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COUNCIL
90th session
Agenda item 14

C 90/14/Add.1
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**CONSIDERATION OF THE STRATEGY AND POLICY OF THE ORGANIZATION,
INCLUDING THE REPORT OF THE WORKING GROUP**

Note by the Secretary-General

SUMMARY

Executive summary: This document contains the report of the second intersessional meeting of the *ad hoc* Council Working Group on the Organization's Strategic Plan.

The Chairman of the Working Group has requested that: In view of the importance of the Strategic Plan to the future direction of the work of the Organization, all Members (whether Council Members or not) are urged to attend the forthcoming session of the Council in order to contribute to the discussions on its content and scope and the decisions to be made.

Action to be taken: Paragraph 3

Related documents: C 89/12 and Add.1, C 89/D, paragraph 12.1

1 The Council, at its eighty-eighth session, decided (C 88/D, paragraph 13.1) to establish an *ad hoc* Council Working Group to draft a strategic plan for the Organization, under the chairmanship of its Vice-Chairman, Mr. J. Franson (Sweden). The *ad hoc* Group met at its first session from 16 to 18 September 2002 (see Circular letter No. 2390 of 4 July 2002).

2 The *ad hoc* Council Working Group met at its second session from 31 March to 3 April 2003 (see Circular letter No. 2451 of 3 February 2003) and its report is attached at annex to this document.

Action requested of the Council

3 The Council is invited to consider the outcome of the second intersessional meeting of the *ad hoc* Council Working Group, approve the report in general and, in particular, to:

- .1 consider and approve the Mission Statement for the Organization (paragraph 3.7 and annex 2*);

* References are to paragraphs of, and annexes to, the report of the Working Group

- .2 note the trends, developments and challenges facing the Organization over the Strategic Plan period (paragraphs 4.4 to 4.17 and annex 3);
- .3 approve the strategic directions for the Organization over the Strategic Plan period (paragraphs 4.18 to 4.31 and annex 4);
- .4 consider the Chairman's summing-up of progress to date and decide on the way forward with respect to further elaboration of the Strategic Plan (paragraph 5.16);
and
- .5 approve the recommendation that the Strategic Plan be developed on a six-year, or possibly eight-year basis, with reviews at each biennium to ensure that it is maintained up-to-date (paragraph 8.1).

ANNEX

**AD HOC COUNCIL WORKING GROUP
ON THE ORGANIZATION'S STRATEGIC PLAN
30 March to 3 April 2003**

REPORT OF THE SECOND MEETING

1 GENERAL

1.1 The *Ad-hoc* Working Group on the Organization's Strategic Plan met from 30 March to 3 April 2003 under the chairmanship of Mr. J. Franson (Sweden).

1.2 The meeting was attended by representatives from the following Member Governments:

ARGENTINA	MEXICO
BAHAMAS	NETHERLANDS
BRAZIL	NIGERIA
CANADA	NORWAY
CHILE	PANAMA
CHINA	PHILIPPINES
CYPRUS	POLAND
DENMARK	REPUBLIC OF KOREA
ECUADOR	RUSSIAN FEDERATION
FRANCE	SINGAPORE
GREECE	SPAIN
ITALY	SWEDEN
JAPAN	TURKEY
LIBERIA	UNITED KINGDOM
MALTA	UNITED STATES
MARSHALL ISLANDS	VENEZUELA

and the following Associate Member of IMO:

HONG KONG, CHINA.

2 ADOPTION OF THE AGENDA

2.1 The Working Group recalled that at its first session it had developed: a possible mission statement for the Organization; nine preliminary strategic directions; some examples of a future framework of the Strategic Plan and provisional performance indicators and noted that much of the work of the second session would be building on, and refining, this earlier work.

2.2 In adopting its agenda (annex 1), the Working Group agreed that, as at its first session, a record of decisions should be prepared by the Secretariat as the meeting progressed with the final report of the session to be compiled by the Secretariat in consultation with the Chairman after the meeting.

2.3 The Working Group gave preliminary consideration to the terminology to be used in order to develop a common understanding of such terms as: strategic directions, aims, objectives and goals but agreed to consider precise definitions under agenda item 4.

3 REVIEW OF DRAFT MISSION STATEMENT

3.1 The Group recalled that the draft Mission Statement developed by the Group at its first session (C 89/12/Add.1, annex 2, appendix 4) was based on Article 1 of the IMO Convention and took into account resolution A.900 (21) and the Mission Statement in the Work Programme and Budget for 2002-2003 (C 86/10).

3.2 Cyprus, the Netherlands, United Kingdom, Sweden and Singapore (Singapore and others) (CWGSP 2/3, paragraph 1) considered that the draft Mission Statement developed at the first session would benefit from some abbreviation and proposed a more concise draft based on the original text.

3.3 Brazil (C 89/12/2, paragraph 5 and annex 2) proposed an IMO policy and related mission also in a more concise format.

3.4 In considering the alternative drafts, the Working Group expressed a preference for the abbreviated text in document CWGSP 2/3, subject to some additions and amendments. A number of delegations sought to include in the Mission Statement references to capacity-building and the adoption of a proactive approach by IMO but the Working Group agreed that these issues should form part of the strategic directions for the future.

3.5 The Working Group considered whether the expression ‘technical matters of all kinds’ should be expanded to make clear that the mission of the Organization extended beyond purely technical issues and included operational, management and training issues. The Working Group noted that, as the IMO Convention prevailed over the Mission Statement, it was preferable to maintain brevity in the Mission Statement with the understanding that technical matters of all kinds included these other issues.

3.6 In considering references to the Organization’s work with respect to legal matters, the Working Group agreed that, in order to preserve a succinct Mission Statement, it was not necessary to make references to legal liability and compensation measures such as the CLC Convention and the IOPC Fund.

