



AD HOC COUNCIL WORKING GROUP ON
THE ORGANIZATION'S STRATEGIC PLAN
10th session
Agenda item 4

CWGSP 10/4
1 September 2009
ENGLISH ONLY

REVIEW OF THE ORGANIZATION'S STRATEGIC PLAN

Draft Assembly resolution on the Strategic Plan for the Organization (for the six-year period 2010-2015)

Note by the Secretariat

SUMMARY

Executive summary:	This document proposes a draft Assembly resolution on, and two options for, an updated Strategic Plan for the Organization (for the six-year period 2010-2015)
Strategic direction:	4
High-level action:	4.3.1
Planned output:	4.3.1.1
Action to be taken:	Paragraph 11
Related documents:	CWGSP 10/2(a); CWGSP 10/2(b); CWGSP 10/4/1; Circular letter No.2979; resolution A.989(25); CWGSP 7/3

Introduction

1 In accordance with its terms of reference (see paragraph 1.1.3 of the annex to Circular letter No.2979), the *Ad Hoc* Council Working Group on the Organization's Strategic Plan (hereinafter the Working Group) is required, during a biennium, to "review the status of the Organization's Strategic Plan and, as appropriate, prepare an updated draft Strategic Plan 'rolled forward' to the subsequent six-year period" – a task the Working Group will carry out at its present session, in compliance also with paragraph 2.1.3 of the aforementioned Circular letter.

2 In carrying out the same task in previous biennia, the Working Group has concluded that, as a relatively long-term strategic document, the Strategic Plan was unlikely to require major revision every biennium and that any necessary adjustments thereto would either correct earlier omissions or reflect significant new developments (see paragraph 1 of document CWGSP 7/3).

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Updated Strategic Plan

3 On that basis, this document presents, for the Working Group's consideration, a draft updated Strategic Plan 'rolled forward' for the period 2010 to 2015, together with a covering Assembly resolution. In this regard, the Working Group will recall the traditional structure of the Strategic Plan, which is composed of the Organization's mission statement; the trends and developments in the shipping and maritime world and the related challenges for the Organization; the strategic directions that the Organization wishes to take over the life of the Strategic Plan; and a series of performance indicators.

4 In preparing this document, the Secretariat has taken into account the traditional structure of the Strategic Plan and submits that:

- .1 no change is required to the Organization's mission statement; and
- .2 some updating of the trends development and challenges, and consequential updating of the strategic directions, may be advisable.

5 With respect to the performance indicators (PIs), account has also been taken of documents CWGSP 10/2(a) and CWGSP 10/2(b), in which proposals have been made to:

- .1 **maintain the current PIs**, while:
 - .1 requesting the Marine Environment Protection Committee to provide a definition of harmful substances for PI 8(a) (ship-generated water pollution)¹; and
 - .2 introducing some limited adjustments to PI 14(b) (delivery of technical assistance) and PI 18 (goal-based standards)²; or
- .2 **rationalize the PIs** into the set of Key Performance Indicators (KPIs) explained in sections 1 and 2 and shown in Table 1 of document CWGSP 10/2(b).

6 As the Working Group has yet to consider, and decide on, either of the two options in the preceding paragraph, the present document sets out:

- .1 at annex 1, a draft Assembly resolution, based on the text of resolution A.989(25);
- .2 at annex 2, a draft updated Strategic Plan taking into account the limited updating and adjustments indicated in paragraphs 4.2 and 5.1 above; and
- .3 at annex 3, a draft updated Strategic Plan incorporating also the proposed rationalization of the PIs into a set of KPIs.

7 In the annexes, all proposed modifications (in comparison to resolution A.989(25)) are shown as 'track changes' text.

Possible future developments in the Strategic Plan

8 The alternative proposals set out at annex envisage the updated Strategic Plan going forward in the next biennium, once adopted by the Assembly.

¹ Document CWGSP 10/2(a): cover note (paragraph 3) and annex 1 (paragraphs 4 to 6). Document CWGSP 10/2(b): paragraph 64.

² Document CWGSP 10/2(a): cover note (paragraph 3) and annex 1 (paragraphs 8 and 9 on PI 14(b) and paragraph 16 on PI 18). Document CWGSP 10/2(b): paragraph 64.

