as and when necessary], in keeping with the provisions of resolution A.998(25), initiate the assessment of capacity-building and technical assistance pertaining to that item, by following the ~~corresponding~~ prescribed procedure.

409 FORMAT AND CONTENT OF REPORTS

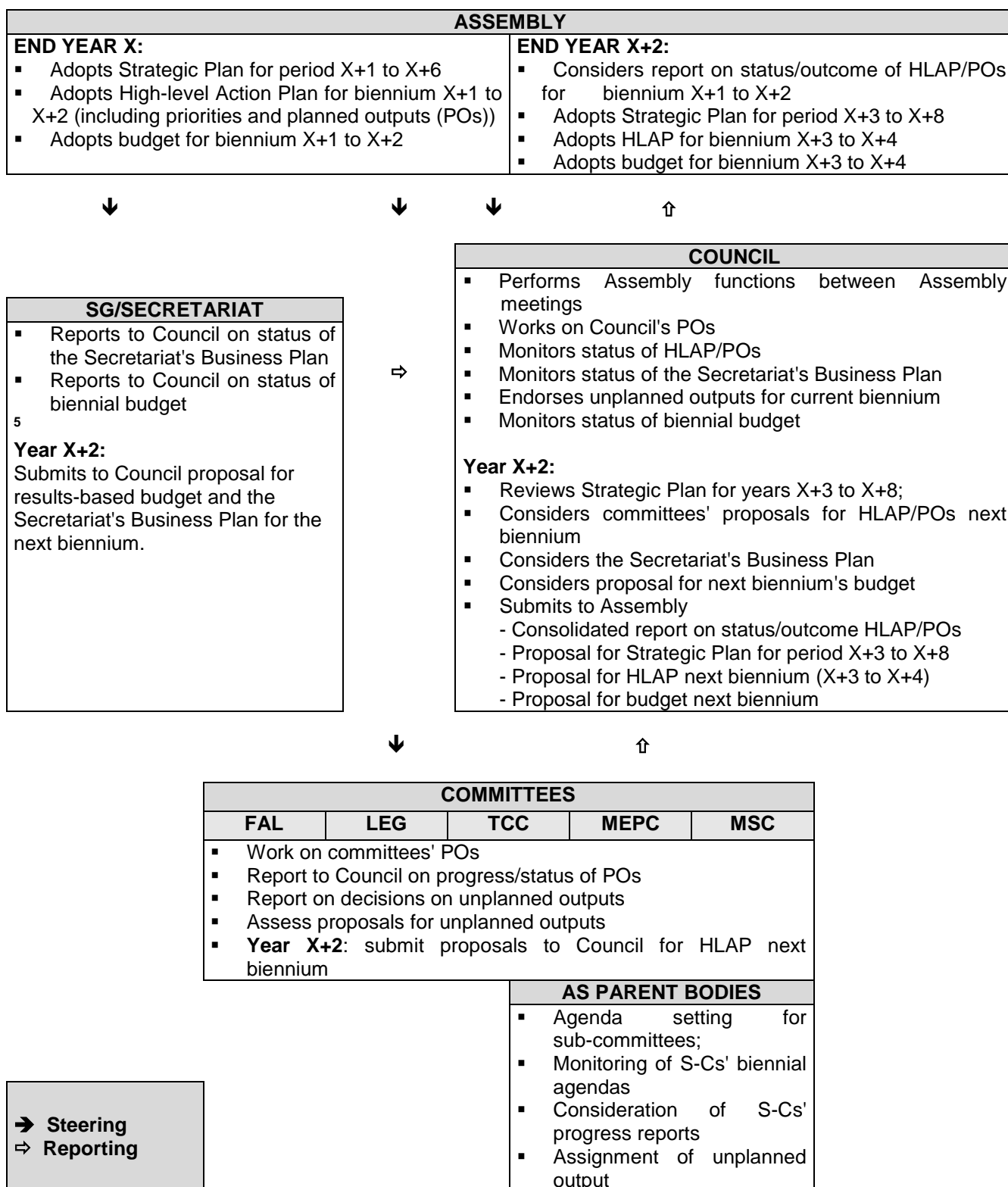
409.1 Reports on the status of ~~planned~~ outputs included in the High-level Action Plan [should] [shall] follow the format set out in annex 2, format 1, and [should] [shall] constitute or be annexed to the reports of each session of the sub-committees⁴ and the committees and the biennial report of the Council to the Assembly. Such reports [should] [shall] ~~separately~~ identify ~~unplanned~~ new outputs accepted for inclusion in the biennial agendas.