3.7 The Working Group also considered the intended meaning of the term ‘sustainable’ and, whilst recognizing its common usage in the phrase ‘sustainable development’, which was understood to mean that economic, social and environmental concerns are both addressed and fulfilled, could not agree whether the term also addressed efficiency. The Working Group therefore agreed to retain the word ‘efficient’ in square brackets in the revised draft Mission Statement at annex 2 and invited the Council to decide.

4 REVIEW OF STRATEGIC DIRECTIONS

General

4.1 In opening the discussions, the Chairman expressed the view that clarity and brevity were essential attributes for the Strategic Plan and he also reminded the Working Group that the

development of the Plan should be guided by the provisions in the resolutions stated in the terms of reference for the Group: A.900(21), A.901(21) and A.909(22).

4.2 The Working Group agreed that the strategic directions should flow from the Mission Statement and also agreed that, in seeking to develop the future strategic directions for the Organization, it was firstly necessary to clearly identify the trends, developments and challenges facing the Organization and for Council to note that all of the strategic directions proposed by the Working Group were based on an analysis of those factors.

4.3 In considering the trends, developments and challenges identified at its first session (C 89/12/Add.1, annex, appendix 1), and those identified by Singapore and others (CWGSP 2/3), the Working Group agreed to use the more concise text in document CWGSP 2/3 as the basis for its discussions.

Trends, developments and challenges

4.4 The Working Group agreed that the trends and developments in the shipping industry and the related challenges facing the Organization in the future could be grouped under eight broad headings (as in document CWGSP 2/3), which were discussed in turn and amended as appropriate. The outcome of the Working Group's discussions on trends, developments and challenges facing the Organization is at annex 3.

Globalization

4.5 The Working Group agreed that globalization was a significant factor in the shipping industry and raised challenges for the Organization in the future. In addition to the need for IMO to be proactive in identifying trends and developments affecting shipping and comprehensive and inclusive in its approach, the Working Group agreed that it was also challenged to stave off regional or unilateral tendencies in conflict with its regulatory framework and also involve the whole of the membership in the formulation and adoption of policy.

Heightened maritime safety concerns

4.6 The Working Group considered a challenge under the heading of: The relentless campaign against sub-standard shipping (CWGSP 2/3, paragraph 4) and expressed concern about the mixing of two different issues – implementation of safety standards globally and the development of a safety culture. The Working Group agreed with the views expressed by a number of delegations that references to specific ships' names in the text were inappropriate and should be deleted, as should references to 'a campaign against sub-standard shipping' as the campaign was not being conducted under the auspices of the Organization. The Working Group also agreed that better implementation of IMO standards was a challenge that affected all IMO members, not only developing countries, and that the text should make clear the need for effective implementation, the benefits to be gained from a transparent, inclusive and positive approach to standard-setting and the challenge for IMO to develop a quality and safety culture.

4.7 On the basis of a draft text prepared by a small number of delegations, the Working Group agreed to a revised heading: Heightened maritime safety concerns, with revised text which included reference to the chain of responsibility and the important role of all stakeholders in implementing and raising standards. The related challenges for IMO included the need to enhance technical, operational and safety management standards and to eliminate shipping that fails to meet and maintain them and to identify and evaluate factors influencing a safety culture

in order to develop practical and effective mechanisms to further develop a quality and safety culture.

Heightened maritime security concerns

4.8 The Working Group agreed the text in document CWGSP 2/3, paragraph 3 without amendment.

Heightened environmental consciousness

4.9 The Working Group agreed that there was a growing public intolerance to environmental pollution from shipping, particularly pollution caused by accidents, which harmed coastal amenities, aquatic species and birds and that this trend was likely to continue. The Working Group expressed its concern over the apparent lack of public concern with respect to the loss of life of seafarers in recent years.

4.10 In order to maintain the forward-looking theme of the trends and developments, the Working Group removed references to specific activities being undertaken by IMO under its work programme and identified challenges to the Organization which were in line with the global emphasis on sustainable development, including the need to be proactive and to develop effective responses to shipping incidents to mitigate their impact on the environment, should they occur.

People at sea

4.11 In the context of IMO's role in safety of life at sea, the Working Group noted the development of large passenger ships with capacities of several thousand persons, the trend for increased use of ferries and high-speed craft to provide essential regional and archipelagic links and the growing number of migrants transported by sea, all of which had heightened concerns about the safety of human life at sea and the importance of effective search and rescue operations in the case of distress. The Working Group noted that the number of people at sea may be less than was the case when ships were smaller and crews larger but that the concentrations of large numbers of people at sea was a more recent development. The Working Group identified the challenge for IMO to ensure that all systems related to ensuring the safety of life at sea are adequate, including dealing with large concentrations of people.

The importance of capacity-building towards ensuring universal and uniform application of IMO instruments

4.12 In considering universal and uniform application of IMO instruments the Working Group noted the need to narrow the 'implementation gap' and further noted that it was not limited to developing countries; the importance of the ITCP in capacity-building and the challenge of ensuring a sustainable and equitable means of funding it and improving its delivery and effectiveness. The Working Group also noted advice provided by the Secretariat that, at present, the ITCP had sufficient funds to address its current programmes.

Shifting emphasis onto people

4.13 The Working Group recalled that resolution A.900(21) set objectives for the 2000s, including shifting emphasis onto people, and agreed that in the context of the Strategic Plan, 'people' referred to all involved in the shipping and fishing industries including those involved in design and construction, operation and management. The Working Group also recognized that

decisions made by stakeholders forming one link in the chain of responsibility can have unintended and unforeseen consequences on others in the chain and that ineffective communication is a major cause in human element-related accidents.

4.14 The Working Group agreed that the challenge for the Organization is to increase its emphasis on the human element in safer and more secure shipping and to continuously improve measures to enhance human performance in the maritime industry.