9 Should the Working Group decide to proceed with the option in annex 3 (rationalization of the PIs), one potential consequence over the longer-term (i.e. beyond the 2010-2011 biennium), would be to also rationalize the Strategic Plan's strategic directions, as envisaged by the Working Group at its eighth session, when it agreed that the Secretariat should³:

- .1 continue measuring organizational performance through the current indicators;
- .2 examine ways of rationalizing them; and
- .3 further analyse the possibility of more fundamental changes to performance measurement in the context of developments in the Strategic and High-level Action Plans, including for the purposes of gauging progress towards the achievement of IMO's mission, taking into account the preliminary work presented in annex 3 of document CWGSP 8/5.

10 It is submitted that, in documents CWGSP 10/2(a), CWGSP 10/2(b) and in the annexes to the present document, the Secretariat has carried out the first two tasks assigned to it by the Working Group. It is further submitted that, for the purposes of the Assembly adopting a resolution on an updated Strategic Plan going forward into the next biennium, the third task, while intimately connected, is a separate discussion over a longer timeframe. Accordingly, document CWGSP 10/4/1 sets out, for the Working Group's consideration, some initial thoughts on how, over time, the Strategic Plan's strategic directions might also be rationalized in consonance with the rationalization of the PIs.

Action requested of the Working Group

11 The Working Group is invited to:

- .1 consider and approve the draft Assembly resolution at annex 1;
- .2 consider and approve the draft updated Strategic Plan set out either at annex 2 or annex 3, in the light of the outcome of its discussions on the further development of the existing performance indicators; and
- .3 note that document CWGSP 10/4/1 provides some initial thoughts on possible future developments in the Strategic Plan.

³ See paragraph 11.3 of document C 101/3.

ANNEX 1

DRAFT ASSEMBLY RESOLUTION

**STRATEGIC PLAN FOR THE ORGANIZATION
(FOR THE SIX-YEAR PERIOD ~~2010-2015~~2008-2013)**

THE ASSEMBLY,

RECALLING Part I of the Convention on the International Maritime Organization, in particular article 1(a) thereof,

RECALLING ALSO Part II of the Convention, in particular articles 2(a) and (c) thereof,

RECALLING FURTHER resolutions:

- A.900(21) on Objectives of the Organization in the 2000s;
- A.901(21) on IMO and technical co-operation in the 2000s; and
- A.909(22) on Policy-making in IMO – setting the Organization’s policy and objectives,

RECALLING IN PARTICULAR the directions given, at its twenty-second session, to the Council to prepare the Organization’s strategic plan outlining the Organization’s broad direction and strategic objectives; and the adoption, at its twenty-~~fourth~~^{fourth} session, of resolution ~~A.989(25)~~^{A.970(24)} on the Strategic Plan for the Organization (for the six-year period ~~2010~~²⁰⁰⁸ to ~~2015~~²⁰¹³), including the direction given to the Council therein to review the Plan every biennium,

BEING COMMITTED to ensuring the fulfilment of the Organization’s aims and objectives in a uniform manner on a global basis and to setting clear priorities for the purpose of achieving them,

HAVING CONSIDERED the recommendations of the Council at its twenty-~~fifth~~^{fourth} extraordinary session,

1. APPROVES the Strategic Plan for the Organization, as set out in the attached annex, for the six-year period ~~2010-2015~~²⁰⁰⁸⁻²⁰¹³, comprising:

- (a) the mission statement;
- (b) the trends, developments and challenges in the shipping and maritime world that the Organization is anticipated to face over the aforementioned period;
- (c) the strategic directions for the Organization, based on the emerging trends, developments and challenges; and
- (d) performance indicators for assessing the performance of the Organization;

2. REQUESTS the Council and the Secretary-General, as appropriate, to monitor progress and analyse, as necessary, mechanisms to review and update progress made under the Plan, taking into account the High-level Action Plan developed by the Organization;

3. DIRECTS the Council to review the Plan every biennium;

4. DECIDES to review the Organization's progress against the Plan at its twenty-~~seventh~~^{sixth} regular session on the basis of a Council report;
5. REITERATES ITS REQUEST to the Council and all the committees, when making recommendations for their work programmes during the Strategic Plan period, to bear in mind the desirability of not scheduling more than one diplomatic conference in each year, save in exceptional circumstances;
6. REVOKES resolution ~~A.989(25)~~^{A.970(24)}.