409.2 In preparing its own report, each organ [should] [shall] incorporate all reports on the status of ~~planned~~ outputs which it has received since its previous report.

409.3 The committees [should] [shall] establish and maintain post-biennial agendas which [should] [shall] follow format 2 set out in annex 2. These [should] [shall] be annexed to the reports of each session.

⁴ Should an associated organ not have been requested to consider a planned output during a session in the biennium, that organ is not required to include the specific output in its biennial agenda for that session.

DIAGRAM 2: IMO'S STRATEGIC PLANNING PROCESS – STEERING AND REPORTING FLOWS

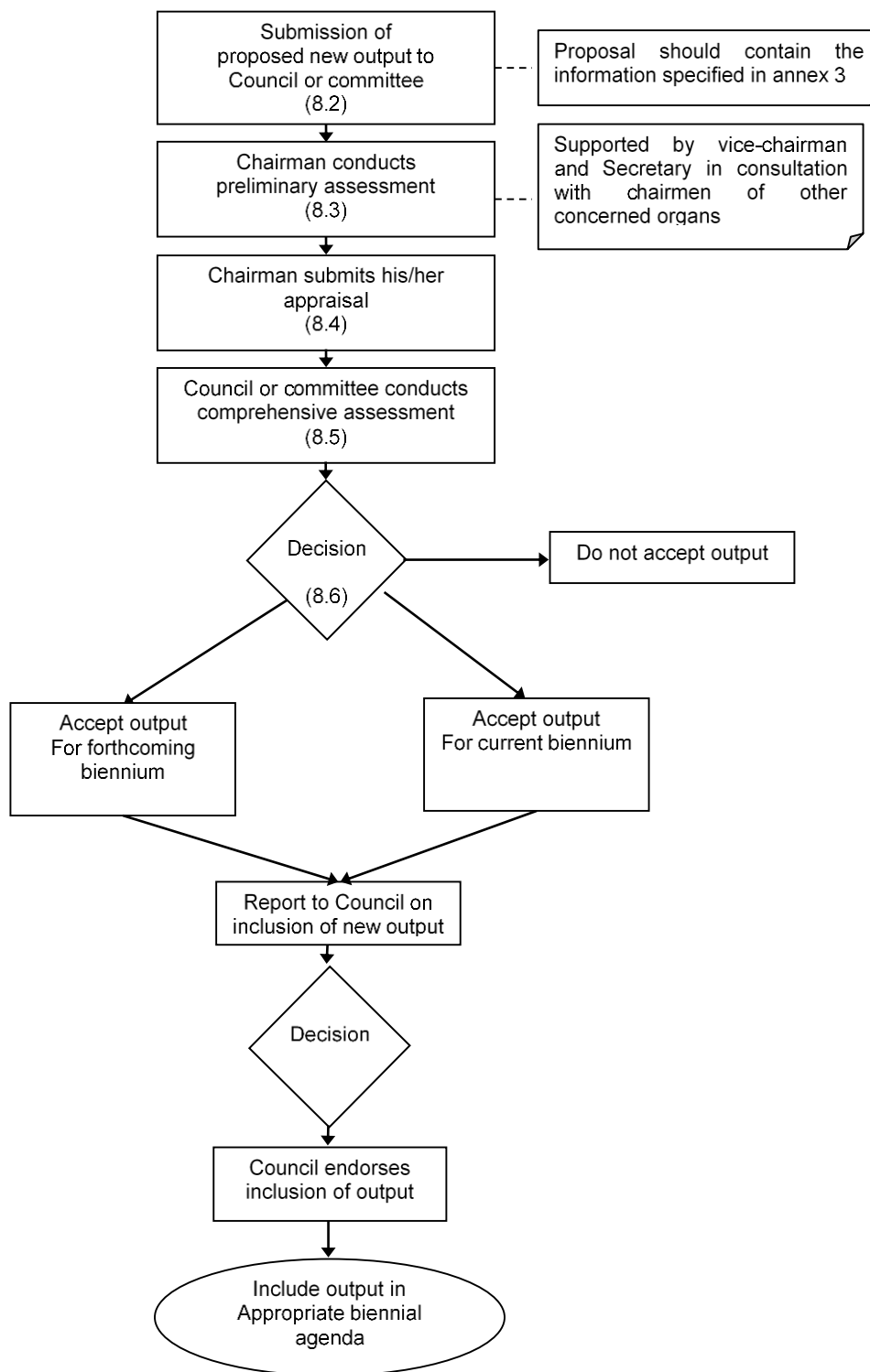


⁵ UK Comment in INF 2 "Given the Secretariat is no longer parent to any outputs (following the creation of Secretariat business plan) these reporting requirements as now redundant."
In response to questions – this comment referred to text on Secretariat reporting on "their" outputs which has been deleted, although it did not show up in the tracked changes. The text currently in box on reporting on budget will be maintained. Apologies for the slight confusion that caused.



SUB-COMMITTEES						
CCC	HTW	III	NSCR	PPR	SDC	SDE
<ul style="list-style-type: none">▪ Work on sub-committees' POs▪ Report to parent bodies on progress/status of POs▪ Review and report to parent bodies on biennial agenda						

DIAGRAM 3: MANAGEMENT OF NEW OUTPUTS



6

⁶ Diagram updated to reflect combined process. Diagram 3b deleted.

ANNEX 2
FORMAT 1: BIENNIAL STATUS REPORT

[Name of organ]								
Planned output number ^a	Description	Target completion year ^b	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Status of output for Year 1 ^c	Status of output for Year 2 ^c	References ^d
Notes:								
Notes:								

Notes:

- a When individual outputs contain multiple deliverables, the format should report on each individual deliverable.
- b The target completion year should be specified as a year, or indicate that the item is annual or continuous. This should not indicate a number of sessions.
- c The entries under the "Status of output" columns are to be classified as follows:
 - "completed" signifies that the output for the year s in question has ~~ve~~ been duly finalized;
 - "in progress" signifies that work on the ~~related~~ outputs has been progressed, ~~often with interim outputs (for example, draft amendments or guidelines) which are~~ and finalization is expected to be approved later in the same biennium;
 - "ongoing" signifies that the outputs relate to work of the respective IMO organs that is a permanent or continuous task; and
 - "postponed" signifies that the respective IMO organ has decided to defer the production of relevant outputs to another time (for example, until the receipt of corresponding submissions) and accordingly the output has been introduced on the post-biennial agenda;