Technology as a major driving force for change in the maritime transport sector

4.15 The Working Group considered both technological developments related to shipping and developments in information and communication technology and their effect on the work of the Organization in the future. The Working Group noted that technological developments can provide benefits and opportunities but may not always do so and it was therefore a challenge for the Organization to ensure that any technological developments adopted in the future enhance safety, security and environmental protection.

4.16 The Working Group agreed the growing importance of transparency and access to data and information for the Organization, the shipping industry and civil society (C 89/12/2, annex 1). The Working Group agreed on the need to manage information effectively and identified a challenge for the Organization to provide ready access to its standards through an effective cataloguing and indexing system.

Safety management in port areas

4.17 The Republic of Korea proposed an additional challenge for IMO in managing safety in port areas for the prevention of casualties and for environmental protection. The Working Group noted that IMO has no standards for safety management in port areas but that ship-port interface matters are becoming more important, particularly in the context of maritime security. The Working Group considered that the hazard factors identified by the Republic of Korea (non-observance of routing measures, congestion on radio frequencies, malfunction of navigational aids etc.) should be addressed on a national basis and therefore did not consider safety management in port areas to be a trend, development or challenge that need to be considered by the Organization within the period of the first Strategic Plan.

Strategic directions

4.18 Following identification of the trends, developments and challenges facing the Organization in the future, the Group considered the related strategic directions. The Working Group agreed that it was important that the strategic directions flowed from the Mission Statement and that their basis could be found in the challenges to be faced by the Organization. The Working Group agreed that their identification and refinement should be an iterative process, as should the identification and refinement of the trends, developments and challenges.

4.19 The Working Group developed strategic directions based on document CWGSP 2/3, paragraph 10, and under three broad categories:

- 1 Enhancing the status and effectiveness of the IMO;
- 2 Developing and maintaining a comprehensive framework for safe, secure, efficient and environmentally sound shipping; and

3 Shipping profile, quality culture and environmental consciousness.

The outcome of the Working Group's discussions on strategic directions is at annex 4.

Enhancing the status and effectiveness of the IMO

4.20 The Working Group agreed that the IMO is the primary international forum for technical matters affecting international shipping and agreed that its future strategy should be to continually affirm its primacy through developing its role in maritime affairs vis-à-vis other intergovernmental organizations, seek to reap synergies and avoid duplication of efforts made by other UN agencies in shipping matters and to actively engage the various stakeholders involved.

4.21 In considering its role in the promotion of uniform implementation of its instruments the Working Group agreed that the Organization should strengthen its capacity-building programmes through developing partnerships and ensuring the long-term sustainability of the ITCP.

4.22 With respect to its internal organization, governance and management, the Working Group considered a proposal made by the delegation of Brazil, based on document C 89/12/2, with respect to the restructuring of the Organization (see annex 5). The Working Group noted that some restructuring of the Committee structure and the Secretariat might be appropriate in the future and, whilst supporting the general thrust of the proposals, considered that issues of restructuring should not be considered by the Organization until determination of its strategy for the future.

4.23 The Working Group further noted that, to address its strategic plan, the future work of the Organization will have to be tailored and prioritised within approved biennial appropriations and that effective use of information and communication technology in management and administration will be necessary, in addition to the provision of the necessary expertise and resources.

Developing and maintaining a comprehensive framework for safe, secure, efficient and environmentally sound shipping

4.24 The Working Group considered the development and maintenance of a comprehensive framework for safe, secure, efficient and environmentally sound shipping on the basis of document CWGSP 2/3 and a revised text prepared by the delegation of the Netherlands which took into account the challenges identified for the Organization in the future.

4.25 The Working Group agreed that the Organization should accord the highest priority to human life at sea and, in considering its strategy with respect to environmental protection, should promote a co-operative approach both between Member States and between IMO and other organizations.

4.26 The Working Group also considered the work of the Facilitation Committee and identified a need to not unduly affect the efficiency of shipping when promoting safety, security and environmental protection. The Working Group considered that tools such as FSA were important in this regard to ensure appropriate responses to identified problems.

4.27 In considering document C 89/12/3, the Working Group agreed that it was important that the human rights of seafarers be included in the strategic directions and therefore included reference to safeguarding the human rights of seafarers in secure shipping.

4.28 The Working Group also agreed that, as part of its future strategy, the Organization should pay special attention to the shipping needs of small island developing States (SIDS) and the least developed countries (LDC).

Shipping profile, quality culture and environmental consciousness

4.29 Under this category the Working Group considered issues beyond the Organization's regulatory work. The Working Group agreed that, in conjunction with other stakeholders, IMO should seek to raise the profile of shipping in the eyes of civil society and particularly its important contribution to global trade.

4.30 The Working Group also agreed that IMO will, as part of its strategy to raise awareness, seek to enhance the quality of shipping and environmental consciousness within the shipping community through use of the best available techniques and technology; through transparency with respect to information and through ensuring that all stakeholders in the chain of responsibility are aware of, and meet, their obligations.

4.31 The Working Group agreed that IMO should publicize the positive aspects of the shipping industry in relation to safety and environmental protection so that any accidents or pollution incidents would be viewed in a proper perspective.

5 DEVELOPMENT OF OBJECTIVES, GOALS AND PERFORMANCE INDICATORS

5.1 Before attempting to identify objectives, goals and performance indicators, the Working Group considered the number of 'layers' necessary in the Strategic Plan. It was agreed that the Mission Statement was the highest layer, followed by the strategic directions. Some delegations considered that the next layer down should be the defined and measurable objectives that had to be met in order to fulfil the strategic directions. Other delegations considered that the 3 broad categories identified (paragraph 4.19) could be considered to be the strategic directions with the related bullet points under each category making the objectives.