ANNEX 2

**UPDATED STRATEGIC PLAN
(With adjustment of performance indicators 14(b) and 18)**

**STRATEGIC PLAN FOR THE ORGANIZATION
(FOR THE SIX-YEAR PERIOD ~~2010-2015~~2008 to 2013)**

This, the Organization's Strategic Plan, covers the six-year period ~~2010 to 2015~~2008 to 2013. It comprises four sections:

- .1 the mission statement;
- .2 the trends and developments in the shipping and maritime world and the related challenges for the Organization;
- .3 the strategic directions that the Organization wishes to take over the period; and
- .4 a series of performance indicators.

1 MISSION STATEMENT

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

2 TRENDS, DEVELOPMENTS AND CHALLENGES

2.1 In its work to achieve its mission in an ever-changing world, the Organization faces many challenges. The Organization's strategic directions have been developed in the context of the trends and developments in today's shipping industry, as enumerated below.

Globalization

2.2 Today's globalized world is characterized by freer movement of people, goods, services and information. It is a more interconnected world, in which the actions taken in one place have implications elsewhere. As commerce has expanded, shipping has taken on greater importance as the major facilitator of global trade. Globalization has also given rise to new players in the maritime arena. For instance, through the process of consolidation, 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. There is concern that shipping standards might be compromised by the forces of liberalization and competition sweeping through the maritime sector. At the same time, there has also been increased interaction between IMO and other intergovernmental organizations, as well as non-State actors such as industry and special interest groups, in response to the need for a more comprehensive and inclusive approach to shipping matters.

The challenge for IMO is to:

- .1 *be proactive in identifying trends and developments affecting shipping;*
- .2 *adopt a comprehensive and inclusive approach to shipping matters;*

- .3 *provide an effective and efficient response to shipping trends, developments and incidents, and in so doing, stave off regional or unilateral tendencies which 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

2.3 Enhancing maritime safety by 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 in developing measures for the uniform and effective implementation of IMO instruments are also critical success factors in enhancing maritime safety.

The challenge for 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 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

2.4 The terrorist attacks of 11 September 2001 sent shock waves throughout the maritime and port community, compelling IMO Member States and intergovernmental and non-governmental organizations collectively to introduce new measures in the maritime transport sector designed to enhance maritime and port security, prevent and suppress unlawful acts against the safety of maritime navigation and protect against disruptions to global trade, including those to vital shipping lanes. Further terrorist attacks simply reinforced the need for such measures. Following the adoption of amendments to SOLAS introducing the International Ship and Port Facility Security Code, the measures must be implemented effectively in order to enhance global maritime security. At the same time, ~~there are growing concerns that~~ security measures must not unduly affect the efficiency of shipping and port operations, the more so in an interconnected world which is so highly dependent on seaborne trade.

The challenge for IMO is to promote the effective implementation of the security measures, and to instil a security consciousness in ship and port facility operations, at the same time ensuring that the right balance is struck in trade facilitation and that the flow of seaborne trade continues to be smooth and efficient.

Heightened environmental consciousness

2.5 The public is clearly growing intolerant of pollution of the environment from shipping incidents. There is also growing concern about pollution arising from shipping activities. Moreover, the heightened concern at the impact of global shipping activities on the environment has given impetus to efforts such as those aimed at reducing atmospheric pollution and addressing climate change and global warming; ensuring the preservation of aquatic systems; and preventing the introduction of harmful substances from ships into the marine environment. Concern for the environment has also extended to concerns over the safest and most effective measures for the recycling of ships, which IMO is addressing.

The challenge for IMO, in line with the global emphasis on sustainable development, is to:

- .1 be proactive in identifying and addressing shipping activities and incidents that could have an adverse impact on the environment;

- .2 contribute to international efforts to reduce atmospheric pollution and address climate change and global warming;
- .3 develop effective responses to shipping incidents in order to mitigate their impact on the environment; and
- .4 make new ships more environmentally friendly by adopting the ‘cradle to grave’ concept for new ships, whilst further facilitating practicable solutions for the recycling of existing ships.

People at sea

2.6 In the context of IMO’s fundamental mission to protect the lives of all those at sea, the advent of passenger ships with capacities of several thousands, the increased use of ferries and high-speed craft on international and domestic services to provide essential national, regional and archipelagic links, the growing number of migrants transported by sea, the continuing incidence of stowaway cases and of piracy and armed robbery and the continuing loss of seafarers’ and fishers’ lives at sea have all heightened the concerns relating to the safety of human life at sea and the success of search and rescue operations in the case of distress, in particular the safe and secure operation of ships and whether current response capabilities are adequate to deal with emergencies.

