



AD HOC COUNCIL WORKING GROUP ON
THE ORGANIZATION'S STRATEGIC PLAN
10th session
Agenda item 2

CWGSP 10/2(a)
14 August 2009
ENGLISH ONLY

REVIEW OF THE ORGANIZATION'S PERFORMANCE INDICATORS

(a) Analysis of data measured against the performance indicators

Note by the Secretariat

SUMMARY

Executive summary:	This document updates the information submitted to the <i>Ad Hoc</i> Council Working Group on the Organization's Strategic Plan, in document CWGSP 8/5, on the Organization's performance as measured against the performance indicators contained in the Strategic Plan. It also provides an analysis of such information, taking into account the decisions of CWGSP 8.
Strategic direction:	1 to 13
High-level action:	4.2.1 and 4.3.1
Planned output:	4.3.1.1
Action to be taken:	Section 5
Related documents:	CWGSP 10/2(b); C 101/D (paragraph 3.2(iii)); C 101/3; CWGSP 8/5; resolutions A.989(25) and A.990(25)

1 At its eighth session (September 2008), the *Ad Hoc* Council Working Group on the Organization's Strategic Plan (hereinafter the Working Group) considered document CWGSP 8/5 providing data collected and collated by the Secretariat during 2008 against the performance indicators (PIs) defined in resolution A.989(25). Subsequently, the Council, at its 101st session (November 2008), noted the outcome of the Working Group's discussions on this subject.

2 This document updates the information previously submitted to the Working Group, taking into account relevant decisions and recommendations and presents: (a) at annex 1, updated information on each PI defined in resolution A.989(25), together with commentary on some indicators; and (b) at annex 2, an analysis of such data.

3 In this respect, it may be noted that document CWGSP 10/2(b), dealing with the further development of the PIs, makes proposals to rationalize them into a limited set of Key Performance Indicators. Should the Working Group decide to maintain the existing PIs, then: (a) the commentary in annex 1 to the present document, related to proposed changes to PI 8(a) (paragraphs 4 to 6), PI 14(b) (paragraphs 8 to 9) and PI 18 (paragraph 16), should be read in conjunction with paragraph 64 of document CWGSP 10/2(b); and (b) the Working Group's views on the commentary at annex 1, related to PI 17(b) (paragraph 11), would be welcome.

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Action requested of the Working Group

3 The Working Group is invited to consider the information provided in the annexes to this document and decide as appropriate.

ANNEX 1**PERFORMANCE MEASURED AGAINST INDICATORS****SECTION 1 – UPDATED INFORMATION ON THE PERFORMANCE INDICATORS**

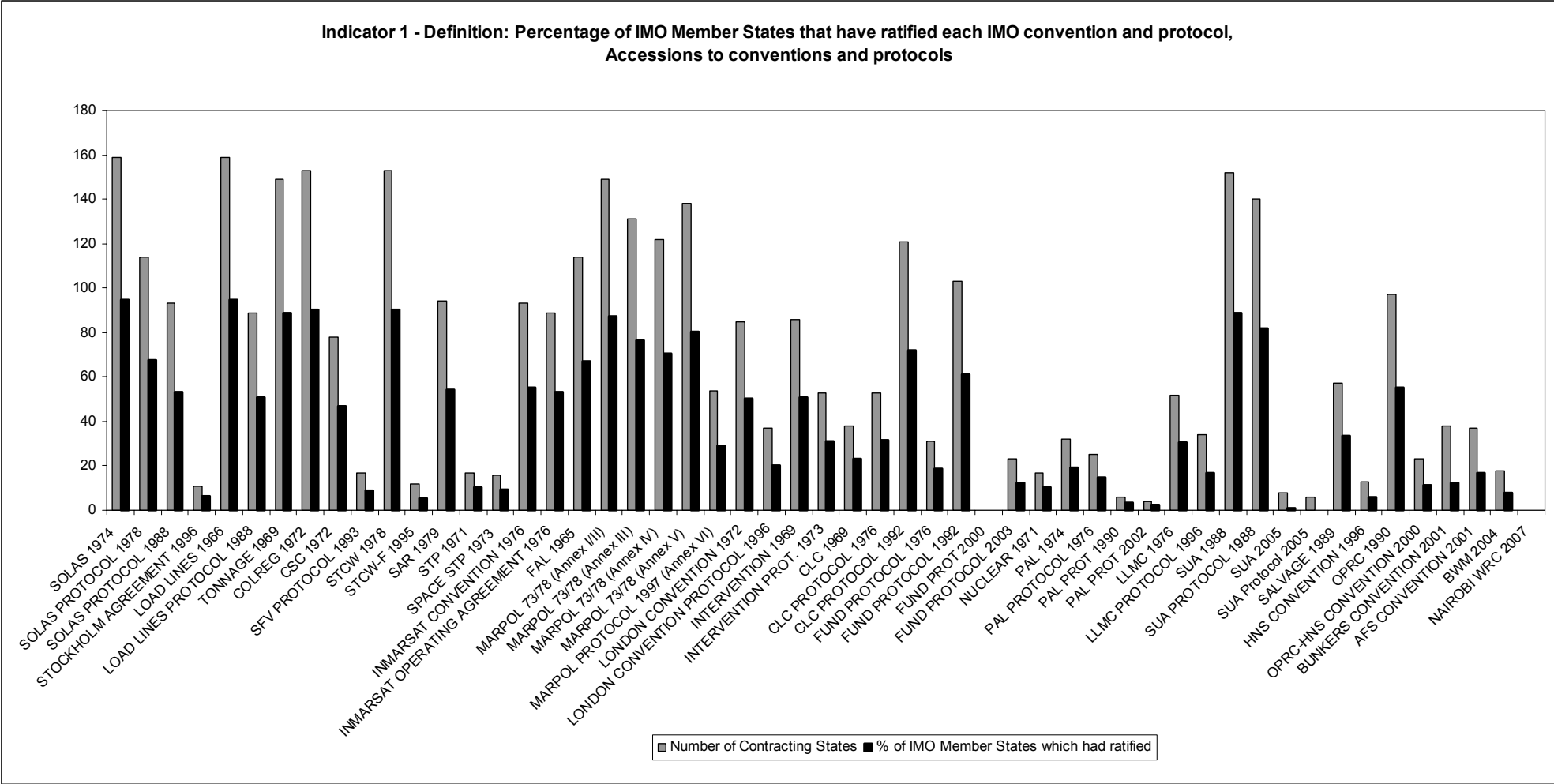
1 This Section updates, to the end of 2008, the information submitted previously to the Working Group in document CWGSP 8/5 (note that, depending on the indicator concerned, updated figures for 2009 may also be presented), and further provides some commentary on individual PIs.

Indicator 1: Accession to Conventions

Definition: Percentage of IMO Member States that have ratified each IMO Convention and Protocol

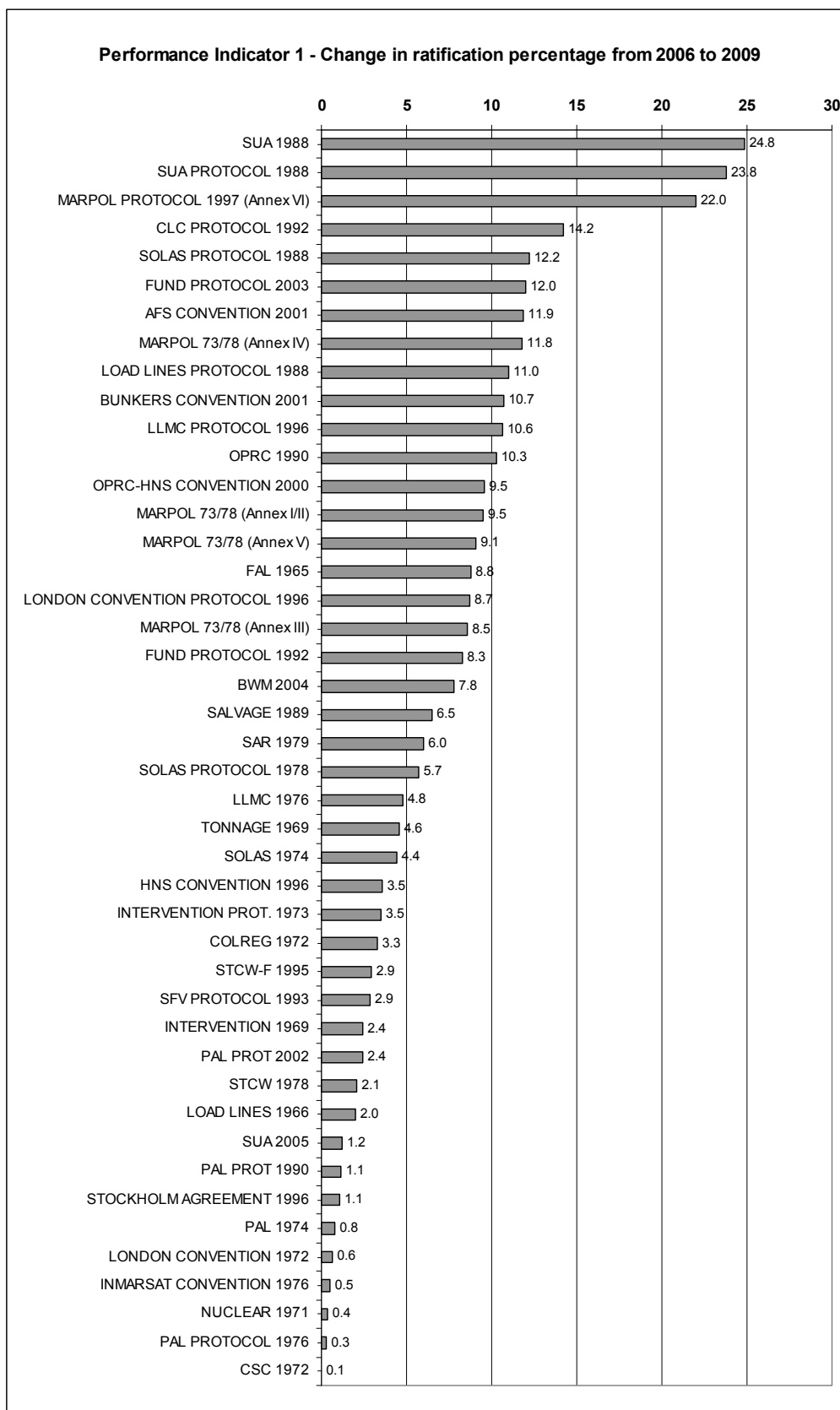
2 For this indicator, two graphs are presented – first, the traditional graph as per the definition (Figure 1) and, second, an additional representation (Figure 2) highlighting only the change in ratifications since 2006. In the latter, conventions and protocols with no change are not presented.

Figure 1



Source: GISIS, as at March 2009

Figure 2



Source: GISIS, as at March 2009. The following conventions and protocols are not presented: Fund Protocol 2000, SUA Protocol 2005, Nairobi WRC 2007, Immarsat Operating Agreement 1976, Space STP 1973, STP 1971, Fund Protocol 1976, CLC Protocol 1976 and CLC 1969.

Performance Indicator 2: Entry into force

Definition: Percentage and number of Conventions adopted but which have not entered into force.

	As at December 2008	As at July 2009
Total IMO Conventions	50	51
In force	39	41
Not yet in force	11	10
% not in force	22.0%	19.6%
Conventions not yet in force	PAL Protocol 1990 SFV Protocol 1993 STCW-F 1995 HNS 1996 PAL Protocol 2002 BWM 2004 SUA 2005 SUA Protocol 2005 Nairobi WRC 2007	PAL Protocol 1990 SFV Protocol 1993 STCW-F 1995 HNS 1996 PAL Protocol 2002 BWM 2004 SUA 2005 SUA Protocol 2005 Nairobi WRC 2007 Hong Kong SRC 2009

Source: IMO Secretariat

Performance Indicator 3: Implementation and compliance

Definition: (a) Number and percentage of Member States that have volunteered for audit.

Definition: (b) Number and percentage of Member States that have been audited.

Definition: (c) Number and percentage of Member States that have nominated auditors.

Definition: (d) Number and percentage of nominated auditors that have carried out audits.

Definition: (e) Number of technical assistance activities carried out following audits.