5.2 In order to clarify the issue, the Working Group agreed a definition of an objective as something which is specific, measurable, achievable and realizable, which could also be time-based. The majority of delegations which spoke considered that it was important to identify objectives in order to be able to measure progress towards achievement of the Strategic Plan. Others considered that identifying numerous objectives would add little value and might duplicate existing work programmes.

5.3 In order to make progress on identifying objectives based on the strategic directions, two study groups were established to review the category: Developing and maintaining a comprehensive framework for safe, secure, efficient and environmentally sound shipping, and to provide exemplar text for objectives in that category. The proposals made by the two groups were however inconclusive in respect of an agreed way forward as fundamentally different philosophical approaches were taken by each group.

5.4 To provide examples of a possible set of objectives for the information and consideration of the Council, another small *ad hoc* group prepared preliminary draft objectives based on those developed previously. The examples are given at annex 6.

Example objectives

5.5 The Chairman invited the Working Group to give preliminary consideration to the preliminary draft objectives in order to gain an understanding of any concerns.

5.6 The delegation of Norway expressed the view that technical input was necessary in the development of the objectives and reserved its position on the text.

5.7 The delegation of the United States understood the philosophy underlying the example objectives but expressed concern about the definitions of the words used and the possibility of confusion.

5.8 A number of delegations noted the need for the Strategic Plan to be concise but expressed concern about over-simplification and the danger of omitting key objectives. Other delegations considered that it was the Council's role to set objectives in measurable terms (e.g. to reduce x by y % per annum).

5.9 In considering the way forward, particularly in view of the terms of reference for the Working Group to take into account the timing of the 90th session of the Council and the 23rd Assembly, the Working Group agreed that it was not possible to complete a plan detailing all of the objectives, high-level action plans and priorities required by the terms of reference that could be fully implemented within the timescale proposed but that it was nevertheless important to put in place a monitoring system to derive benchmarks or baselines against which performance could be measured.

5.10 The delegation of Cyprus expressed the view that there were two ways forward that might be considered to complete the work: either to submit the work done so far for the Council's consideration and direction at its 90th session or to request the convening of an additional *ad hoc* meeting of the Working Group between June and September 2003 to continue the work of identifying the objectives and to address the remaining outstanding issues with a view to reporting progress to the 22nd Extraordinary session of the Council and the 23rd Assembly concurrently.

5.11 The United States delegation expressed the view that, as the Strategic Plan would not affect decisions on the Work Programme and Budget for the next biennium (2004-2005), there was sufficient time to complete the work to enable the Plan to inform the Organization's work in the following biennium (2006-2007).

5.12 The United Kingdom delegation expressed the view that it would use three tests to determine whether the draft objectives were appropriate: whether they add value to the existing text; whether they meet the provisions of Article 21 of the IMO Convention, that is, have the views of the Committees been obtained on the proposals, and whether they are measurable.

5.13 A number of delegations drew attention to the fact that adoption of the strategic directions was important as they would form the basis of the criteria to be used for assessing the Work Programme and Budget for the biennium 2006-2007.

5.14 A number of delegations recalled that the report of the meeting would be translated into all three working languages of the Organization which was important in order to obtain the views

of those delegations not represented at the meeting due to the fact that the meeting was conducted in English only.

5.15 A number of delegations expressed the view that it was difficult to distinguish between objectives, tasks and work programme items and this led them to the conclusion that there was a risk that the Council would micro-manage the work of the Committees. To avoid this situation it was proposed that the Strategic Plan be forwarded to the Committees for consideration and for the Committees to provide comments to the Council in sufficient time for Council to give its approval to the Strategic Plan in June 2004.

5.16 In summing up the discussion, the Chairman decided to include in the report to the Council the example objectives, as drafted, and to request the Council to decide whether to task the Working Group with developing objectives, baselines (lines serving as the basis for measurement or comparison), benchmarks (measurements to compare with specified standards or similar products or services) and performance indicators at a future meeting, or to forward the work done so far to the Committees for comment.

5.17 The Chairman noted that, in the event that Council decides to task the Working Group with further work, the terms of reference would have to be considered in order to avoid confusion over the philosophy and terminology to be adopted in the Strategic Plan.

Performance indicators

5.18 The Netherlands (CWGSP 2/4) reported the results of a desk study concerning relevant indicators and sources of information for the measurement of performance of IMO and its Member States. The study drew attention to the decline in sources of casualty and fleet data and the limited availability of information on pollution; the value of inspection data and the limited value-added from other data sources which are often only of specific interest to the organizations concerned

5.19 The Working Group agreed to provide example performance indicators, based on those given in document CWGSP 2/3, as an annex to its report for the information of the Council (see annex 7).

5.20 In response to a request by the Working Group and for the information of the Council, the Secretariat has listed at annex 8 the main sources of information currently available to the Secretariat which might be used when considering the collection and collation of data.

6 IDENTIFICATION OF HIGH-LEVEL ACTION PLANS AND PRIORITIES

6.1 Due to lack of progress in identifying measurable objectives, the Working Group did not discuss this agenda item.

7 ASSESSMENT CRITERIA AND BENCHMARKS

7.1 Due to lack of progress in identifying measurable objectives, the Working Group did not discuss this agenda item in detail. References to benchmarks can be found in paragraphs 5.9 and 5.16 above.

8 PLANNING CYCLES

8.1 The Working Group noted that its terms of reference required the development of a five-year Strategic Plan whereas the Work Programme and Budget is reviewed and agreed on a biennial basis. The Group therefore recommended that the Strategic Plan be developed on a six-year or possibly eight-year basis, with reviews at each biennium to ensure that it is maintained up-to-date.

9 ANY OTHER BUSINESS

9.1 The Working Group agreed to a proposal by the delegation of the Philippines that, in view of the importance of the Strategic Plan to the future direction and work of the Organization, all Members should be urged to attend the 90th session of the Council in order to contribute to the discussions on its content and scope.