The challenge for IMO is to ensure the adequacy of all systems used in ensuring the safety of life at sea, including those concerned with large concentrations of people.

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

2.7 The Integrated Technical Co-operation Programme (ITCP) is crucial for assisting developing countries to implement IMO instruments for safer and more secure shipping and enhanced environmental protection. In addition, the ITCP makes a contribution to assisting developing countries to achieve relevant Millennium Development Goals (MDGs). The importance of the ITCP increases further with every new instrument adopted by IMO. There are concerns about IMO’s capacity to meet the historical and growing needs of developing countries for technical assistance and, in particular, about the long-term financial sustainability of the ITCP.

The challenge for IMO is to ensure an equitable and sustainable means of funding for the ITCP and to improve its delivery and effectiveness.

Shifting emphasis onto people

2.8 Shortcomings in human performance at all levels in the chain of responsibility are a major cause of incidents. IMO will continue its efforts to address this problem. As IMO strives for full compliance with its instruments, their effectiveness will come under scrutiny with each incident resulting from human error. On the other hand, technological advances will offer new opportunities, which IMO can harness in order to enhance the contribution of the human element to safety, security and environmental protection.

The challenge for IMO is to place increased emphasis on the contribution of the human element to safer, more secure and environmentally friendly shipping and continuously to improve measures aimed at enhancing human performance in the maritime industry.

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

2.9 Technological developments have created new opportunities, but may also have negative consequences. New opportunities therefore exist to further develop various IMO initiatives, from safety and security to environmental protection. Developments in communications and information technology

will provide opportunities to develop knowledge management so as to increase transparency and accessibility to information.

The challenge for IMO is to:

- .1 ensure that the technological developments adopted are conducive to enhancing maritime safety, security and protection of the environment, and take into account the need for their global application;*
- .2 ensure the proper application of information technology within the Organization and to provide enhanced access to that information for the shipping industry and others; and*
- .3 ensure that new equipment for use on board ships is designed and manufactured with the needs, skills and abilities of all users in mind.*

3 STRATEGIC DIRECTIONS

Introduction

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

- .1 enhancing the status and effectiveness of the Organization;
- .2 developing and maintaining a comprehensive framework for safe, secure, efficient and environmentally sound shipping; and
- .3 enhancing the profile of shipping and instilling a quality culture and environmental conscience.

3.2 The Organization's performance in these three categories will be monitored through a series of performance indicators. The numbers of the applicable indicators are listed for each strategic direction.

Enhancing the status and effectiveness of IMO

SD 1 IMO is the primary international forum for technical matters of all kinds affecting international shipping and related 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 duplicating efforts made by other UN agencies in shipping matters.

The related performance indicators are: 1, 2, 3, 16, 17 and 19

SD 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

SD 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

SD 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

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

SD 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

SD 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 cases and incidents of illegal migration, 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 organizations;
- .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

SD 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 climate change and 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

SD 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

SD 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

SD 10 IMO will establish goal-based standards for the design and construction of new ships.

The related performance indicator is: 18

Enhancing the profile of shipping, quality culture and environmental conscience

SD 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)

SD 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

SD 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

4 PERFORMANCE INDICATORS

4.1 The performance indicators in Table 1 have been developed in the context of the Organization’s Mission Statement and on the basis of the Strategic Directions, with the aim of achieving the following:

- .1 safe shipping;
- .2 secure shipping;
- .3 environmentally sound shipping;
- .4 efficient shipping;
- .5 sustainable shipping;
- .6 adoption of the highest practicable standards;
- .7 implementation of instruments; and
- .8 capacity building.