 - "extended" signifies that further work is necessary and the output will not be finalized as planned; and
 - due to the nature of annual outputs, the status can either be "completed" or "postponed".
- d ~~If the output consists of the adoption/approval of an instrument (e.g. resolution, circular, etc.), that instrument should be clearly referenced in this column.~~ References should be made to the relevant part of the organs report on this item.

FORMAT 2: POST-BIENNIAL AGENDAS OF COMMITTEES

[NAME OF COMMITTEE]								
ACCEPTED POST-BIENNIAL OUTPUTS				Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Timescale	Reference
Number	Biennium ^e	Reference to High-level Actions	Description					

Notes:

e Biennium when the output was placed on the post-biennial agenda

ANNEX 3

Information required in submissions of proposals for inclusion of an ~~unplanned~~ output

(Reference: Guidelines, paragraph 8.2 and 9.2)

- .1 **IMO's objectives:** Provide evidence whether and how the proposal:
 - .1 is within the scope of IMO's objective; and
 - .2 is strictly related to the scope of the Strategic Plan and contributes to the implementation of the high-level actions established in the Strategic Plan.
- .2 **(Compelling) need:** Demonstrate and document:
 - .1 the need for a the proposed measure output in terms of the risks or hazards which are considered necessary to be addressed⁷; and
 - .2 ~~the compelling need for a proposal for a new convention or an amendment to an existing convention~~ the evidence to support the perceived need.
- .3 **Analysis of the issue:** Provide an analysis of the proposed measure, including an assessment ~~plausible demonstration~~ of its practicability, feasibility and proportionality.
- .4 **Analysis of implications:** Provide an analysis of the implications of the proposal, addressing the cost to the maritime industry as well as the relevant legislative and administrative burdens.
- .5 **Benefits:** Provide evidence that the benefits vis-à-vis enhanced maritime safety, maritime security or protection of the marine environment expected to be derived from the inclusion of the new item justify the proposed action.
- .6 **Industry standards:** Provide information on whether adequate industry standards exist or are being developed and the intended relationship between such standards and the proposed output.
- .7 **Output:** Specify the intended output in SMART terms (specific, measurable, achievable, realistic, time-bound) including the scope of application. ~~If a final output cannot be specified in the submission for a proposal for inclusion of an unplanned output, an interim output to be produced before the end of the current biennium should be specified in SMART terms.~~