10 CONSIDERATION AND ADOPTION OF SUMMARY OF DECISIONS

10.1 As noted in paragraphs 3.7, 4.4 and 4.19 above, the decisions made by the Working Group can be found at annexes 2, 3 and 4.

11 ACTION REQUESTED OF THE COUNCIL

11.1 The Council is invited to consider the outcome of the second intersessional meeting of the *ad hoc* Council Working Group and to:

- .1 consider and approve the Mission Statement for the Organization (paragraph 3.7 and annex 2);
- .2 note the trends, developments and challenges facing the Organization over the Strategic Plan period as identified by the Working Group (paragraphs 4.4 to 4.17 and annex 3);
- .3 approve the strategic directions for the Organization over the Strategic Plan period (paragraphs 4.18 to 4.31 and annex 4);
- .4 note the proposal made by the delegation of Brazil with respect to restructuring of the Organization (paragraph 4.22 and annex 5);
- .5 note the discussions on the development of objectives and the examples developed by the Working Group (paragraphs 5.1 to 5.17 and annex 6);
- .6 consider whether the Working Group should be re-convened to continue development of the Strategic Plan or whether the advice of the Committees should be sought before undertaking further work (paragraph 5.16);
- .7 note the examples of possible performance indicators (paragraph 5.19 and annex 7);
- .8 note the sources of information currently available to the Secretariat which might be used when considering the collection and collation of data (paragraph 5.20 and annex 8);

- .9 approve the recommendation that the Strategic Plan be developed on a six-year or possibly eight-year basis, with reviews at each biennium to ensure that it is maintained up-to-date (paragraph 8.1); and
- .10 approve the report in general.

ANNEX 1

AGENDA

**Second Session of the *Ad Hoc* Council Working Group on the Organization's Strategic Plan
to be held at IMO Headquarters, 4 Albert Embankment, London SE1
from Monday, 31st March to Friday, 4 April 2003**

(Session commences at 9.30 a.m. on Monday, 31st March 2003)

Opening of the session

- 1 Adoption of the agenda
- 2 Review of draft Mission Statement
- 3 Review of Strategic Directions
- 4 Development of objectives, goals and performance indicators
- 5 Identification of high-level action plans and priorities
- 6 Assessment criteria and benchmarks
- 7 Planning cycles
- 8 Any other business
- 9 Consideration and adoption of summary of decisions

ANNEX 2

DRAFT MISSION STATEMENT

The mission of the International Maritime Organisation (IMO), as a United Nations specialized agency, is, through co-operation, to promote safe, secure, environmentally sound, [efficient] and sustainable shipping. This will be accomplished by the adoption of the highest practicable standards in maritime safety and security, efficiency of navigation, and the prevention and control of pollution from ships, as well as the consideration of legal matters related thereto, and the effective implementation of its instruments towards their universal and uniform application.

ANNEX 3

TRENDS, DEVELOPMENTS AND CHALLENGES TO THE IMO

Globalization

1 Today's globalized world is characterised by the freer movement of people, goods and information. It is a more interconnected world, whereby the actions in one part of the world have implications elsewhere. In tandem with the expansion of commerce is the elevation of the importance of shipping as the major facilitator of global trade. Globalisation has also given rise to new players in the maritime arena. For instance, mega shipping conglomerates and alliances, as well as global terminal operators wield increasing influence on global trade, the maritime transport sector and shipping matters at large. At the same time, there is concern that shipping standards might be compromised by the forces of liberalisation and competition sweeping through the maritime sector. There has also been increased interaction between the IMO and other intergovernmental organisations, as well as non-State actors such as industry and special interest groups, given the need for a more comprehensive and inclusive approach to shipping matters. *The challenge to the IMO is to (1) be proactive in identifying trends and developments affecting shipping, (2) be comprehensive and inclusive in its approach to shipping matters, (3) be effective and efficient in responding to shipping trends, developments and incidents, and in doing so, stave off regional or unilateral tendencies which are in conflict with the Organization's regulatory framework and (4) involve the whole of the IMO membership in the formulation and adoption of policy.*

Heightened Maritime Safety Concerns

2 Enhancing maritime safety through ensuring that each link in the chain of responsibility fully meets its obligations is a priority for the maritime community as a whole. Flag, port and coastal States, shipowners, classification societies and other stakeholders all have an important role to play in collectively implementing, maintaining and raising the standards of shipping. Access to information, transparency and an inclusive approach to developing measures for the uniform and effective implementation of IMO instruments are also critical success factors in enhancing maritime safety. *The challenge for the IMO is to enhance technical, operational and safety management standards and to eliminate shipping that fails to meet and maintain these standards at all times. A further challenge is to identify and evaluate factors influencing a safety culture and to turn them into practical and effective mechanisms for further developing a quality and safety culture throughout the maritime community*

Heightened Maritime Security Concerns

3 The terrorist attacks of 11 September 2001 have sent shock waves throughout the maritime and port community, propelling collective action between IMO member States, other intergovernmental and non-governmental organisations to introduce new measures to the maritime transport sector to enhance maritime and port security, and in doing so, safeguard any disruptions to global trade. Following the adoption of amendments to SOLAS to introduce the new International Ship and Port Facility Security Code, what lies ahead is the effective implementation of the new measures to enhance global maritime security. At the same time there are growing concerns that new security measures should not unduly affect the efficiency of shipping and port operations, more so in an interconnected world highly dependent on sea borne trade. *The challenge to the IMO is to promote the effective implementation of the new security*

measures, to instil a security consciousness in ship and port facility operations and at the same time, to ensure that the right balance is struck with trade facilitation, and that seaborne trade will continue to be smooth and efficient.