TABLE 1

Indicators		Definition
1	Accessions to conventions	Percentage of IMO Member States that have ratified each IMO convention and protocol
2	Entry into force	Percentage and number of conventions adopted but which have not entered into force
3	Implementation and compliance	(a) Number and percentage of Member States that have volunteered for audit (b) Number and percentage of Member States that have been audited (c) Number and percentage of Member States that have nominated auditors (d) Number and percentage of nominated auditors that have carried out audits (e) Number of technical assistance activities carried out following audits
4	Lives lost	(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 (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
5	Ships lost	(a) Number of ships subject to IMO conventions lost for any safety-related* reason other than those declared constructive total losses for insurance purposes (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
6	Security failures	Number of ships and lives lost due to security failures and number of terrorist incidents on ships subject to SOLAS chapter XI-2
7	Piracy and armed robbery	Number of ships and lives lost due to piracy and armed robbery and number of such incidents against ships engaged on international voyages
8	Ship-generated water pollution	(a) Tonnes of harmful substances discharged into the sea operationally or accidentally from ships subject to IMO instruments (b) Number of spills occurring from ships subject to IMO instruments (c) Ratio of oil (cargo and bunkers) discharged into the sea to total quantities carried by sea
9	Ship-generated air pollution and CO ₂ emissions	(a) 3-year rolling average of the sulphur content of fuel oil delivered to ships (b) Tonnes of NO _x , SO _x and CO ₂ released from ships subject to IMO instruments (c) Ratio of estimated tonnage of SO _x , NO _x and CO ₂ released annually per tonne-mile of cargo carried by sea
10	Environmental conscience	(a) Mobilization by IMO of donor funds for environmental programmes (b) Number of projects sponsored, initiated and funded by IMO (c) Number of collaborative agreements with regional groups responding to pollution such as: REMPEC, ROCRAM, Barcelona Convention
11	PSC detention rate	Port State control detention rates as analysed by the various bodies of the Organization on the basis of data submitted by Member States
12	PSC non-compliance rate	Port State control non-compliance rates as analysed by the various bodies of the Organization on the basis of data submitted by Member States

* 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.

Indicators		Definition
13	Fraudulent certificates	Number of fraudulent certificates and endorsements of any type reported to IMO
14	Delivery of technical assistance	(a) Percentage of planned activities delivered (b) Activities delivered: number of advisory missions and number of training events planned and unplanned percentages (c) Number of partnerships with governments, organizations and industry (d) Number of trainees in IMO institutions and IMO-sponsored workshops
15	Sustainability of ITCP	Proportion of funding from donor sources and internal sources
16	Cycle time	Time taken to develop IMO conventions and other instruments compared to planned time
17	IMO's role	(a) Size of IMO membership compared to UN membership (b) Level of participation of IGOs and approved NGOs at IMO meetings
18	Goal-based standards	Progress towards development of the goal-based standards for ship construction concept
19	Work of other UN bodies	(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 activities) (b) Number of joint working groups established (c) Number of partnerships (MoUs or other agreements) established (d) Number of joint technical co-operation programmes
20	Efficiency of shipping – facilitation of international maritime traffic	(a) Number and percentage of Member States that are party to the FAL Convention (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 (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

ANNEX 3
(With rationalization of the performance indicators)
STRATEGIC PLAN FOR THE ORGANIZATION
(FOR THE SIX-YEAR PERIOD ~~2010-2015~~~~2008 to 2013~~)

This, the Organization's Strategic Plan, covers the six-year period ~~2010 to 2015~~~~2008 to 2013~~. It comprises four sections:

- .1 the mission statement;
- .2 the trends and developments in the shipping and maritime world and the related challenges for the Organization;
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1 MISSION STATEMENT

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

2 TRENDS, DEVELOPMENTS AND CHALLENGES

2.1 In its work to achieve its mission in an ever-changing world, the Organization faces many challenges. The Organization's strategic directions have been developed in the context of the trends and developments in today's shipping industry, as enumerated below.

Globalization

2.2 Today's globalized world is characterized by freer movement of people, goods, services and information. It is a more interconnected world, in which the actions taken in one place have implications elsewhere. As commerce has expanded, shipping has taken on greater importance as the major facilitator of global trade. Globalization has also given rise to new players in the maritime arena. For instance, through the process of consolidation, 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. There is concern that shipping standards might be compromised by the forces of liberalization and competition sweeping through the maritime sector. At the same time, there has also been increased interaction between IMO and other intergovernmental organizations, as well as non-State actors such as industry and special interest groups, in response to the need for a more comprehensive and inclusive approach to shipping matters.

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Heightened maritime safety concerns

2.3 Enhancing maritime safety by 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 in developing measures for the uniform and effective implementation of IMO instruments are also critical success factors in enhancing maritime safety.