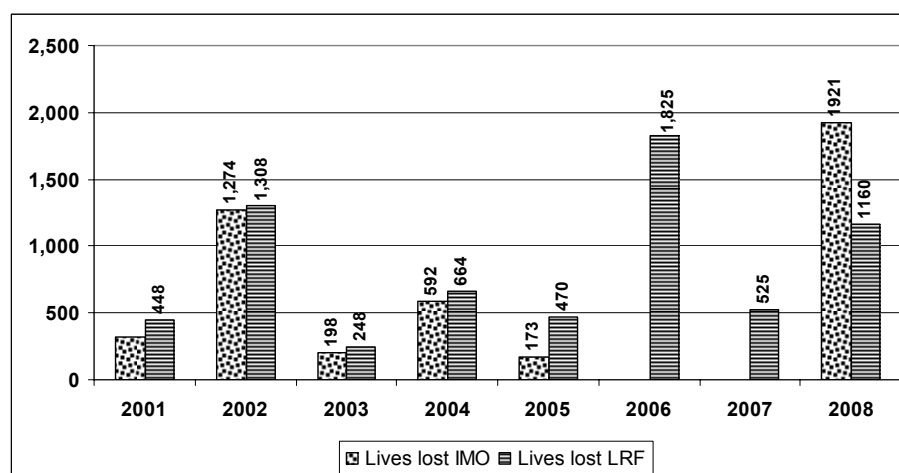
	As at Dec 2006		As at Dec 2007			As at Dec 2008		
	Nr.	%	Nr.	%	% change to 06	Nr.	%	% change to 07
General Information								
Total Nr. of IMO Member States (MS)	167		167			168		
Total Nr. of auditors which have been nominated	93		106			150		
Total Nr. of auditors which have been used	16		43			58		
Nr. and % of total MS that have volunteered for audit	33	19.8%	37	22.2%	2.4%	45	26.9%	4.8%
Nr. and % of volunteering MS that have been audited	4	12.1%	18	48.6%	36.5%	27	60.0%	11.4%
Nr. and % of total MS that have nominated auditors	37	22.2%	40	24.0%	1.8%	46	27.5%	3.6%
Nr. and % of nominated auditors that have carried out audits	16	17.2%	43	40.6%	23.4%	58	38.7%	-1.9%
Nr. of technical assistance activities carried out following audits	nil		nil			6		

Source: IMO Secretariat

Performance Indicator 4: Lives lost

Definition: (a) Number of lives lost (seafarers, fishers and passengers) due to safety-related accidents and incidents on ships subject to IMO Conventions and other instruments.*

	2001	2002	2003	2004	2005	2006	2007	2008
LRF raw data	448	1,308	248	664	470	1,825	525	1160
IMO Secretariat	317	1,274	198	592	173	n/a	n/a	1921



Source: IMO Secretariat and Lloyd's Register Fairplay. Note: no data on fishers has yet been obtained.

Definition: (b) Ratio of lives lost (seafarers, fishers and passengers) due to safety-related accidents and incidents on ships subject to IMO Conventions and other instruments, to total number of lives at risk.

	2004	2005	2006	2007	2008
LRF lives lost all ships	664	470	1,825	525	1160
Estimated amount of seafarers	-	1,187,000	1,232,000	1,277,000	1,246,200
Estimated total number of ferry passengers	1,321,228,835	1,395,306,149	1,629,573,558	1,681,931,684	n/a
Estimated total number of cruise passengers	15,402,793	16,719,322	16,927,718	17,857,711	n/a
Estimated total number of passengers	1,336,631,628	1,412,025,471	1,646,501,276	1,699,789,395	1,913,962,859
Total amount of passengers and crew	-	1,413,212,471	1,647,733,276	1,701,066,395	1,915,209,059
Ratio best estimate	4.97E-07	3.33E-07	1.11E-06	3.09E-07	6.06E-07

Source: Lloyd's Register Fairplay for loss of lives, Shippax (Statistics & Outlook 2006, Market: 2008 Statistics) for number of passengers, BIMCO/ISF Manpower 2005 Update and Drewry 2008 Manpower report for numbers of seafarers.

Note: no data on fishers has yet been obtained.

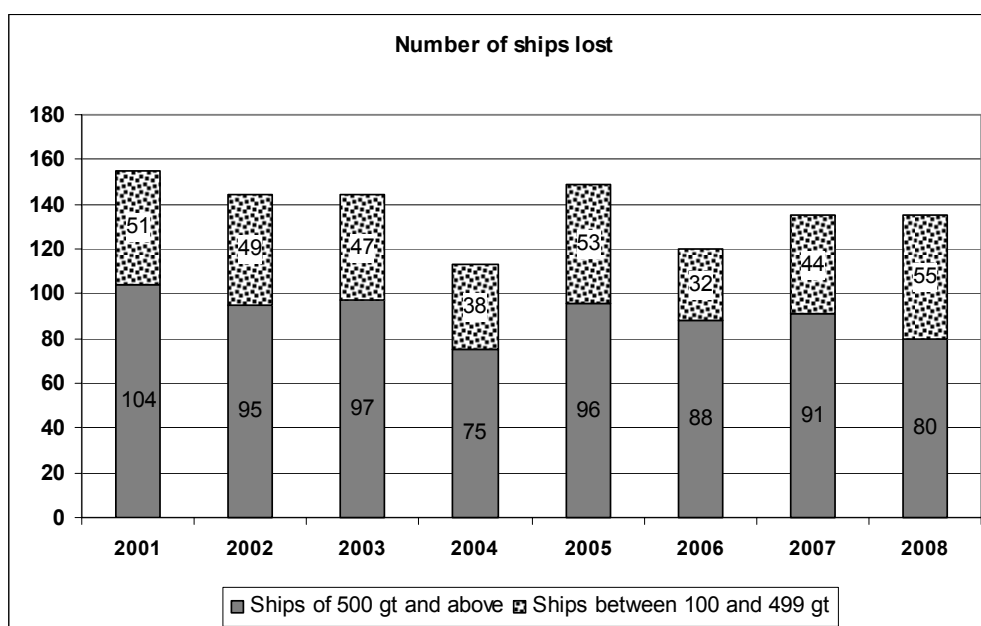
* i.e. **not** accidents and incidents which are due to security failures, acts of piracy and armed robbery or whose prevention is addressed by other international Conventions.

Performance Indicator 5: Ships lost

Definition: (a) Number of ships subject to IMO Conventions lost for any safety-related¹ reason other than those declared constructive total losses for insurance purposes.

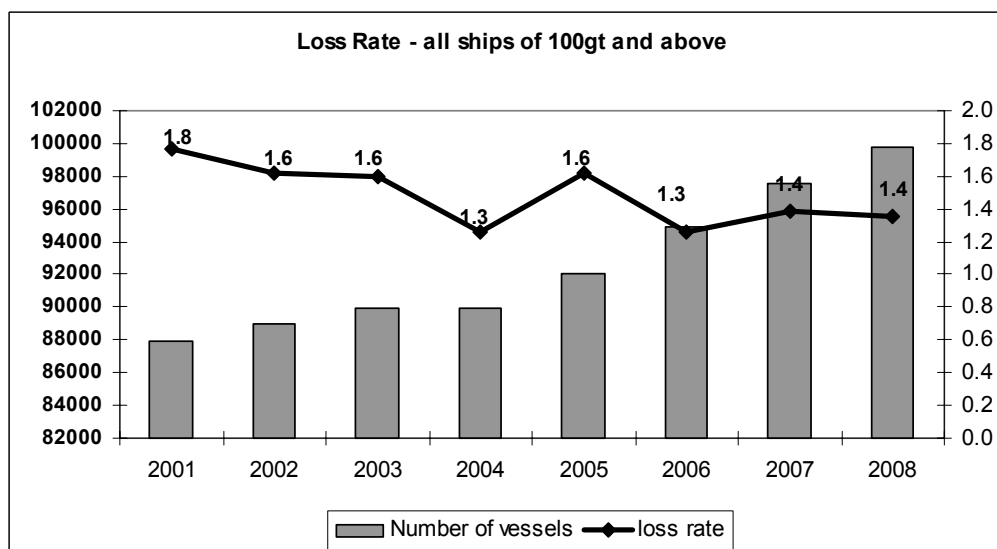
	2002	2003	2004	2005	2006	2007	2008
Ships over 500 GT	95	97	75	96	88	91	80
Ships between 100 and 500 GT	49	47	38	53	32	44	55
Total LRF	144	144	113	149	120	135	135
Loss rate (all ship types)*	1.8	1.6	1.6	1.3	1.6	1.3	1.4

Source: Lloyd's Register Fairplay. * per 1,000 ships at risk



Source: Lloyd's Register Fairplay

Definition: (b) Ratio of ships subject to IMO Conventions lost for any safety-related reason, other than those declared constructive total losses for insurance purposes, to total number of ships subject to IMO Conventions.



¹ i.e. **not** accidents and incidents which are due to security failures, acts of piracy and armed robbery or whose prevention is addressed by other international Conventions.

Performance Indicator 6: Security failures

Definition: Number of ships and lives lost due to security failures and number of terrorist incidents on ships subject to SOLAS chapter XI-2.

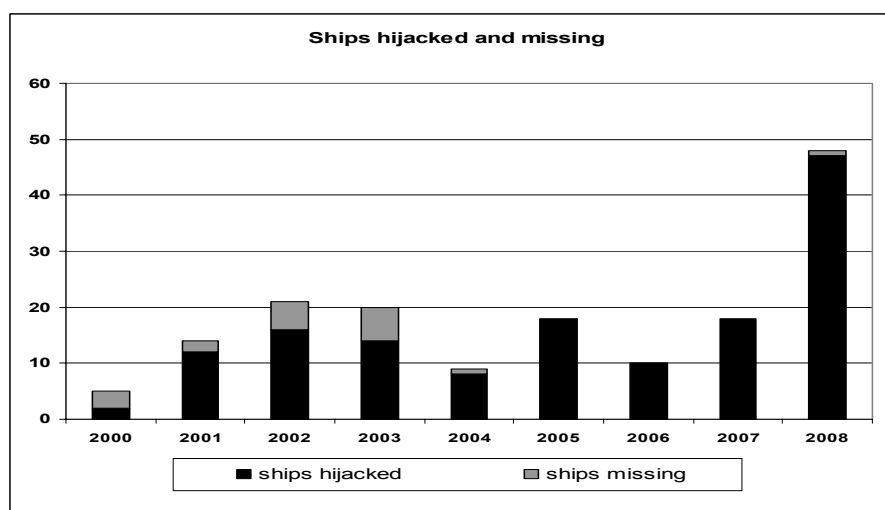
3 No incident has occurred to date on ships subject to SOLAS chapter XI-2, which was adopted on 12 December 2002 and entered into force on 1 July 2004. The incident involving the **MV Limburg** occurred in October 2002.

Performance Indicator 7: Piracy and armed robbery against ships

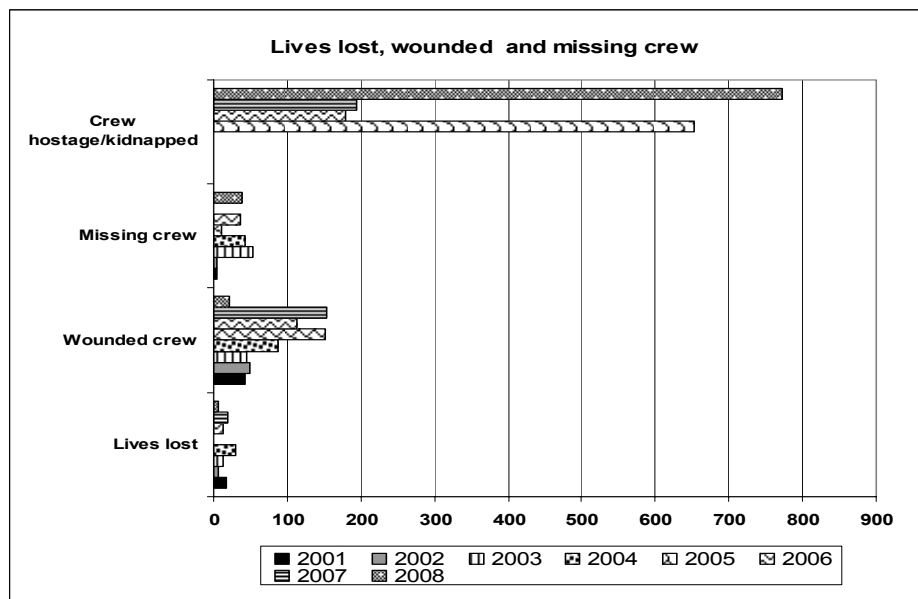
Definition: Number of ships and lives lost due to piracy and armed robbery and number of such incidents against ships engaged on international voyages.