Heightened Environmental Consciousness

4 There is clearly growing public intolerance to environmental pollution from shipping incidents as experienced from several accidents. There is also heightened concern over the impact of global shipping activities on the environment, giving impetus to efforts, such as ensuring the preservation of aquatic systems and not allowing the introduction of harmful substances from ships in the marine environment. *The challenge to IMO, in line with the global emphasis on sustainable development, is: (1) to be proactive in identifying and addressing shipping activities that could have an adverse impact on the environment and (2) to develop effective responses to shipping incidents to mitigate the impact on the environment, should they occur.*

People at Sea

5 In line with IMO's fundamental principle to protect the lives of all those at sea, the advent of large passenger ships with capacities of several thousand persons, the increased use of ferries and high-speed craft to provide essential regional and archipelagic links, the growing number of migrants transported by sea and the continuing loss of seafarers' lives at sea have heightened concerns over the safety of human life at sea and the success of search and rescue operations in the case of distress. Such concerns include the safe operation of ships and whether current response capabilities to deal with emergencies are adequate. *The challenge to IMO therefore is to ensure that all systems related to ensuring the safety of life at sea are adequate, including dealing with large concentrations of people.*

The Importance of Capacity Building towards Ensuring Universal and Uniform Application of IMO Instruments

6 The IMO's Integrated Technical Cooperation Programme (ITCP) is crucial in helping developing countries implement IMO instruments for safer and more secure shipping and enhanced environmental protection. The importance of the ITCP is further increased with every new instrument adopted by the IMO. There are concerns about the capacity of IMO to meet the growing needs of developing countries for technical assistance and, in particular the long term financial sustainability of the ITCP. *The challenge for IMO is to ensure an equitable and sustainable means of funding of the ITCP and improve its delivery and effectiveness.*

Shifting emphasis onto people

7 Human performance in all sections of the maritime industry is a major cause of shipping incidents. This will continue to be the focus of efforts by the IMO to address the problem. The effectiveness of IMO instruments will come under scrutiny with each shipping mishap resulting from human error, as the IMO strives for full compliance with the instruments. On the other hand, technological advances affecting the human element offer new opportunities which the IMO can harness to enhance the human element in safer shipping. *The challenge for the IMO is to increase its emphasis on the human element in safer and more secure shipping and continuously improve measures to enhance human performance in the maritime industry.*

Technology as a Major Driving Force for Change in the Maritime Transport Sector

8 Technological developments have created new opportunities but may also have negative consequences. New opportunities therefore exist for advancing various IMO initiatives, from safety to security to environmental protection. Developments in communications and information technology provide opportunities for knowledge management to increase transparency and accessibility to information. *The challenge for IMO is (1) to ensure that when adopting technological developments, they enhance maritime safety, security and protection of the environment, (2) to ensure the proper application of technology in information management within the Organization and to provide enhanced access to that information by the shipping industry and others.*

ANNEX 4

STRATEGIC DIRECTIONS FOR THE IMO

The strategic directions for the IMO in the years ahead to achieve its mission objectives can be considered under three broad categories:

- 1 Enhancing the status and effectiveness of the IMO;
- 2 Developing and maintaining a comprehensive framework for safe, secure, efficient and environmentally sound shipping; and
- 3 Shipping profile, quality culture and environmental consciousness.

1 Enhancing the status and effectiveness of the IMO

(a) The IMO is the primary international forum for technical matters affecting international shipping. In order to continually affirm its primacy, it will:

- further develop its role in maritime affairs vis-à-vis other intergovernmental organizations, so as to be able to deal effectively and comprehensively with complex issues that straddle agencies;
- actively engage the various stakeholders and players - new and existing, in the shipping arena, including non-governmental organisations, industry and the public in general, so as to ensure a more inclusive approach to decision-making; and
- through active engagement, also seek to reap synergies and avoid duplication of efforts made by other UN agencies in shipping matters.

An inclusive and comprehensive approach to technical shipping matters will be a hallmark of the IMO.

(b) The IMO will foster global compliance of its instruments governing international shipping and will promote their uniform implementation by Member States.

(c) IMO will strengthen its capacity-building programmes and will focus on:

- developing capacity-building partnerships with governments, organizations and industry;
- ensuring the long-term sustainability of the ITCP;
- meeting the emerging needs of its developing member States; and
- improving the delivery, utilization and effectiveness of its technical cooperation programmes.

(d) Internally, the IMO should be able to respond effectively and efficiently to emerging trends, developments and challenges. It will strive for excellence in institutional governance and management. Council will provide visionary leadership, Committees will be optimally structured and the IMO will be supported by an effective and efficient Secretariat. The Organization will be endowed with sufficient resources and expertise within the Secretariat to realise the Organization's work plans within approved biennial appropriations and will make effective use of information and communication technology in management and administration.

2 Developing and maintaining a comprehensive framework for safe, secure, efficient and environmentally sound shipping.

(a) The IMO's highest priority shall be accorded to the safety of human life at sea. In particular greater emphasis will be accorded to:

- ensure that all systems related to enhancing safety of human life at sea are adequate, including dealing with large concentrations of people;
- enhance technical, operational and safety management standards;
- eliminate shipping that fails to meet and maintain these standards on a continuous basis; and
- increase emphasis on the role of the human element in safe shipping.

(b) The IMO will seek to enhance security of the maritime transport network by:

- promoting a comprehensive and co-operative approach both among Member States within the Organization and between the IMO and other intergovernmental and non-governmental organisations;
- raising awareness of the IMO security measures and promoting their effective implementation; and
- increasing emphasis on the role of the human element and safeguarding the human rights of seafarers in secure shipping.

(c) The IMO will focus on reducing and eliminating any adverse impact of shipping on the environment by:

- identifying and addressing possible adverse impacts; and
- developing effective measures to mitigate and to respond to the impact on the environment from shipping incidents and operational pollution from ships.