⁷ If the proposed output included the development of a new Convention or the amendment of an existing Convention then the principles contain within A.500(XII) and A.998(25) of the demonstration of a "compelling need" should be respected.

- .8 **Human element:** Provide the completed checklist contained in MSC-MEPC.7/Circ.1 to demonstrate that the human element has been sufficiently addressed.
- .9 **Priority/urgency:** Provide, with reference to the current Strategic Plan and High-level Action Plan, evidence on:
- .1 the urgency of the proposed ~~unplanned~~ output including any proposal to include the proposed output on the biennial agenda;
 - .2 the date that the proposed ~~unplanned~~ output should be completed; and
 - ~~.3 timescale needed for the IMO organ to complete the work.~~
- .10 Action required: Specify the action required by the IMO organ.

ANNEX 4

**CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS
AND BURDENS⁸**

This e Checklist for Identifying Administrative Requirements and Burdens should be used when preparing the analysis of implications required in submissions of proposals for inclusion of ~~unplanned~~ outputs. For the purpose of this analysis, the terms "administrative requirements" and "burdens" are as is defined in resolution A.1043(27), i.e. administrative requirements are an obligation arising from future IMO mandatory instruments to provide or retain information or data, and administrative burdens are those administrative requirements that are or have become unnecessary, disproportionate or even obsolete.

Instructions:

- (A) If the answer to any of the questions below is **YES**, the Member State proposing an ~~unplanned~~ output should provide supporting details on whether the ~~burdens~~ requirements are likely to involve start-up and/or ongoing costs. The Member State should also make a brief description of the requirement and, if possible, provide recommendations for further work (e.g. would it be possible to combine the activity with an existing requirement).
- (B) If the proposal for the ~~unplanned~~ output does not contain such an activity, answer **NR** (Not required).

1 Notification and reporting? Reporting certain events before or after the event has taken place, e.g. notification of voyage, statistical reporting for IMO Members, etc.	NR	Yes <input type="checkbox"/> Start-up <input type="checkbox"/> Ongoing
Description: (if the answer is yes)		
2 Record keeping? Keeping statutory documents up to date, e.g. records of accidents, records of cargo, records of inspections, records of education, etc.	NR	Yes <input type="checkbox"/> Start-up <input type="checkbox"/> Ongoing
Description: (if the answer is yes)		
3 Publication and documentation? Producing documents for third parties, e.g. warning signs, registration displays, publication of results of testing, etc.	NR	Yes <input type="checkbox"/> Start-up <input type="checkbox"/> Ongoing
Description: (if the answer is yes)		
4 Permits or applications? Applying for and maintaining permission to operate, e.g. certificates, classification society costs, etc.	NR	Yes <input type="checkbox"/> Start-up <input type="checkbox"/> Ongoing
Description: (if the answer is yes)		

⁸ UK Comment in INF.2: Note this checklist is also found as Annex to MSC/MEPC guidelines – recommend that Council suggest the Committees remove it and reference GAP directly instead. Also suggest that the Human Element Checklist is added here as annex.
Canada suggesting only delete from MSE/MEPC guidelines if applies to all committees (LEG, FAL, TC) – **Response** it is currently in LEG, FAL guidelines, but not in TC guidelines, **Question** is that a reason why it should not apply to TC.