Year	Number of acts	Lives lost	Wounded crew	Missing crew	Crew hostage/kidnapped	Crew assaulted	Ships hijacked	Ships missing
2000	492	72	99	5	69	210	2	3
2001	366	16	38	16	141	51	12	2
2002	383	6	38	99	125	86	16	5
2003	452	12	75	32	113	35	14	6
2004	330	29	60	44	147	145	8	1
2005	267	0	29	11	367	67	18	0
2006	254	17	23	0	224	225	10	0
2007	310	22	75	57	223	39	18	0
2008	329	6	21	38	773	21	47	1

Source: GISIS



Source: GISIS



Source: GISIS

Performance Indicator 8: Ship-generated water pollution

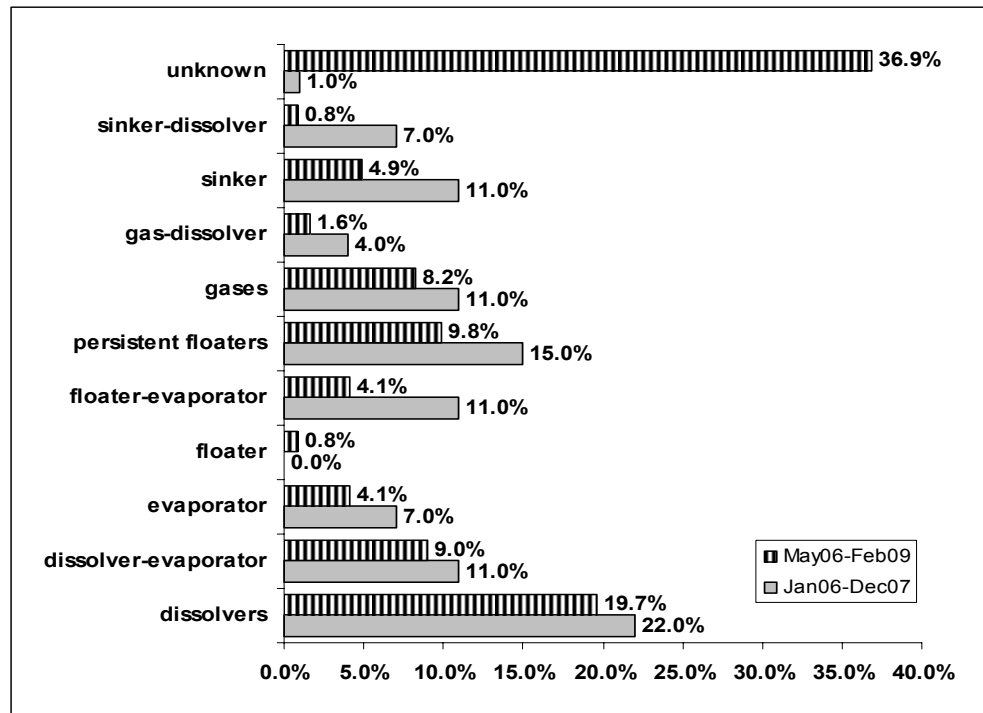
Definition: (a) Tonnes of harmful substances discharged into the sea operationally or accidentally from ships subject to IMO instruments.

4 As indicated in GWGSP 8/5, the definition of PI 8(a) does not, in itself, define the term “harmful substances”, which is the subject of the indicator. In this regard, the MARPOL Convention, the OPRC-HNS Protocol and the HNS Convention all define it differently, although the most comprehensive definition can be found in the latter instrument. An exact definition is still missing.

5 It was previously determined that reliable, worldwide and comprehensive data for this indicator is not available and with a view to assisting in this matter, the Working Group requested the MEPC to identify relevant sources of data and, as appropriate, to define methodologies for the calculation of such data (see paragraph 24.1 of the annex to document C/ES.24/3(a)). Subsequent actions by the Secretariat to remedy the situation are discussed in Section 4 of document CWGSP 10/2(b). Meanwhile, the OPRC-HNS Technical Group discussed a method to present statistics with respect to HNS, and document MEPC/OPRC-HNS/TG 9/5 provides the following summary for the period May 2006 to February 2009 (and is here compared to data from an earlier summary).

Number of HNS products involved in incidents – various time periods

Behaviour category		Jan 06-Dec 07	May 06-Feb 09	
		% to total	Nr.	% to total
dissolvers	D	22.0%	24	19.7%
dissolver-evaporator	DE	11.0%	11	9.0%
evaporator	E	7.0%	5	4.1%
floater	F	0.0%	1	0.8%
floater-evaporator	FE	11.0%	5	4.1%
persistent floaters	Fp	15.0%	12	9.8%
gases	G	11.0%	10	8.2%
gas-dissolver	GD	4.0%	2	1.6%
sinker	S	11.0%	6	4.9%
sinker-dissolver	SD	7.0%	1	0.8%
unknown		1.0%	45	36.9%
Total		100.0%	122	100.0%

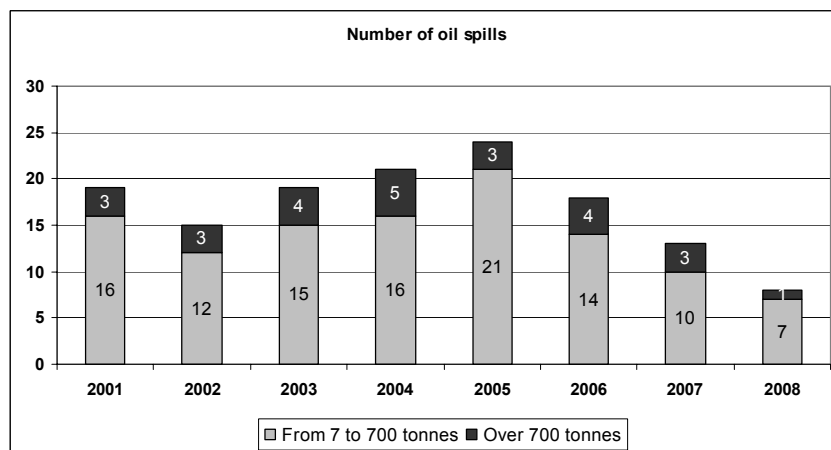


6 In document CWGSP 10/2(b), proposals have been made to rationalize the existing 42 PIs into a limited set of Key Performance Indicators (KPIs), which would also cover IMO’s environmental work. Should the Working Group nevertheless determine that the existing PIs should be maintained, then the Working Group may wish to reiterate and modify its previous request to the MEPC to define the term “harmful substances”, identify relevant sources of data for the indicator and, as applicable, define methodologies for the calculation of such data.

Definition: (b) Number of spills occurring from ships subject to IMO instruments.

	2002	2003	2004	2005	2006	2007	2008
No. of oil spills over 7 tonnes but less than 700 tonnes	12	15	16	21	14	10	7
No. of oil spills over 700 tonnes	3	4	5	3	4	3	1
Total	15	19	21	24	18	13	8

Source: ITOPF Annual Statistics

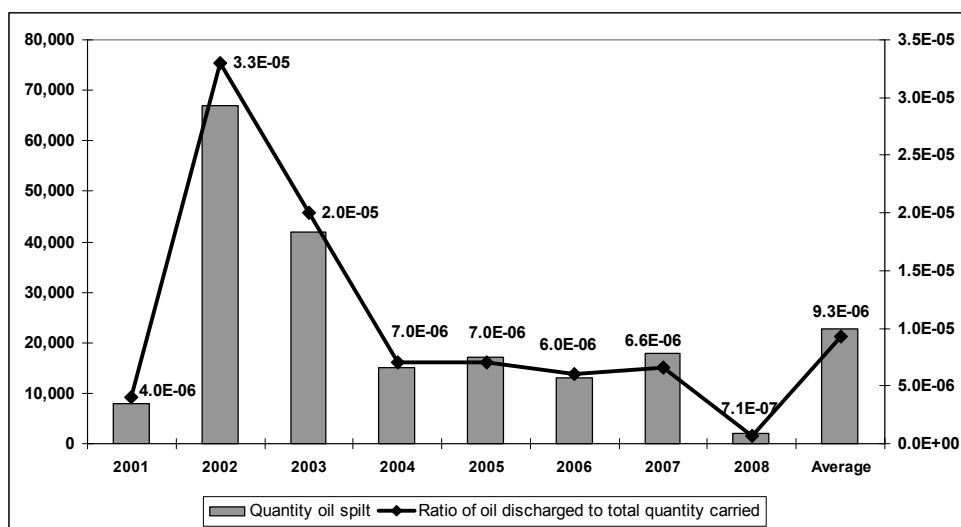


Source: ITOPF Annual Statistics

Definition: (c) Ratio of oil (cargo and bunkers) discharged into the sea, to total quantities carried by sea.

	2002	2003	2004	2005	2006	2007	2008
Annual quantity of oil spilt (tonnes)	67,000	42,000	15,000	17,000	13,000	18,000	2,000
Annual quantity of oil carried by sea (million tonnes)	2,210	2,345	2,470	2,556	2,644	2,719	2,798
Ratio	3.3E-05	2.0E-05	7.0E-06	7.0E-06	6.0E-06	6.6E-06	7.1E-07

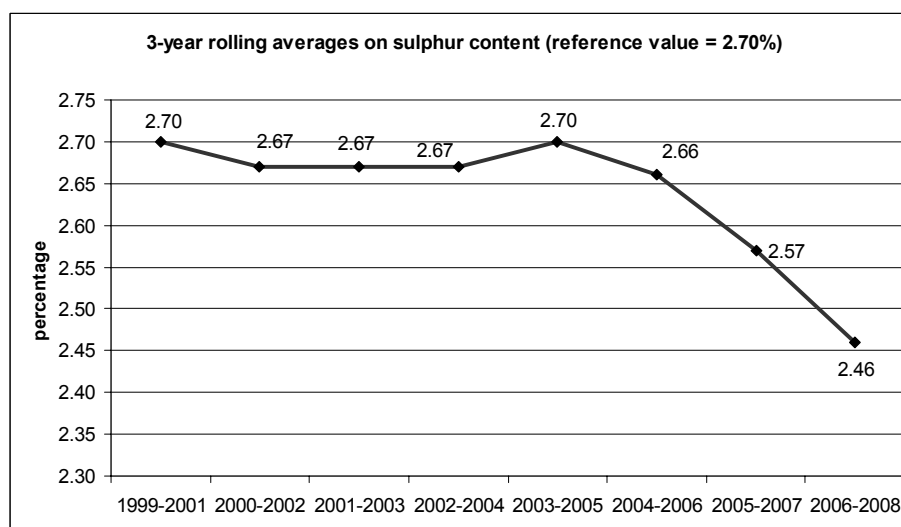
Source: ITOPF Annual Statistics² and Clarksons Shipping Intelligence Network



Source: ITOPF Annual Statistics and Clarksons Shipping Intelligence Network. Average is from 2001 to 2008.

Performance Indicator 9: Ship-generated air pollution

Definition: (a) 3-year rolling average of the sulphur content of fuel oil delivered to ships.



Source: MEPC documents (following the approved methodology in resolution MEPC.82(43) – Guidelines for monitoring the world-wide average sulphur content of residual fuel oils supplied for use on board ships)

² Note: the higher incidence of oil spilt in 2002 may be ascribed to one casualty, namely, the oil tanker **Prestige**, which sank off Spain spilling 63,000 tonnes.

Definition: (b) Tonnes of NO_x , SO_x and CO_2 released from ships subject to IMO instruments.