(d) The IMO will seek to ensure that measures to promote safe, secure and environmentally sound shipping do not unduly affect the efficiency of shipping. It will also constantly, using the best available tools, review measures to ensure their adequacy, effectiveness and relevance.

(e) IMO will pay special attention to the shipping needs of small island developing States (SIDS) and the least developed countries (LDC).

3 Shipping Profile, Quality Culture and Environmental Consciousness

(a) The IMO, in partnership with other stakeholders, will seek to raise the profile of the safety, security and environmental records of shipping in the eyes of civil society by:

- actively publicizing the vital importance of shipping as a safe secure and environmentally sound mode of transport for goods and people; underlining the role of the Organization; and
- actively developing its community relations programmes.

(b) The IMO will take the lead in enhancing quality of shipping by:

- encouraging the utilization of best available techniques not entailing excessive costs, for all facets of shipping;
- encouraging proper management of ships;
- promoting and enhancing the availability of, and access to, information, including casualty information, relating to ship safety and security (i.e. transparency);
- ensuring that all stakeholders understand and accept their responsibilities regarding safe, secure and environmentally sound shipping by developing a 'chain of responsibility concept' amongst them; and
- identifying, correlating and evaluating factors, including human interaction onboard ships, influencing safety and security culture and developing practical and effective mechanisms for addressing them.

(c) The IMO will seek to enhance environmental consciousness within the shipping community by:

- strengthening the awareness of the need for continuous reduction of the adverse impact of shipping on the environment;
- promoting and enhancing the availability of, and access to, information, relating to environmental protection (i.e. transparency);
- encouraging the use of best environmental technology not entailing excessive costs, in shipping, in line with the goal of sustainable development.

ANNEX 5

STATUS AND EFFECTIVENESS OF THE IMO

The IMO shall be restructured in order to:

- permit the council to follow more closely the work carried out by IMO and to keep a close look on Organization's Accounts;
- provide technical and administrative support to member states to study issues within their remit so as to create, consolidate and simplify the required international legislation;
- keep a register of data required from the administration and make it available to those entitled through legislation;
- gather and compile data for assessment of the efficacy of IMO instruments and regulations; and
- act, in all respects, as the central body of a system under control of the governing entities formed by the Member States.

ANNEX 6

PRELIMINARY DRAFT OBJECTIVES

Extract from strategic directions annotated with preliminary draft objectives *in italics*

The strategic directions for the IMO in the years ahead to achieve its mission objectives can be considered under three broad categories:

- 1 Enhancing the status and effectiveness of the IMO;
- 2 Developing and maintaining a comprehensive framework for safe, secure, efficient and environmentally sound shipping; and
- 3 Shipping profile, quality culture and environmental consciousness.

Within these strategic directions, where standards have to be measured, baselines must be established against which these can be measured. As an initial step, the Organization shall develop a monitoring system by [date].

1 Enhancing the status and effectiveness of the IMO

(a) The IMO is the primary international forum for technical matters affecting international shipping. In order to continually affirm its primacy, it will:

[remainder of text omitted for brevity]

2 Developing and maintaining a comprehensive framework for safe, secure, efficient and environmentally sound shipping.

(a) The IMO's highest priority shall be accorded to the safety of human life at sea. In particular greater emphasis will be accorded to:

- ensure that all systems related to enhancing safety of human life at sea are adequate, including dealing with large concentrations of people;

The Organization shall have in place (by [date]) an effective, comprehensive and universally accepted regime (covering construction, equipment, operation, search and rescue, etc) for taking people from a place of danger to one of safety, in particular large concentrations of people.

- enhance technical, operational and safety management standards;

Baseline required to determine effectiveness of current standards on: Technical matters, Operational matters, Safety management standards in order to determine their suitability and whether changes are necessary.[results may be strengthening of, relaxing or retaining existing requirements]

- eliminate shipping that fails to meet and maintain these standards on a continuous basis; and

Using the monitoring system to establish a baseline, IMO shall work with all stakeholders to reduce the number of ships which fail to meet and maintain these standards by ...% per by [date]

- increase emphasis on the role of the human element in safe shipping.

Ensure that, in the development of regulations, IMO takes full account of its role in the chain of responsibility.

Encourage other stakeholders in their roles in the chain of responsibility to demonstrate that they have taken action to address the human element.

(b) The IMO will seek to enhance security of the maritime transport network by:

- promoting a comprehensive and co-operative approach both among Member States within the Organization and between the IMO and other intergovernmental and non-governmental organisations;
- raising awareness of the IMO security measures and promoting their effective implementation; and
- increasing emphasis on the role of the human element and safeguarding the human rights of seafarers in secure shipping.

(c) The IMO will focus on reducing and eliminating any adverse impact of shipping on the environment by:

- identifying and addressing possible adverse impacts; and

Establish whether existing instruments address all relevant concerns

Develop effective instruments to address pollution from ships [baseline required]

- developing effective measures to mitigate and to respond to the impact on the environment from shipping incidents and operational pollution from ships.

To develop an effective and comprehensive regime to respond to pollution incidents [baseline]

(d) The IMO will seek to ensure that measures to promote safe, secure and environmentally sound shipping do not unduly affect the efficiency of shipping. It will also constantly, using the best available tools, review measures to ensure their adequacy, effectiveness and relevance.

Ensure that, in the development of regulations, IMO takes full account of the efficiency of shipping.

Encourage other stakeholders in their roles in the chain of responsibility to demonstrate that they have taken efficiency of shipping into account in their activities.

Monitor participation and input from NGO in consultative status

(e) IMO will pay special attention to the shipping needs of small island developing States and the least developed countries.

Within 4 years of the realisation of this strategic Plan the IMO must develop a formal way of assessing the impact of new rules on SIDS.

Performance Indicator: The development of a set of Guidelines.