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Heightened maritime security concerns

2.4 The terrorist attacks of 11 September 2001 sent shock waves throughout the maritime and port community, compelling IMO Member States and intergovernmental and non-governmental organizations collectively to introduce new measures in the maritime transport sector designed to enhance maritime and port security, prevent and suppress unlawful acts against the safety of maritime navigation and protect against disruptions to global trade, including those to vital shipping lanes. Further terrorist attacks simply reinforced the need for such measures. Following the adoption of amendments to SOLAS introducing the International Ship and Port Facility Security Code, the measures must be implemented effectively in order to enhance global maritime security. At the same time, ~~there are growing concerns that~~ security measures must not unduly affect the efficiency of shipping and port operations, the more so in an interconnected world which is so highly dependent on seaborne trade.

The challenge for IMO is to promote the effective implementation of the security measures, and to instil a security consciousness in ship and port facility operations, at the same time ensuring that the right balance is struck in trade facilitation and that the flow of seaborne trade continues to be smooth and efficient.

Heightened environmental consciousness

2.5 The public is clearly growing intolerant of pollution of the environment from shipping incidents. There is also growing concern about pollution arising from shipping activities. Moreover, the heightened concern at the impact of global shipping activities on the environment has given impetus to efforts such as those aimed at reducing atmospheric pollution and addressing climate change and global warming; ensuring the preservation of aquatic systems; and preventing the introduction of harmful substances from ships into the marine environment. Concern for the environment has also extended to concerns over the safest and most effective measures for the recycling of ships, which IMO is addressing.

The challenge for IMO, in line with the global emphasis on sustainable development, is to:

- .1 be proactive in identifying and addressing shipping activities and incidents that could have an adverse impact on the environment;

- .2 contribute to international efforts to reduce atmospheric pollution and address climate change and global warming;
- .3 develop effective responses to shipping incidents in order to mitigate their impact on the environment; and
- .4 make new ships more environmentally friendly by adopting the ‘cradle to grave’ concept for new ships, whilst further facilitating practicable solutions for the recycling of existing ships.

People at sea

2.6 In the context of IMO’s fundamental mission to protect the lives of all those at sea, the advent of passenger ships with capacities of several thousands, the increased use of ferries and high-speed craft on international and domestic services to provide essential national, regional and archipelagic links, the growing number of migrants transported by sea, the continuing incidence of stowaway cases and of piracy and armed robbery and the continuing loss of seafarers’ and fishers’ lives at sea have all heightened the concerns relating to the safety of human life at sea and the success of search and rescue operations in the case of distress, in particular the safe and secure operation of ships and whether current response capabilities are adequate to deal with emergencies.

The challenge for IMO is to ensure the adequacy of all systems used in ensuring the safety of life at sea, including those concerned with large concentrations of people.

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

2.7 The Integrated Technical Co-operation Programme (ITCP) is crucial for assisting developing countries to implement IMO instruments for safer and more secure shipping and enhanced environmental protection. In addition, the ITCP makes a contribution to assisting developing countries to achieve relevant Millennium Development Goals (MDGs). The importance of the ITCP increases further with every new instrument adopted by IMO. There are concerns about IMO’s capacity to meet the historical and growing needs of developing countries for technical assistance and, in particular, about the long-term financial sustainability of the ITCP.

The challenge for IMO is to ensure an equitable and sustainable means of funding for the ITCP and to improve its delivery and effectiveness.

Shifting emphasis onto people

2.8 Shortcomings in human performance at all levels in the chain of responsibility are a major cause of incidents. IMO will continue its efforts to address this problem. As IMO strives for full compliance with its instruments, their effectiveness will come under scrutiny with each incident resulting from human error. On the other hand, technological advances will offer new opportunities, which IMO can harness in order to enhance the contribution of the human element to safety, security and environmental protection.

The challenge for IMO is to place increased emphasis on the contribution of the human element to safer, more secure and environmentally friendly shipping and continuously to improve measures aimed at enhancing human performance in the maritime industry.

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

2.9 Technological developments have created new opportunities, but may also have negative consequences. New opportunities therefore exist to further develop various IMO initiatives, from safety and security to environmental protection. Developments in communications and information technology

will provide opportunities to develop knowledge management so as to increase transparency and accessibility to information.