Year	NO_x	SO_x	PM	CO	NMVOC	CO_2	CH_4	N_2O
1990	12	6.5	0.8	1.1	0.4	468	0.05	0.01
2000	16	9.0	1.1	1.5	0.5	647	0.06	0.02
2001	16	9.0	1.1	1.5	0.5	652	0.06	0.02
2002	16	9.0	1.1	1.6	0.5	660	0.06	0.02
2003	17	10.0	1.2	1.7	0.5	706	0.07	0.02
2004	18	11.0	1.3	1.8	0.6	755	0.07	0.02
2005	19	11.0	1.4	1.9	0.6	795	0.08	0.02
2006	20	12.0	1.4	2	0.6	838	0.08	0.02
2007	20	12.0	1.5	2	0.7	870	0.08	0.02

Source: IMO 2009 GHG study for international shipping, million tonnes (MEPC 59/INF.10)

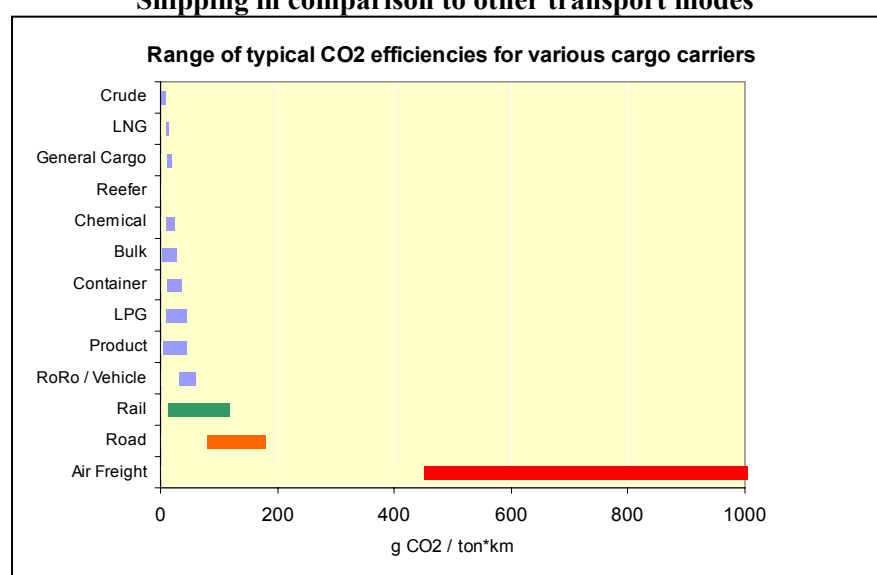
Definition: (c) Ratio of estimated tonnage of SO_x , NO_x and CO_2 released annually per tonne-mile of cargo carried by sea.

Total Shipping	Tonne-miles (billions)	g/tonne mile			g/ton km
		NO_x	SO_x	CO_2	CO_2
1990	17,121	0.82	0.46	32.83	17.73
2000	23,693	0.80	0.46	32.84	17.73
2005	27,574	0.69	0.47	34.63	18.70
2006	31,447	0.64	0.45	32.05	17.31
2007	32,932	0.61	0.46	32.01	17.28
2008*	33,950	n/a	n/a	33.41	18.04

Source: IMO 2009 GHG study (MEPC 59/INF.10) and UNCTAD. Conversion from ton-mile to ton-km is 0.54.

* Note: the figures for 2008 are estimates for both CO_2 emissions and tonne miles and are considered conservative estimates as they also include laid up vessels and ships in repair; they are based on fleet information as of May 2009 and activity data from 2007, all figures are for total shipping.

Shipping in comparison to other transport modes



Source: IMO 2009 GHG Report (MEPC 59/INF.10)

Performance Indicator 10: Environmental conscience

Definition: (a) Mobilization by IMO of donor funds for environmental programmes.

ITCP expenditure on environmental programs			
Year	Funding from all external and internal sources (US\$)	As a percentage of total ITCP expenditure	Total Expenditure
2001	5,310,035	55.0%	9,653,000
2002	6,008,728	48.8%	12,303,618
2003	6,749,439	51.0%	13,245,191
2004	7,162,403	51.1%	14,024,271
2005	5,938,329	45.4%	13,086,342
2006	5,667,080	47.2%	12,002,069
2007	7,418,246	54.8%	13,531,596
2008	5,214,069	50.4%	10,340,878
Average	6,183,541	50.5%	12,273,371

Source: IMO Secretariat (interim and biennial reports on the ITCP); average is for the period 2001-2008

Definition: (b) Number of projects sponsored, initiated and funded by IMO.

7 Over the last two years, two scientific projects have been initiated by IMO, with funding from Member States, NGOs and the Organization. The first such project was the Informal Cross Government/Industry Scientific Group of Experts set up in July 2007 to assist the MEPC in the process of developing and adopting amendments to MARPOL Annex VI to further reduce the emission of air pollutants from ships. In a similar manner, the Organization has updated its 2000 study on GHG emissions from ships, to support the MEPC's work, in accordance with an action plan and timetable agreed at MEPC 55, on the development of a global regulatory regime for the reduction or limitation of such emissions from ships.

Definition: (c) Number of collaborative agreements with regional groups responding to marine pollution such as REMPEC, ROCRAM, Barcelona Convention.

Acronym	Definition	As at 2007	As at 2009
ASEAN	Association of Southeast Asian Nations	1	1
COCATRAM	Central American Maritime Transport Commission	1	1
NOWPAP MERRAC MoU	Northwest Pacific Action Plan, Action Plan for the Protection, Management and Development of the Marine and Coastal Environment of the Northwest Pacific Region (NOWPAP), Marine Environmental Emergency Preparedness and Response Regional Activity Centre (MERRAC)	1	1
PERSGA	Regional Organisation for the Conservation of the Environment of the Red Sea and Gulf of Aden (PERSGA)	1	1
PMAESA	Port Management Association for East and Southern Africa	1	1
PMAWCA	Port Management Association of West and central Africa	1	1
REMPEC	Regional Marine Pollution Emergency Centre for the Mediterranean Sea (joint IMO/UNEP project)	1	1
REMPEITC-Carib	Regional Marine Pollution Emergency Information and Training Centre, Wider Caribbean	1	1
ROCRAM	Operational network for Regional Cooperation Maritime Authority, Regional operative network of co-operation among Maritime Authorities of South America, Mexico and Panama	1	1
ROPME/MEMAC	Regional Organization for the Protection of the Marine Environment, Bahrain (ROPME), Marine Emergency Mutual Aid Centre (MEMAC)	1	1
SACEP	South Asia Co-operative Environment Programme	1	1

Acronym	Definition	As at 2007	As at 2009
SPREP	South Pacific Regional Environment Programme	1	1
UNIDO-IGCC	Interim Guinea Current Commission – Established under the UNIDO-implemented Guinea Current Large Marine Ecosystem Project	1	1
UNOPS	United Nations Office for Project Services	1	-
Total		14	13

Source: IMO Secretariat

Performance Indicator 11: PSC detention rate

Definition: Port State control detention rates as analysed by the various bodies of the Organization on the basis of data submitted by Member States.

Detention%	Paris	Vina del Mar	Tokyo	Caribbean	Med. MoU	Indian Ocean	Abuja	Black Sea	Riyadh	USCG	Average
2001	9.09%	3.52%	7.76%	n/a	9.25%	5.27%	n/a	n/a	n/a	1.61%	6.08%
2002	7.98%	3.33%	6.67%	n/a	28.90%	5.61%	n/a	6.28%	n/a	1.69%	8.64%
2003	7.05%	2.78%	8.49%	n/a	28.99%	9.27%	1.65%	4.76%	n/a	1.28%	8.03%
2004	5.84%	1.87%	6.51%	n/a	14.54%	8.59%	1.54%	6.95%	n/a	1.59%	5.93%
2005	4.67%	2.57%	5.21%	0.00%	21.41%	7.18%	0.45%	6.23%	n/a	1.22%	5.44%
2006	5.44%	1.80%	5.40%	2.05%	17.26%	7.92%	0.71%	5.56%	n/a	1.09%	5.25%
2007	5.46%	3.34%	5.62%	3.97%	15.70%	9.42%	n/a	8.16%	9.38%	1.46%	6.94%
2008	4.95%	2.50%	6.90%	1.33%	n/a	9.84%	1.04%	6.37%	7.69%	1.52%	4.68%

Source: Annual reports of regional PSC MoUs/Agreement and United States Coast Guard³

Performance Indicator 12: PSC non-compliance rate

Definition: Port State control non-compliance rates as analysed by the various bodies of the Organization on the basis of data submitted by Member States.

$$\text{Non-compliance rate} = \frac{\text{No. of inspection with deficiencies}}{\text{total number of inspection}} \times \%$$

	Paris	Vina del Mar	Tokyo	Caribbean	Mediterranean	Indian Ocean	Abuja	Black Sea	Riyadh	USCG	Average
2001	57.59%	41.44%	69.33%	n/a	n/a	51.85%	n/a	n/a	n/a	27.33%	49.51%
2002	57.20%	35.50%	70.25%	n/a	n/a	48.92%	n/a	54.79%	n/a	24.34%	48.50%
2003	55.00%	38.50%	73.62%	n/a	n/a	51.78%	77.28%	56.22%	n/a	19.17%	53.08%
2004	53.59%	35.80%	67.27%	n/a	n/a	54.25%	9.24%	61.88%	n/a	22.75%	43.54%
2005	51.25%	36.39%	68.48%	n/a	65.13%	55.16%	10.03%	62.93%	n/a	21.81%	46.40%
2006	53.55%	46.20%	68.78%	n/a	70.52%	55.35%	17.29%	69.39%	n/a	23.32%	50.55%
2007	56.43%	53.34%	67.44%	n/a	n/a	54.68%	n/a	72.42%	57.29%	26.58%	55.45%
2008	58.00%	58.00%	69.07%	14.93%	n/a	54.47%	11.00%	67.89%	41.76%	24.60%	44.41%

Source: Annual reports of regional PSC MoUs/Agreement and United States Coast Guard.

³ United States Coast Guard data incorporates separate safety and security inspections.

Performance Indicator 13: Fraudulent certificates

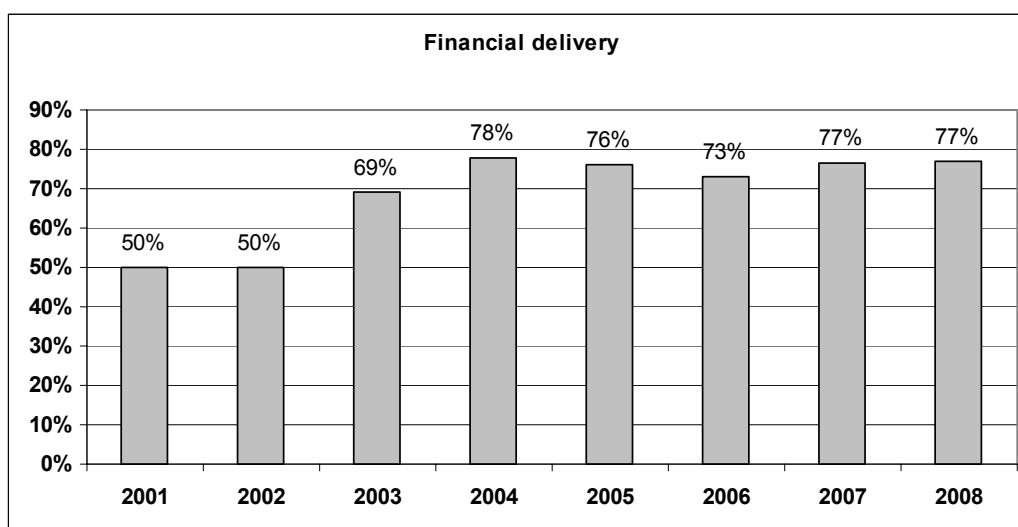
Definition: Number of fraudulent certificates and endorsements of any type reported to IMO.

Year	2001	2002	2003	2004	2005	2006	2007	2008
No. of certificates	1359	16	36	3	47	23	41	68

Source: IMO Secretariat

Performance Indicator 14: Delivery of technical assistance

Definition: (a) Percentage of planned activities delivered.



Source: IMO Secretariat

Definition: (b) Activities delivered: planned and unplanned percentages.

	2005	2006	2007	2008	2005	2006	2007	2008
Total activities planned, of which:	137	173	144	208				
Activities delivered	124	141	122	138	90.5%	81.5%	84.7%	66.3%
Activities pending	13	32	22	70	9.5%	18.5%	15.3%	33.7%
Total activities delivered, of which:	177	167	200	172				
Planned activities	124	141	144	138	70.1%	84.4%	72.0%	80.2%
Un-planned activities	53	26	56	34	29.9%	15.6%	28.0%	19.8%

Source: IMO Secretariat

8 Following two biennia in which PI 14(b) has been used with its present definition, some concern has arisen that it may not provide the appropriate benchmark for measuring the relative outcomes of the Integrated Technical Co-operation Programme (ITCP). In the case of the number of activities planned, delivered and pending, this categorization can be measured as a simple value, but it is not valid as a comparator since the individual activities are not of equal value either in terms of resources or of relative magnitude. In the case of identifying planned versus unplanned activities, the notion sits poorly with the ITCP structure, since all activities are notionally “planned”, except for extreme cases such as emergency responses to major oil spills or natural catastrophes. The ITCP represents a biennial planning framework for which funding is secured, on an incremental basis throughout each given biennium, as the ITCP receives no direct financial allocation from the Organization’s regular budget. Once a portion of funding

has been identified, individual activities are scheduled under a Programme Implementation Document, which allows for the requisite flexibility and variances in revising activities within the ITCP programmatic structure, to adapt to the needs of the recipient and host countries, and to ensure successful outcomes of training events and advisory missions.