Within 5 years of the realisation of this strategic Plan the IMO shall establish a formal process of raising awareness of the importance of the marine environment and its maintenance to the SIDS.

Within 2 years of the realisation of this Strategic plan the IMO shall ensure that an equitable number of government officials from SIDS undertake specialized training in academic institutions such as the World Maritime University at Malmo.

Develop an assistance programme by [x Date] for the establishment of reception facilities in SIDS.

Develop an assistance programme by [Y Date] programme to support regional efforts of SIDS at improving regional maritime transportation, including maritime safety and marine pollution.

3 Shipping Profile, Quality Culture and Environmental Consciousness

- The IMO, in partnership with other stakeholders, will seek to raise the profile of the safety, security and environmental records of shipping in the eyes of civil society by:

[remainder of text omitted for brevity]

ANNEX 7

PERFORMANCE INDICATORS

(1) Enhancing the status and effectiveness of the IMO

- Size of IMO Membership (compared to UN membership)
- Status of member States' accession to IMO Conventions
- Number of collaborative initiatives between IMO and other agencies, e.g. MOU/Agreements, joint Working Groups, etc.
- Extent of participation by NGOs, IGOs, invited guest to IMO meetings/activities
- Status of developing countries' accession to IMO Conventions
- Budget for Technical Cooperation Programmes/number of TC projects
- Number of requests from developing countries for technical assistance with implementation of IMO instruments.
- Time taken to develop IMO instruments (compared to other UN agencies)
- Budgetary health (e.g. a balanced budget.)
- Status of work items under various committees' workplans

(2) Developing and maintaining a comprehensive framework for safe, secure and environmentally-sound shipping

- Number of human lives lost at sea
- Number of ships lost
- Number of incidents involving cruise ships/passenger ferries
- Detention rate of non-compliance with ship safety-related IMO instruments
- Detention rate of non-compliance with marine-environment related IMO instruments
- Amount of oil, chemical and other harmful substances spilled into the sea from ships
- Number of maritime terrorist incidents against and involving ships

(3) Shipping profile, quality culture and environmental consciousness

- Number of IMO activities to raise the quality of shipping
- Detention rate of non-compliance with the ISM Code
- Number of information sources for ship safety and condition and extent of use (eg. number of hits on web sites)
- Number of IMO activities to generate greater awareness of shipping related environmental issues and to promote the use of best environmental technology not entailing excessive costs in shipping
- Outcome of public opinion polls on shipping
- The state of the shipping industry, e.g. size and profile of workforce, size of world fleet, etc.

ANNEX 8

INFORMATION SOURCES AVAILABLE TO THE SECRETARIAT

The information sources listed below are examples of the sources of data available to the Secretariat which might be used to produce regular reports and statistics of relevance to determining and reviewing progress against the Organization's strategic directions.

1 Information from external sources

1.1 Information available electronically

Information	Source	Status
Tanker oil spills	ITOPF	Annual – free on http://www.itopf.com
Port state control detentions	Paris MOU	Annual print version Online - free http://www.parismou.org
-ditto-	Tokyo MOU	http://www.tokyo-mou.org/
-ditto-	USC Coast Guard port state information exchange	http://psix.uscg.mil/Default.asp Weekly updates
-ditto-	Vina del Mar Agreement	http://www.acuerdolatino.int.ar
-ditto-	Mediterranean MOU	http://www.medmou.org
Port State Control database	Equasis	Ongoing http://www.equasis.org/
World fleet statistics	Lloyds Register	Annual – annual payment Print only
Sea-web (Register of Ships and List of Shipowners)	Lloyds-Fairplay	On website – pay to access http://www.fairplay.co.uk
Fishing vessel statistics	FAO - datatbase	On website – annually updated http://www.fao.org

World statistics	casualty	Lloyd's Register	Annual – free to IMO http://www.lrfairplay.com
Lloyd's Yearbook	Casualty	Informa	Annual – free to IMO http://www.informabookshop.com
Casualty statistics		International Association	Underwriting Annual – presented at IUMI Conference http://www.iaa.co.uk

1.2 Other information

Information	Source	Status
Passenger shipping traffic figures	Shippax information:	Annual- annual payment Available on CD www.shippax.se/
World Statistics	Shipbuilding LR-Fairplay	Quarterly- available on-line (pay to access)and print form (free to IMO) http://www.lrfairplay.com
Shipping statistics	Institute of Shipping Economics and Logistics	Annual publication-annual payment http://www.isl.org
-ditto-	UNCTAD Review of Maritime Transport	Annual publication Free to IMO available on line http://www.unctad.org
Bulk carriers statistics	casualty Intercargo Attached to MSC docs	Annual free to members http://www.intercargo.org
Seafarer information	ISF-BIMCO	5-yearly updates http://www.bimco.dk/
Oil spill database	ITOPF	Annual publication and country profiles-free online http://www.itopf.com/
-ditto-	Oil Spill Intelligence Report(OSIR)	Annual statistics ceased 2000. Payment for database access http://www.cutter.com

2 Information collated and reported by the Secretariat

2.1 Information available electronically

Information	Source	Status
Piracy and armed robbery against ships	Reports received	On website – updated half-yearly
Trafficking or transport of illegal migrants by sea	MSC.3/Circ.1	Biannual report
Casualty analysis	Reports received Published in IMO documents	Irregular
Casualty statistics and investigations. Very serious and serious casualties	FSI.3/Circ	On website - irregular
Statistics on ship detentions during the year	FSI/Inf document	irregular
Collection and analysis of casualty statistics of fishing vessels and fishermen	FSI Documents	irregular
Reporting on non-compliance with IMO instruments : Statistics for the year	FSI document	Irregular
Port State Control List of flag State comments on detentions for the years	FSI.2/Circ	On website - irregular

2.2 Other information

Information	Source	Status
Historical data	Library records	Catalogued