5 Other identified <u>requirements</u> burdens?	NR	Yes <input type="checkbox"/> Start-up <input type="checkbox"/> Ongoing
Description: (if the answer is yes)		

ANNEX 5

CHECKLIST FOR CONSIDERING HUMAN ELEMENT ISSUES BY IMO BODIES⁹

<p>Instructions: If the answer to any of the questions below is:</p> <p>(A) YES, the preparing body should provide supporting details and/or recommendation for further work.</p> <p>(B) NO, the preparing body should make proper justification as to why human element issues were not considered.</p> <p>(C) NA (Not Applicable) – the preparing body should make proper justification as to why human element issues were not considered applicable.</p>	
<p>Subject Being Assessed: (e.g. Resolution, Instrument, Circular being considered)</p>	
<p>Responsible Body: (e.g. Committee, Sub-committee, Working Group, Correspondence Group, Member State)</p>	
1. Was the human element considered during development or amendment process related to this subject?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
2. Has input from seafarers or their proxies been solicited?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
3. Are the solutions proposed for the subject in agreement with existing instruments? (Identify instruments considered in comments section)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
4. Have human element solutions been made as an alternative and/or in conjunction with technical solutions?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
5. Has human element guidance on the application and/or implementation of the proposed solution been provided for the following:	
• Administrations?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Ship owners/managers?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Seafarers?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Surveyors?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
6. At some point, before final adoption, has the solution been reviewed or considered by a relevant IMO body with relevant human element expertise?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
7. Does the solution address safeguards to avoid single person errors?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
8. Does the solution address safeguards to avoid organizational errors?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
9. If the proposal is to be directed at seafarers, is the information in a form that can be presented to and is easily understood by the seafarer?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA

⁹ Checklist from MSC-MEPC.7/Circ.1

<p>Instructions: If the answer to any of the questions below is:</p> <p>(A) YES, the preparing body should provide supporting details and/or recommendation for further work.</p> <p>(B) NO, the preparing body should make proper justification as to why human element issues were not considered.</p> <p>(C) NA (Not Applicable) – the preparing body should make proper justification as to why human element issues were not considered applicable.</p>	
<p>Subject Being Assessed: (e.g. Resolution, Instrument, Circular being considered)</p>	
<p>Responsible Body: (e.g. Committee, Sub-committee, Working Group, Correspondence Group, Member State)</p>	
10. Have human element experts been consulted in development of the solution?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<p>11. HUMAN ELEMENT: Has the proposal been assessed against each of the factors below?</p>	
<input type="checkbox"/> CREWING. The number of qualified personnel required and available to safely operate, maintain, support, and provide training for system.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> PERSONNEL. The necessary knowledge, skills, abilities, and experience levels that are needed to properly perform job tasks.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> TRAINING. The process and tools by which personnel acquire or improve the necessary knowledge, skills, and abilities to achieve desired job/task performance.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> OCCUPATIONAL HEALTH AND SAFETY. The management systems, programmes, procedures, policies, training, documentation, equipment, etc. to properly manage risks.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> WORKING ENVIRONMENT. Conditions that are necessary to sustain the safety, health, and comfort of those on working on board, such as noise, vibration, lighting, climate, and other factors that affect crew endurance, fatigue, alertness and morale.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> HUMAN SURVIVABILITY. System features that reduce the risk of illness, injury, or death in a catastrophic event such as fire, explosion, spill, collision, flooding, or intentional attack. The assessment should consider desired human performance in emergency situations for detection, response, evacuation, survival and rescue and the interface with emergency procedures, systems, facilities and equipment.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> HUMAN FACTORS ENGINEERING. Human-system interface to be consistent with the physical, cognitive, and sensory abilities of the user population.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA

Instructions:

If the answer to any of the questions below is:

- (A) **YES**, the preparing body should provide supporting details and/or recommendation for further work.
- (B) **NO**, the preparing body should make proper justification as to why human element issues were not considered.
- (C) **NA** (Not Applicable) – the preparing body should make proper justification as to why human element issues were not considered applicable.

Subject Being Assessed: (e.g. Resolution, Instrument, Circular being considered)

Responsible Body: (e.g. Committee, Sub-committee, Working Group, Correspondence Group, Member State)

- Comments:**
- (1) Justification if answers are NO or Not Applicable.
 - (2) Recommendations for additional human element assessment needed.
 - (3) Key risk management strategies employed.
 - (4) Other comments.
 - (5) Supporting documentation.