9 In document CWGSP 10/2(b), proposals have been made to rationalize the existing 42 PIs into a limited set of Key Performance Indicators (KPIs), which would also cover IMO's technical co-operation work. Should the Working Group nevertheless determine that the existing PIs should be maintained, then it is suggested that the current definition for PI 14(b) be changed to identify the principal deliverables of the ITCP, namely, the *number of advisory missions fielded*, and the *number of training events delivered*, annually. This would then be coupled with PI 14(d), which measures the number of trainees, and would still be in harmony with the proposed KPIs.

Definition: (c) Number of partnerships with Governments, Organizations and industry.

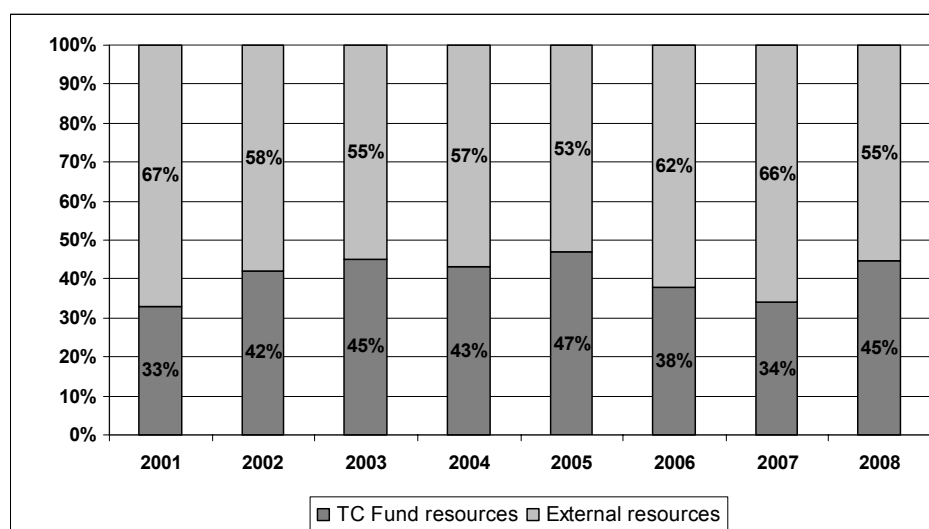
Definition: (d) Number of trainees in IMO institutions and IMO-sponsored workshops.

	2003	2004	2005	2006	2007	2008
No. of partnerships	22		33	54	62	66*
Change to previous year	175.0%		50.0%	63.6%	14.8%	6.1%
Nr. of trainees	3405	4460	3372	2433	1977	1923
Change to previous year	1.28%	30.98%	-24.39%	-27.85%	-18.74%	-2.73%

*Source: IMO Secretariat. * As at May 2009*

Performance Indicator 15: Sustainability of ITCP

Definition: Proportion of funding from donor sources and internal sources.



Source: IMO Secretariat

Performance Indicator 16: Cycle time

Definition: Time taken to develop IMO Conventions and other instruments compared to planned time.

Instrument	Initial authorization or start of work	Planned cycle time (years)	Adopted	Actual cycle time (years)
OPRC/HNS 2000	Resolution 10 of the OPRP Conference (November 1990); work began at MEPC 37 (March 1994)	Not specified	March 2000	6
Bunkers 2001	Work began at LEG 75 (October 1996)	Not specified	March 2001	4.5
AFS 2001	Resolution A.895(21) (November 1999)	Not specified (“as a matter of urgency”)	October 2001	2
Athens (PAL) Protocol 2002	Work began at LEG 76 (October 1997)	Not specified	November 2002	5
Fund Protocol 2003	Work began at the IOPC Funds in 2001	Not specified	May 2003	2.5
BWM 2004	Resolution A.868(20) (November 1997)	3 (for “consideration and adoption in the year 2000”)	February 2004	6.5
SUA Convention & Protocol 2005	Resolution A.924(22) (November 2001); work began at LEG 84 (April 2002)	Not specified (“on a high priority basis”)	October 2005	3.5
Ship Recycling 2009	Resolution A.981(24) (December 2005); work began at MEPC 54 (March 2006)	Up to 4 (“adoption in the biennium 2008-2009”)	May 2009	3.2
Average cycle time				4.2

Source: IMO Secretariat

10 The table above does not include the Nairobi International Convention on the Removal of Wrecks, 2007, the development of which spanned a period of some 35 years (including considerable periods of time during which consideration of the subject was repeatedly postponed). Therefore, adding that instrument to the table would unduly distort the average cycle time. It may be noted that, when the average cycle time of 4.2 years is combined with the average time from adoption to coming into force (3.1 years, based on all main legislative instruments and amendments⁴), the total average time from start of work to entry into force is 7.3 years.

Performance Indicator 17: IMO’s role

Definition: (a) Size of IMO membership compared to UN membership.

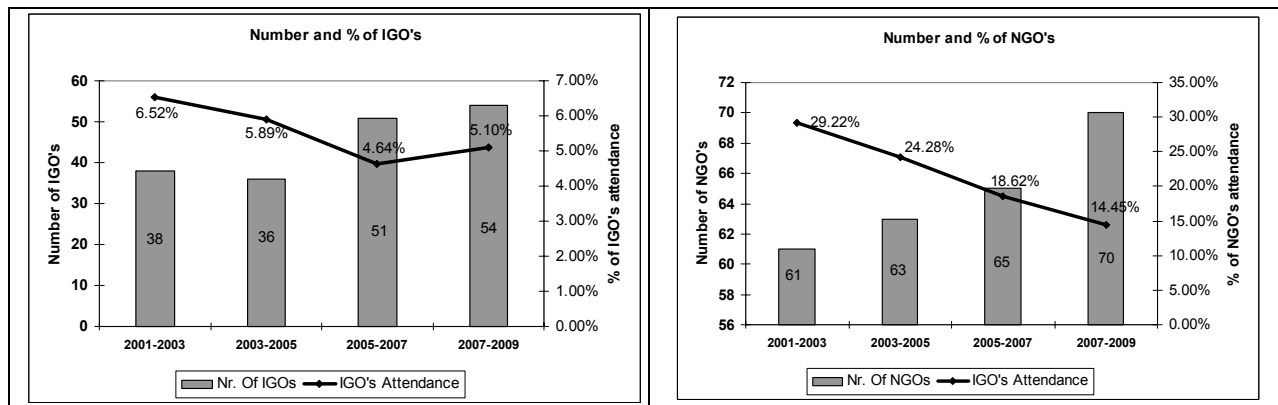
Year	IMO	UN	% IMO to UN
2001	161	189	85.2%
2003	163	191	85.3%
2004	164	191	85.9%
2005	166	191	86.9%
2006	167	192	87.0%
2007	167	192	87.0%
2008	168	192	87.5%
2009*	169	192	88.0%

*Source: UN and IMO Secretariats. *Uganda joined in July 2009.*

⁴ Based on Knapp S and Franses PH, Does ratification matter and do major conventions improve safety and decrease pollution in shipping?, Marine Policy 2009, Vol 33, pp 826-846.

Definition: (b) Level of participation of IGOs and approved NGOs at IMO meetings.

	No. of IGOs	Attendance	No. of NGOs	Attendance
2001-2003	38	6.52%	61	29.22%
2003-2005	36	5.89%	63	24.28%
2005-2007	51	4.64%	65	18.62%
2007-2009	54	5.10%	70	14.45%



Source: IMO Secretariat⁵

11 PI 17(b) presently measures only IGO and NGO attendance at IMO meetings (i.e. physical presence), without taking into account substantive participation in such meetings, irrespective of physical presence even, through the submission of documents. Should the Working Group consider this useful, the indicator can in future be tracked through both criteria (i.e. attendance and document submission), as this is already done on a biennial basis for the Council's consideration.

Performance Indicator 18: Goal-based standards

Definition: Progress towards development of the goal-based standards concept.

12 Further progress was made by MSC 86 (May/June 2009) towards the development of goal-based standards (GBS) for hull construction of bulk carriers and oil tankers and the further development of IMO goal-based standards.

13 Regarding GBS for bulk carriers and oil tankers, MSC 86 approved, for consideration at MSC 87 with a view to adoption/final approval, the following:

- .1 draft MSC resolution on Adoption of amendments to the SOLAS Convention which will make the GBS for bulk carriers and oil tankers mandatory by means of proposed new SOLAS regulation II-1/3-10;
- .2 draft MSC resolution on Adoption of the International goal-based ship construction standards for bulk carriers and oil tankers; and
- .3 draft MSC resolution on Adoption of the Guidelines for verification of conformity with goal-based ship construction standards for bulk carriers and oil tankers (approved in principle, pending consideration of further improvements to the verification process at MSC 87).

⁵ Data on IGO and NGO participation in IMO meetings is at present collated on a biennial basis only (for example, 1 March 2007 to 28 February 2009).

14 Concerning the draft Guidelines for the information to be included in a Ship Construction File (SCF), the Committee, noting that an industry group was working on the inclusion of intellectual property protection precautions and the list of information to be included in the SCF, agreed that the draft Guidelines should be finalized at MSC 87.

15 The key issue remains the verification of conformity and the actual conduct of the verification process, whereby MSC 86 simplified the process by agreeing that the verification process should be based on self-assessment by the rule developer, and audit by the Organization. MSC 85 discussed the establishment of IMO Audit Teams to carry out such verification; however, the concrete set-up and especially the implications for the financial and human resources of the Organization were not fully resolved and need further serious consideration.

16 The Committee agreed to have a principled debate on how to proceed with the work on goal-based standards at MSC 87 and invited Member Governments and international organizations to submit relevant proposals. In order to facilitate the submission of such proposals, the Secretariat was requested to prepare a document containing a consolidated version of the Generic Guidelines for developing goal-based standards for that session.

17 In document CWGSP 10/2(b), proposals have been made to rationalize the existing 42 PIs into a limited set of Key Performance Indicators (KPIs). Should the Working Group nevertheless determine that the existing PIs should be maintained, then it is suggested that the current definition for PI 18 is not entirely correct and should be changed. The goal-based standards concept exists and is widely used; hence, it does not need to be developed (as per the current definition). What is developed at IMO is its application to shipping matters, in particular ship construction. Therefore, a more accurate definition for PI 18 would be as follows: Progress towards development of goal-based standards for ship construction. This might be expanded later to IMO goal-based standards for all kind of matters, but currently it covers only construction.

Performance Indicator 19: Work of other UN bodies

Definition: (a) Incorporation of specific policy input provided by IMO organs within the policy and programme decisions of other UN bodies (i.e., in their treaty instruments, codes, resolutions, guidelines, etc., work programmes and technical assistance activities.).

18 Resolution A.990(25) (High-level Action Plan) provides for IMO to submit policy input to other UN bodies. Such other UN bodies include those listed hereunder.

Organization (UN related)	Area of policy input	As at July 08	As at July 09	Status
FAO	IUU fishing and related matters	1	1	ongoing
GESAMP	Evaluation of bulk chemicals by GESAMP-EHS Working Group	1	1	ongoing
IAEA	Emergency arrangements for response to nuclear/radiological emergencies from ships	1	1	ongoing
ICAO	GNSS and SAR issues	1	1	ongoing
ILO	Seafarer issues	1	1	ongoing
ILO/Basel Convention	Ship recycling	1	1	ongoing
ITU-R	Study Group 2 on use of cellular phones in SAR services	2	2	ongoing
	WP.8B on DSC complexity; assignment and use of maritime mobile service identities; satellite detection of AIS messages; developments in maritime radio communications systems and technology and implications of methods to satisfy Resolution 315 (WRC-03) and preliminary draft performance standards for survival crafts AIS SAR transmitter (AIS-SART)			

Organization (UN related)	Area of policy input	As at July 08	As at July 09	Status
UN	Input to the UN Sub-Committee on Dangerous Goods for the harmonization of intermodal transport of dangerous goods	4	5	ongoing
	Conceptual linkage between the Millennium Development Goals and ITCP			
	Advice provided to other UN bodies within CTITF (UN General Assembly resolution 60/288 on the UN Global Counter Terrorism Strategy)			
	Advice provided to UN Security Council 1371 and 1640 Committees on maritime security			
	Advice provided on matters related to piracy and armed robbery against ships			
UNECE	Policy input to the Global Harmonized System for classification of chemical substances	1	1	ongoing
UNECE/UNEFACT	Facilitation of maritime traffic and matters related to electronic transmission of information	1	1	ongoing
UNHCR	Prevention of illegal migration on ships	1	1	ongoing
UNODC/WCO	Prevention and control of illicit drug trafficking Development of anti-piracy legislation	1	2	ongoing
WCO	Clearance of ships, persons and cargoes	1	1	ongoing
WHO	Coordination on medical matters on board ships	1	1	completed
WFP	Coordination for prevention of piratical attacks on WFP-chartered ships	-	1	
WMO	Meteorological matters	1	1	ongoing
	Total areas of policy input	19	22	

Source: IMO secretariat

Definition: (b) Number of joint working groups established.

Group composition	Topics	As at July 2008	As at July 2009
GESAMP ((IMO/FAO/UNESCO-IOC/WMO/IAEA/UN/UNEP/UNIDO)	Scientific aspects of marine environmental protection	1	1
GESAMP-BWWG	Use of active substances for ballast water management	1	1
GESAMP-EHS	Evaluation of hazards of chemical substances carried by ships	1	1
IMO/FAO	IUU fishing and related matters, including marine litter/garbage issue (MARPOL Annex V)	1	1
IMO/ICAO	Harmonization of aeronautical and maritime SAR	1	1
IMO/ILO	Fair treatment of seafarers in the event of an accident	1	1
IMO/ILO	Liability and compensation regarding claims for death, personal injury and abandonment of seafarers	1	1
IMO/ILO/Basel Convention	Ship scrapping	1	1
IMO/ITU	Maritime radio communications	1	1
	Total joint working groups	9	9

Source: IMO Secretariat

Definition: (c) Number of partnerships (MoUs or other agreements) established.

Partner	Description of activity	As at July 2007	As at Dec 2008
FAO	Regulatory and technical co-operation	1	1
GEF	Technical co-operation	1	2
GESAMP	Provision of Secretariat services	-	1
IAEA	Regulatory co-operation	1	1
ILO	Regulatory co-operation	1	1
UN	Institutional co-operation	1	1
UNDP	Technical co-operation	1	1
UNEP	Regulatory and technical co-operation	1	1
UNEP (CAR-RCU)	Technical co-operation	1	1
UNEP (NOWPAP-MERRAC)	Technical co-operation	1	-
UNEP-OCHA	Technical co-operation	1	-
UNIDO	Technical co-operation	1	1
UNOPS	Technical co-operation	1	-
UNWTO	Regulatory co-operation	1	1
UN Atlas of the Oceans (CBD, FAO, IAEA, ISA, UN, UNEP, UNESCO-IOC, UNF, WMO)	Institutional co-operation	1	1
World Bank	Technical co-operation	1	1
	Total Number of partnerships	15	14

Source: IMO Secretariat

Definition: (d) Number of joint technical co-operation programmes.

Partner	Description of activity	As at Dec 2006	As at Dec 2007	As at Dec 2008
GEF	Partnership in environmental management for the seas of East Asia (PEMSEA)	1	1	-
	PEMSEA (management/administrative aspects)	1	1	1
	MEH Project development facility	1	1	-
	MEH full-scale project	-	-	1
	GloBallast project development for Phase II	1	-	-
	GloBallast partnerships	-	1	1
UNDP	GloBallast partnerships	-	1	1
UNEP	Partnerships and resource mobilization	1	1	-
	Promotion of London Convention and Protocol	1	1	1
	Regional marine pollution emergency response centre (REMPEC), Mediterranean	1	1	1
UNIDO	Support to maritime administrations, Africa	1	1	-
UNOPS	Caspian Sea ballast water management	1	1	-
World Bank	Marine Electronic Highway (MEH) demonstration project	1	1	1
	Total programmes and activities	10	11	7

Source: IMO Secretariat

Performance Indicator 20: Facilitation of international maritime traffic – Efficiency of shipping

Definition: (a) Number and percentage of Member States that are party to the FAL Convention.

	Number	IMO Member States	Percentage
As at July 2007	111	167	66.50%
As at July 2008	112	167	67.07%
As at July 2009	114	169	67.46%

Source: IMO Secretaria/GISIS

Definition: (b) Number and percentage of Contracting Governments to the FAL convention that have registered differences between their practices and the standards of the FAL convention.

Definition: (c) Number and percentage of Contracting Governments to the FAL convention that have notified that their practices are in accord with the recommended practices of the FAL Convention.

19 FAL 35 (January 2009) noted that, since FAL 34 (March 2007) only three completed replies had been received to the questionnaire on standards and recommended practices issued under FAL.3/Circ.187. In addition, since FAL 34, there had been four notifications of differences under article VIII of the FAL Convention. The Committee therefore agreed that, with the lack of submissions and the overall lack of responses to the questionnaire, it appeared that the time had come to review the whole Convention, particularly in view of recent developments in SOLAS and the ISPS Code. Accordingly, the Committee agreed to initiate a comprehensive revision of the FAL Convention with a view to ensuring that it adequately addresses the present and emerging needs of the shipping industry as well as for the modernization of its provisions.

ANNEX 2

ANALYSIS OF PERFORMANCE DATA

SECTION 1 – INTRODUCTION

1 This annex provides a high level analysis of the strategic directions where the 42 PIs, the proposed Key Performance Indicators (KPI's) of document CWGSP 10/2(b) and other qualitative data is considered.

SECTION 2 – BROAD CATEGORY: ENHANCING THE STATUS AND EFFECTIVENESS OF IMO

Strategic Direction 1

IMO is the primary international forum for technical matters of all kinds affecting international shipping and legal matters. An inclusive and comprehensive approach to such matters will be a hallmark of IMO. In order to maintain that primacy, it will:

- .1 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 cross-agency issues;
- .2 actively engage the various stakeholders – new and existing – in the shipping arena, including non-governmental organizations, industry and the public in general, to ensure a more inclusive approach to decision-making; and
- .3 actively seek to reap synergies and avoid duplication of efforts made by other UN agencies in shipping matters.

The related performance indicators are: 1, 2, 3, 16, 17 and 19
Total indicator definitions for this SD = 15

2 Under this SD, 15 different PIs are used to demonstrate IMO's mandate and its primary role within the shipping industry. Based on the indicators, IMO currently has 169 Member States, compared to 192 at the UN (PI 17); however, size alone does not necessarily reflect the importance of the Organization to the international community, particularly in terms of world trade and sustainable development. Its mandate is spread across all technical areas related to shipping, based on 51 conventions, 41 of which are currently in force (PI 2).

3 The average development cycle for such instruments has decreased slightly to 4.1 years (PI 16) from the time the initial work starts to their adoption. If the time lapse between adoption and entry into force is added, an additional 3.1 years are estimated to a total of 7.2 years. The percentage of Member States ratifying IMO instruments over time varies considerably and, for example, the greatest increases in ratifications since 2006 may be observed for the SUA 1988 Convention (+24.8%) and the SUA Protocol 1988 (+23.8), followed by MARPOL Annex VI (+22%) and the CLC Protocol 1992 (+14.2%). In terms of world tonnage, some 58% is covered by all IMO conventions on average, although more than 90% of tonnage is covered by the principal safety and environmental instruments.

4 While data for the Voluntary IMO Member State Audit Scheme shows continuing improvements with the implementation of the Scheme (with increases in 2008 of 23.5% for audits carried out, and 25.6% for the number of States nominating auditors, and with post-audit technical assistance being provided to six States), the number of States actually volunteering for audit, although still growing, appears to have slowed since the initial launch. This situation has been brought to the attention of the Council, which has considered possible ways forward for the further development of the Scheme and is likely to submit consequential proposals to the Assembly's twenty-sixth session (November 2009).

5 A further indication of the importance of the Organization within industry and civil society is the number of organizations obtaining IGO or NGO status (PI 17), which has steadily increased (50 and 70, respectively) even though their participation in IMO meetings has decreased (5.10% and 14.45%, respectively). With respect to IMO's policy input to the work of other UN bodies (PI 19), an increased number of 22 policy areas have been identified, involving growing collaboration with a wide variety of institutions, including with the UN Security Council and other UN bodies on the prevention and repression of acts of piracy and armed robbery against ships.

Strategic Direction 2

IMO will foster global compliance with its instruments governing international shipping and will promote their uniform implementation by Member States.

**The related performance indicators are: 1, 2, 3 and 14
Total indicator definitions for this SD = 12**

6 As already noted, PIs 1 and 2, on increased accessions to conventions and entry into force, demonstrate the enhanced status and effectiveness of IMO's regulatory work. Together with the improved data on the implementation of the IMO Audit Scheme (PI 3) and on maintaining a high level of delivery of technical assistance (172 activities in 2008 with financial delivery of 77% (PI 14)), such improvements continue to indicate that IMO is able to foster uniform implementation of, and global compliance with, its standards – which is, of course, the very purpose of the Strategic and High-level Action Plans and the mission statement of the ITCP (resolution A.901(21)).

7 As highlighted in CWGSP 8/5, this strategic direction deals only with IMO's "promotional" role and, to measure that, 12 different indicators are used even though only PI 14 is actually in the Organization's direct control. The indicators do not measure the actual level of compliance, implementation and enforcement by Member States and, with a view to assisting the Working Group in its consideration of such matters, section 3 of document CWGSP 10/2(b) provides some suggestions for performance measurement in the context of consolidating the existing PIs into a set of Key Performance Indicators. In this regard, it may be noted that the FSI Sub-Committee has given preliminary consideration to the development of a consistent methodology for the analysis of findings derived from Member State audits and of the effectiveness of implementation, leading to the identification of possible underlying causes and best practices. Such a methodology, when finalized, would further enhance the existing linkages noted by the UN Joint Inspection Unit on integrating the outcomes of IMO audits into the regulatory/implementation process.

8 In the absence of a defined system to measure compliance with IMO standards, a best possible estimate may be arrived at through an examination of PSC and casualty data and audit performance information. Based on PSC data only (PIs 11 and 12), the indicators show an average detention rate of 4.68% (a decrease of 2.26 percentage points compared to 2007) and an average non-compliance rate of 44.41% (a decrease of 11.04 percentage points). Long-term trends indicate decreases in both rates, with a base year of 2002. The PI for ships lost (PI 5) stands at 1.4 (per 1,000 vessels and based on LRF data) compared to a loss rate of 1.3 for 2007 and long-term trends also indicate a decrease since 2002. Exact percentages are actually unknown and this applies equally for the number of lives lost (PI 4), where the best estimates available for 2008 (which exclude fishers) show significant increases over 2007.

Strategic Direction 3

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

- .1 developing capacity-building partnerships with governments, organizations and industry;
- .2 ensuring the long-term sustainability of the ITCP;
- .3 contributing to the achievement of the MDGs;
- .4 meeting the needs of its developing Member States; and
- .5 improving the delivery, utilization and effectiveness of its technical co-operation programmes.

**The related performance indicators are: 1, 14 and 15
Total indicator definitions for this SD = 7**

9 SD 3 deals with IMO's ability to strengthen its capacity building programmes (i.e. the ITCP), as well as its contribution to the achievement of the MDG's. Financial delivery remained steady at 77% in 2008 (PI 14(a)), with the number of partnerships with governments, organizations and industry (PI 14(b)) again increasing and now standing at 66 as of May 2009. The distribution of total funding provided

(PI 15) changed, with 55% (a decrease from 66% in 2007) coming from donor sources, principally UNEP and the European Community, and 45% (an increase from 34%) from internal ones, principally the Technical Co-operation Fund.

10 While the percentage of planned activities actually delivered decreased over 2007, when account is taken of the large number of so-called unplanned activities that were also delivered, the overall total of 172 compares favourably with past years. Meanwhile, the number of trainees in IMO institutions and IMO-sponsored workshops (PI 14(d)) registered a slight decrease of 2.73% to 1,923. In this context, data for the six-year period 2003-2008 shows a sharp decline in the number of trainees (-43%), with a peak in the year 2004. It is suggested that this is the result, not of a long-term trend of non-participation in IMO institutions or workshops but, more simply, a consequence of the fact that, leading up to the entry into force of SOLAS chapter XI-2 and the ISPS Code, in July 2004, IMO had made extraordinary efforts, through the ITCP, to train the government and industry personnel that would be implementing IMO's maritime security standards.

11 Information on the kind of assistance that is delivered, to whom it is delivered, and what kind of impact it has in improving implementation and compliance is also relevant in this regard, and this is shown in the periodic reports on the ITCP and in the reports of impact assessment exercises (IAEs) carried out every four years, all of which are submitted to the TCC. In this respect, the most recent IAE report presents as its main conclusions (see document TC 58/4) that the assistance delivered by IMO on matters related to MARPOL, OPRC, maritime security and the strengthening of national maritime Administrations was found beneficial to achieving IMO's mission. The report, however, does not contain statistical data that can be used to supplement the PIs and this is primarily due to the way the corresponding IAE questionnaires were designed. A suggestion for future IAEs is to design questionnaires which allow for data collection in electronic format for the purposes of statistical analysis in measuring how well the relevant ITCP goals are being achieved. The topic of data population with respect to the assessment of technical co-operation is also covered in document CWGSP 10/2(b).

12 Regarding the linkage between the MDGs¹² and IMO's work, as confirmed in resolution A.1006(25)), document CWGSP 8/5 referred to the Organization's conclusion that improvement in maritime capacity, supported by the work of IMO and the ITCP, has a major and direct impact on five MDGs (1, 3, 6, 7 and 8). In this respect, the Strategic and High-level Action Plans and the ITCP contain strategic directions, high-level actions, planned outputs and technical assistance programmes, all of which support the achievement of those five MDGs and periodic reports on progress made in that respect are submitted annually to the TCC (see document TC 59/3 for the latest comprehensive report).

Strategic Direction 4

Internally, IMO should be able to respond effectively and efficiently to emerging trends, developments, and challenges. It will strive for excellence in governance and management. Besides the Strategic Plan, it will put in place and maintain a risk management framework. The Council will provide visionary leadership, Committees will be optimally structured and will be supported by an effective and efficient Secretariat. The Secretariat will be endowed with sufficient resources and expertise to realize the Organization's work plans within approved biennial appropriations, and the Organization will make effective use of information and communication technology in management and administration.

The related performance indicator is: 16
Total indicator definitions for this SD = 1

13 This SD deals with the Organization's internal governance, management and structure but, as recognized during CWGSP 7 and CWGSP 8, the related PI (data on the entry into force of conventions) does not provide any measurement of how well the SD is being met. Accordingly, the Working Group

¹ The MDGs are: 1 Eradicate extreme poverty and hunger; 2 Achieve universal primary education; 3 promote gender equality and empower women; 4 Reduce child mortality; 5 Improve maternal health; 6 Combat HIV/AIDS, malaria and other diseases; 7 Ensure environmental sustainability; and 8 Develop a global partnership for development.

agreed that information should be provided on IMO's budgetary performance and on the production of the Organization's outputs.

14 As regards budgetary performance, the External Auditor again gave an unqualified opinion over IMO's financial accounts for 2008, which were duly approved by the Council in June 2009. The Organization's track record of unqualified opinions in this respect is matched by its contributions collection rate, which reached 98% in 2008, with an equal average for the seven-year period 2002-2008. In this respect, document CWGSP 10/2(b), in proposing the rationalization of the current 42 PIs into a set of Key Performance Indicators, suggests that one of these should address IMO's financial performance and position by measuring the contributions collection rate and the Organization's assets and liabilities.

15 Concerning the status of outputs for the 2008-2009 biennium, a high-level of progress is provided in document CWGSP 10/3(a). In connection with outputs, the Secretary-General submitted to the Council, at its 102nd session, his first proposal for a "results-based budget", which is an important development, in line with recommendations by the JIU, which will, in due course, impact significantly on the Organization's governance, management and work programme.

16 The SD also refers to risk management and ICT and, in this context, it may be noted that the Council Risk Review, Management and Reporting Working Group (CWGRM) finalized the Organization's first Risk Management Framework, which was duly approved by the Council in June 2008 and is expected to be endorsed by the Assembly's twenty-sixth session. Further, the Secretariat carried out a full-scale implementation of the risk management process in 2009 (see document CWGRM 4/2/1) identifying a number of important risks to the Organization, one of which relates to the need to ensure that IMO has in place a robust ICT infrastructure and information systems with the capability of responding to changing requirements by both internal and external users. To that end, the Council Working Group recommended that, in the absence of unlimited funding, the Council should consider and prioritize costed options to be presented by the Secretariat. GISIS-related aspects of such an approach are covered in Section 4 of document CWGSP 10/2(b).

SECTION 3 – BROAD CATEGORY: DEVELOPING AND MAINTAINING A COMPREHENSIVE FRAMEWORK FOR SAFE, SECURE, EFFICIENT AND ENVIRONMENTALLY SOUND SHIPPING

Strategic Direction 5

IMO's highest priority will be the safety of human life at sea. In particular, greater emphasis will be accorded to:

- .1 ensuring that all systems related to enhancing the safety of human life at sea are adequate, including those concerned with large concentrations of people;
- .2 enhancing technical, operational and safety management standards;
- .3 eliminating shipping that fails to meet and maintain these standards on a continuous basis; and
- .4 increasing the emphasis on the role of the human element in safe shipping.

The related performance indicators are: 3, 4, 5, 11, 12 and 13
Total indicator definitions for this SD = 11

17 This SD deals with how the legislative framework enhances safety of human lives at sea. As indicated previously with respect to SD 2, the implementation rates of the IMO Audit Scheme (PI 3) have improved considerably and the FSI Sub-Committee is developing methodologies with a view to obtaining the best benefit for the Organization and its Members from the results of audits carried out. Meanwhile, the Council is scheduled to submit to the Assembly's twenty-sixth session proposals for the further development of the Scheme as a tool to gauge compliance with and implementation of IMO standards. These further advances would indicate that the membership appears to be ready to demonstrate publicly the adequacy and robustness of the safety management systems put in place to ensure the effective implementation of IMO's global standards

18 Regarding lives and ships lost (PIs 4 and 5), the data collected shows a considerable increase in the number of lives lost in 2008, while the loss rate for ships remains stable. Data for the last five years,

however, do confirm a downwards trend, with the best estimates indicating that the ratio of lives lost at sea to lives at risk is minimal, as is the ratio of ships lost to the total number of vessels in the world fleet. This trend (in spite of the occasional spikes) suggests that the comprehensive framework aimed at safety of life at sea is keeping pace with developments in technology and practice, and that the measures in place and their adaptation to changing needs are assisting the Organization to meet this strategic direction. Nonetheless, continued efforts need to be made to address the causes of any statistical spikes, particularly if they relate to the safety of non-convention vessels, on which continued attention is merited, particularly through the support that can be provided to governments through the ITCP.

19 Indicators dealing with PSC data (PIs 11 and 12) do not include deficiency information which, if linked with relevant casualty data, could perhaps also assist in identifying any weaknesses in the regulatory safety framework and in its effective compliance by measuring the level of enforcement at a flag State level (a method to address this is presented in CWGSP 10/2(b) for consideration). Meanwhile, a best estimate is provided by the PSC detention and non-compliance rates, which reached, respectively, averages of 4.68% (a decrease of 2.26% compared to 2007) and 44.41% (a decrease of 11.04%) in 2008. It is not always clear, however, what causes a decrease in detentions and non-compliance if other factors which can influence safety, such as shipping economic cycles or industry inspections, are not taken into account also. In this respect, the development of the GISIS module on PSC is of importance since it will, in future, allow IMO to make a closer link between deficiencies and the legislative framework and perhaps try to identify more specifically the areas where detentions and non-compliance increased or decreased. In line with relevant SDs, high-level actions and planned outputs, as at July 2009, all PSC regimes had agreed to supply their data to IMO, and the Indian Ocean MoU was the first regime to supply it on a trial basis.

20 Finally, the measure on fraudulent certificates (PI 13) is inconclusive due to the wide disparity between the 2001 and 2008 figures and a trend cannot be established. That said, 2008 showed a higher number of such certificates (68) compared to 2007 (41).

Strategic Direction 6

IMO will seek to enhance the security of the maritime transport network, including vital shipping lanes, and to reduce piracy and armed robbery against ships, as well as the frequency of stowaway incidents, by:

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

**The related performance indicators are: 6, 7, 11, 12 and 15
Total indicator definitions for this SD = 5**

21 Based on PI 6, no incidents of security failure occurred during 2008 on ships subject to SOLAS chapter XI-2, indicating some success in raising awareness of IMO's maritime and port facility security measures and in promoting their effective implementation through the ITCP. In this context, it should be noted that PI 15 measures only the ratio of external to internal funding, rather than the effectiveness of the support provided by IMO on security matters, which was one of the subjects covered by the most recent impact assessment exercise (document TC 58/4).

22 The number of acts of piracy and armed robbery (PI 7) increased in 2008 to 329 incidents compared to 310 for 2007. Nonetheless, the ratio of incidents per 1,000 vessels shows a declining rate over the last seven years, with a base year of 2002, as shown in Section 2 of document CWGSP 10/2(b). Meanwhile, although the number of lives lost, wounded and missing crew decreased in 2008, the number of crew which were taken hostage increased sharply to 773 (compared to 223 in 2007), principally in the waters off the coast of Somalia and in the Gulf of Aden.

23 The work carried out by IMO in preventing such acts includes coordination of activities with the UN Secretariat, UNODC, WFP, other UN bodies and industry organizations; a briefing by
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the Secretary-General to the UN Security Council in late 2008; continuation of technical assistance for the collaborative efforts with the littoral States of the Straits of Malacca and Singapore; and the adoption of the Djibouti Code of Conduct in January 2009.

24 The supporting data on PSC (PIs 11 and 12) does not disaggregate maritime security control and compliance actions from the traditional safety/environmental ones (with the exception of the data provided by the UN Coast Guard) and, therefore, trends in this regard cannot be adequately measured, although this could be facilitated with appropriate data being fed into the related GISIS module, thus providing additional variables for statistical analysis. Meanwhile, work is ongoing within the Secretariat to develop GISIS modules on stowaway cases and illegal migration (illicit drug trafficking incidents may also be included) so that all security-related areas are covered.

Strategic Direction 7

IMO will focus on reducing and eliminating any adverse impact by shipping on the environment by:

- .1 identifying and addressing possible adverse impacts;
- .2 developing effective measures for mitigating and responding to the impact on the environment caused by shipping incidents and operational pollution from ships;
- .3 contributing to international efforts to reduce atmospheric pollution and address global warming; and
- .4 increasing the emphasis on the role of the human element in environmentally sound shipping.

The related performance indicators are: 8, 9, 10, 11 and 12
Total indicator definitions for this SD = 11

25 This SD covers all areas of pollution that may be caused by ships and, as set out in paragraphs 4 to 6 of annex 1 to this document, there is generally a paucity of data with which to measure performance against this SD (particularly in relation to PIs 8 and 9). In this regard, the Working Group will again wish to urge States to fulfil reporting requirements, particularly mandatory ones, and to use the GISIS modules for such purposes. This would increase data for compliance measurement and analysis purposes and additional data in this regard might include types of violations (illegal discharges, oil record book, IOPP certificate) and the number and sizes of fines. In this respect, although the PSC data reported to IMO (PIs 11 and 12) does not disaggregate environmental non-compliance rates (as is the case for maritime security also), such deficiencies may eventually be extracted from the GISIS module on PSC.

26 At present, no accurate data is available to measure the actual environmental impact of ship-generated pollution (i.e. damage to ecosystems, livelihoods, economies, etc.), but the available data for PI 8(a) and PI 8(b) shows that the number of both smaller and larger oil spills decreased in 2008, while the best estimate indicates that the ratio of oil entering the sea to the quantity of oil that is carried by sea is minimal. If converted to an index for the years 2002 to 2008, one can easily see a downwards trend. With respect to pollution incidents involving HNS, very little data is available but, based on the data presented in annex 1 for the time period May 2006 to February 2009, dissolvers show the highest percentage in terms of number of HNS products involved in incidents, followed by persistent floaters (9.8%). In addition, the Secretariat suggests that individual chemical categories should be populated in GISIS (currently this is not done) so that statistics can be produced in the future. Furthermore, as indicated in Section 4 of document CWGSP 10/2(b), the Secretariat is also exploring the exchange of data with external providers for the purpose of monitoring progress against this SD.

27 With regard to air pollution, the 3-year rolling average of the sulphur content of fuel oil delivered to ships (PI 9) decreased to 2.46% for the period 2006-2008 (compared to 2.57 for the previous period) and the Organization's important work on the reduction of emissions of air pollutants from ships resulted in amendments to MARPOL Annex VI being developed with the support of a related scientific study initiated by IMO (PI 10(b)), adopted in October 2008 and scheduled to come into force in July 2010. In a similar vein, another scientific study sponsored by IMO was the update of the 2000 study on GHG emissions from ships. Phase 1 of the update was submitted to MEPC 58 (document MEPC 58/INF.6), with an estimate of CO₂ emissions from international shipping, namely, 843 million tonnes, or 2.7% of global CO₂ emissions, as compared to the 1.8% estimate in the original 2000 study.

This volume converts to some 32.01 g/tonne mile, while a range of typical CO₂ efficiencies reveal that shipping is the most efficient and environmental friendly form of transport compared to rail, road and air freight. The full updated study was completed in April 2009 and submitted to MEPC 59 (July 2009) (document MEPC 59/INF.10), with the Committee agreeing that it would constitute a significant document and become its paramount reference for information in further developing IMO's strategy to limit and reduce GHG emissions from international shipping. Such developments include MEPC 59's decision to circulate: interim Guidelines on the method of calculation of the Energy Efficiency Design Index for new ships; interim Guidelines for voluntary verification of Energy Efficiency Design Index; Guidance for the development of a ship energy efficiency management plan; Guidance for the voluntary use of the Energy Efficiency Operational Indicator. The latter session also held an in-depth discussion on market-based measures to reduced GHG emissions from ships.

28 A further consideration in measuring IMO's environmental performance is to examine other topics not yet covered specifically by the PIs such as antifouling, biofouling or ballast water issues, as well as some environmental impact factors (although not this is strictly within IMO's mandate). In this regard, it is estimated that around 3-5 billion tonnes of ballast water are carried around the world by ships each year, posing a serious environmental threat since there are some 4,500 to possibly more than 10,000 different species of marine microbes, plants and animals that may be carried in ballast water daily. The initial GloBallast Partnerships programme has estimated the global economic impact of invasive marine species in the order of tens of billions of US dollars per year.

29 ITCP support to the marine environmental protection needs of developing countries is now monitored by the expanded PI 10(a), which covers expenditure on the Organization's interventions in this field. The data collated shows fairly steady access to required funding over the years but a slight decrease for 2008 compared to 2007. In 2008, some US\$5.2 million of funding was available, representing 50.4% of total ITCP expenditure. This continues to demonstrate the significance of marine environment protection as a discipline for IMO's technical assistance activities, which is further augmented by the support received through partnership arrangements with other entities (PI 10(c)).

Strategic Direction 8

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 review such measures to ensure their adequacy, effectiveness and relevance, using the best available tools.

The related performance indicators are: 1, 2, 3 and 20
Total indicator definitions for this SD = 11

30 This SD is related to IMO's work on the efficiency of shipping or the facilitation of international maritime traffic and is covered by no less than 11 indicator definitions. Given that the topic has a stand-alone PI 20, with three relevant definitions, the Working Group may wish to consider whether PIs 1, 2 and 3 (accessions to conventions, entry into force and implementation and compliance, respectively) continue to be applicable to this SD, since accession specifically to the FAL 1965 is covered by PI 20(a) and the IMO Audit Scheme (PI 3) does not yet extend to that Convention.

31 As at July 2009, the number of IMO Member States that are Contracting Governments to FAL 1965 stands at 114, a small increase over 2008. With respect to PIs 20(b) and (c), FAL 35 (in January 2009) noted that, since 2007, only three replies had been received to the questionnaire in FAL.3/Circ.187 related to standards and recommended practices and notifications of differences.

Strategic Direction 9

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

The related performance indicator is: 14
Total indicator definitions for this SD = 4

32 As indicated in document CWGSP 8/5, the four definitions of PI 14 (delivery of technical assistance) do not provide disaggregated information on IMO's support to SIDS and LDCs, which, instead, is found in the periodic ITPC reports. In this regard, the ITCP now includes a specific global programme to address the shipping needs of these two groups of countries during 2008-2009, in line with MDG 8. The programme has provided support for the development of hydro-cartogenic and hydrographic capabilities in the Pacific Islands and Caribbean States.

Strategic Direction 10

IMO will establish goal-based standards for the design and construction of new ships.

The related performance indicator is: 18
Total indicator definitions for this SD = 1

33 Annex 1 to this document sets out the status of progress made towards this SD (see paragraphs 11 to 16) and proposes a change to the definition of the related performance indicator (PI 18). As this SD is in principle finite, the time taken to adopt related SOLAS amendments may eventually be compared to cycle time (PI 16), as an indication of the Organization's performance in developing, not a treaty instrument, but a discrete package of regulatory measures.

SECTION 4 – BROAD CATEGORY: ENHANCING THE PROFILE OF SHIPPING, QUALITY CULTURE AND ENVIRONMENTAL CONSCIENCE

Strategic Direction 11

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:

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

The related performance indicators are: 4(b), 5(b), 6, 7, 8, 10, 11, 14 and 17(b)
Total indicator definitions for this SD = 16

34 The 16 PI definitions linked to this SD monitor underlying factors that can adversely affect IMO's performance in enhancing the profile of the safety, security and environmental records of shipping in the eyes of civil society. On that basis, data on lives and ships lost (PIs 4 and 5), piracy and armed robbery (PI 7) and pollution-related incidents (PI 8) – particularly, in 2008, spikes relating to increased loss of life and acts of piracy – attracts negative publicity and impacts negatively on shipping's record. This, notwithstanding other consistently positive factors such as zero security failures (PI 6); IMO's record of environmental conscience (PI 10); declining PSC detention and non-compliance rates (PIs 11 and 12); improved delivery of technical assistance (PI 14); and increased numbers of IGOs and NGOs (PI 17) – all these provide a positive indication of IMO working in partnership with others throughout the international and maritime communities to enhance the underlying factors that affect the profile of shipping.

35 Intense efforts to raise that profile have been maintained by IMO and the industry through a wide variety of media, including press articles, internet sites, speeches and – particularly in respect of GHG emissions from ships – consistent participation, in spite of limited resources, in events surrounding the UNFCCC process leading to the climate change conference in Copenhagen in December 2009. Such

opportunities also arise in the celebration of the annual World Maritime Day theme, which have recently covered “International shipping: Carrier of world trade” (2005), “Technical co-operation: IMO’s response to the 2005 World Summit” (2006), “IMO’s response to current environmental challenges” (2007), “IMO: 60 years in the service of shipping” (2008) and “Climate change: a challenge for IMO too!” (2009). The principal purpose of these has been to highlight the fact that the international shipping industry has taken on board its corporate social responsibilities and is the vehicle that carries the overwhelming majority of world trade safely, securely, efficiently and at a fraction of the environmental impact and cost of any other mode of bulk transportation.

36 This emphatic message has also formed the cornerstone of the “Go to Sea!” campaign launched by IMO in 2008, in conjunction with ILO, ITF and the Round Table of international shipping organizations, to attract new entrants to the shipping industry. It will be equally carried forward in the celebration of the World Maritime Day theme for 2010, which is to be the “Year of the Seafarer”, the Secretariat’s action plan for which includes the production of special promotional materials for the Day and its Parallel Events, which to date have been held successfully in Portugal, Singapore, Brazil and Greece, with similar events planned for the United States and Argentina during 2009-2010.

37 Further contributory factors in raising shipping’s profile are the International Maritime Prize and the IMO Award for Exceptional Bravery at Sea – the latter having been introduced successfully in 2007.

Strategic Direction 12

IMO will take the lead in enhancing the quality of shipping by:

- .1 encouraging the utilization of the best available techniques not entailing excessive costs, in all aspects of shipping;
- .2 encouraging proper management of ships;
- .3 promoting and enhancing the availability of, and access to, information – including casualty information – relating to ship safety and security (i.e. transparency);
- .4 ensuring that all stakeholders understand and accept their responsibilities regarding safe, secure and environmentally sound shipping by developing a “chain of responsibility concept” among them; and
- .5 identifying, correlating and evaluating the factors, including human interaction on board ships, that influence safety and security culture, and developing practical and effective mechanisms to address them.

The related performance indicators are: 3, 11 and 12

Total indicator definitions for this SD = 7

37 This SD deals with quality in shipping and the related indicators show improvements in the implementation of the Voluntary Audit Scheme (PI 3) which, coupled with ongoing work leading towards the Scheme’s further development and towards methodologies facilitating the analysis of compliance and implementation, should add to the measurement of quality and to promoting transparency. In this regard, the PSC data (PIs 11 and 12) also reflect a measure of compliance with international standards and, since it shows declining PSC detention and non-compliance rates, it may be assumed that overall quality, as a measure of compliance, is improving. Through the MSC and MEPC, IMO continues to make active use of and maintain FSA techniques (the Secretariat is exploring data exchanges to increase data availability for FSA studies), risk-based tools (the CWGRM will be considering how to apply the approved Risk Management Framework to areas of the Organization’s other than the Secretariat’s) and its human element work (including the ongoing revision of the STCW Convention and Code). Meanwhile, the continued development and increased public use of online GISIS modules provides a further measure of the Organization’s commitment to and progress towards transparency.

Strategic Direction 13

IMO will seek to enhance environmental conscience within the shipping community by:

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

**The related performance indicators are: 10, 11 and 12
Total indicator definitions for this SD = 5**

39 Through its regulatory, technical assistance and public outreach work, IMO is permanently committed to enhancing awareness of the need to reduce shipping's impact on the environment and the work of the MEPC on air pollutants and GHGs, for example, illustrates a constructive, often proactive, approach based on consensus among all involved in the chain of responsibility. The three indicator definitions specifically on environmental conscience (PI 10) provide positive evidence of good organizational performance against this SD, particularly in terms of funding, studies and partnerships, as do the activities carried out to date in relation to the campaign to raise the profile of shipping. The data on PSC (PIs 11 and 12) is, again, inconclusive because it does not disaggregate control actions related to marine environment protection from which to determine the level of compliance with environmental standards and, thereby, gauge whether environmental conscience within the shipping community is indeed being enhanced. However, data on related deficiencies could eventually be extracted from the GISIS module on PSC.

40 There is no doubt, however, that the Organization's work, through the development of global standards and capacity for safe, secure and efficient shipping on clean oceans, has recently been and continues to be very much focused on environmental challenges. That said, IMO's work recognizes the connections between safety and security, on one hand, and marine environment protection, on the other (i.e. improvements in maritime safety and security benefit the marine environment by reducing the risks of pollution), and those between safety, security, environmental protection and facilitation, on one hand, and sustainable development and the achievement of the MDGs, on the other, as demonstrated by the confirmed linkage between the ITCP and the MDGs in resolution A.1006(25). As a result, it can be affirmed that all IMO organs contribute, through their respective mandates, to addressing and raising environmental issues and consciousness.

SECTION 5 – CONCLUSIONS

41 In measuring the Organization's performance against the agreed SDs, data on the PIs has been analysed, where practicable, in conjunction with information on the delivery of outputs covering the various regulatory, managerial, technical assistance and promotional activities of IMO. From that analysis, it is suggested that the Working Group may wish to advise the Council that continued and increased emphasis needs to be given to ongoing efforts in the following areas:

- .1 analysing and acting on, as may be necessary, the significant increase in loss of life during 2008 and up to the present time in 2009;
- .2 addressing the safety of life and navigation in waters affected by acts of piracy and armed robbery;
- .3 addressing the safety of non-Convention ships;

- .4 strengthening IMO's role with respect to the human element and, in that regard, making adequate preparations to support the effective implementation of the revised STCW Convention and Code;
 - .5 contributing to worldwide efforts to address the phenomena of climate change and global warming through the introduction of all appropriate measures to limit and reduce GHG emissions from ships;
 - .6 promoting and raising the profile, quality and environmental consciousness of shipping, and ensuring that these are permanent tasks of all concerned; and
 - .7 putting in place, internally, the necessary procedures and ICT infrastructure and systems to support results-based management and budgeting and consequential monitoring and analysis of results.
-