The challenge for IMO is to:

- .1 ensure that the technological developments adopted are conducive to enhancing maritime safety, security and protection of the environment, and take into account the need for their global application;*
- .2 ensure the proper application of information technology within the Organization and to provide enhanced access to that information for the shipping industry and others; and*
- .3 ensure that new equipment for use on board ships is designed and manufactured with the needs, skills and abilities of all users in mind.*

3 STRATEGIC DIRECTIONS

Introduction

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

- .1 enhancing the status and effectiveness of the Organization;
- .2 developing and maintaining a comprehensive framework for safe, secure, efficient and environmentally sound shipping; and
- .3 enhancing the profile of shipping and instilling a quality culture and environmental conscience.

3.2 The Organization's performance in these three categories will be monitored through a series of **Key Performance Indicators**. The numbers of the applicable indicators are listed for each strategic direction.

Enhancing the status and effectiveness of IMO

SD 1 IMO is the primary international forum for technical matters of all kinds affecting international shipping and related 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 duplicating efforts made by other UN agencies in shipping matters.

The related **Key Performance Indicators** are: 12, 13, 14, 15 and 18~~1, 2, 3, 16, 17 and 19~~

SD 2 IMO will foster global compliance with its instruments governing international shipping and will promote their uniform implementation by Member States.

The related Key Performance Indicators are: 7, 8, 9, 10, 12, 13, 14 and 15, ~~2, 3 and 14~~

SD 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 Key Performance Indicators are: 7, 8, 9, 10, 11, 12 and 14, ~~14 and 15~~

SD 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 Key Performance Indicators are: 16 and 17, ~~16~~

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

SD 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 Key Performance Indicators are: 1, 2, 12, 13, 14 and 15, ~~3, 4, 5, 11, 12 and 13~~

SD 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 cases and incidents of illegal migration, 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 organizations;
- .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 Key Performance Indicators are: 5, 6, 10, 11, 14 and 15, ~~7, 11, 12 and 15~~

SD 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 climate change and global warming; and
- .4 increasing the emphasis on the role of the human element in environmentally sound shipping.

The related performance indicators are: 3, 4, 10, 11, 14 and 15, ~~9, 10, 11 and 12~~

SD 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 Key Performance Indicators are: 12 and 13, ~~2, 3 and 20~~

SD 9 IMO will pay special attention to the shipping needs of small island developing States (SIDS) and the least developed countries (LDCs).

The related Key Performance Indicators are: 7, 8, 9, 10 and 11, ~~14~~

SD 10 IMO will establish goal-based standards for the design and construction of new ships.

The related Key Performance Indicator is: None (but progress against SD 10 will reported through narrative text), ~~18~~

Enhancing the profile of shipping, quality culture and environmental conscience

SD 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 Key Performance Indicators are: 1, 2, 3, 5, 6, 7, 8, 9, 10, 11 and 144(b), 5(b), 6, 7, 8, 10, 11, 14 and 17(b)

SD 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 Key Performance Indicators are: 12, 13, 14 and 153, 11 and 12

SD 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 Key Performance Indicators are: 10, 11, 14 and 153, 11 and 12

4 PERFORMANCE INDICATORS AND PERFORMANCE MEASUREMENT

4.1 The Key Performance Indicators (KPIs) in Table 1 have been developed in the context of the Organization’s Mission Statement and on the basis of the Strategic Directions, with the aim of achieving the following:

- .1 safe shipping;
- .2 secure shipping;
- .3 environmentally sound shipping;
- .4 efficient shipping;
- .5 sustainable shipping;

- .6 adoption of the highest practicable standards;
- .7 implementation of instruments; and
- .8 capacity building.

4.2 With a view to gauging progress towards the Strategic Directions, the following areas of measurement, based on long-term goals, will be used:

<u>Area of measurement for the KPIs to gauge progress towards the Strategic Directions, based on long-term goals</u>	
<u>Area of measurement</u>	<u>Long-term goal</u>
<u>1. Safety</u>	<u>Decrease in loss of lives and ships subject to IMO conventions</u>
<u>2. Pollution</u>	<u>Decrease in tonnes of oil discharged and grams of CO₂ released from international shipping</u>
<u>3. Security</u>	<u>Enhance the security of ships and contribute towards decreasing piracy incidents</u>
<u>4. Implementation and enforcement of legislation</u>	<u>Promote ratification and enhance compliance with and enforcement of IMO conventions</u>
<u>5. Technical co-operation and capacity building</u>	<u>Respond to technical assistance needs of IMO Member States and increase co-operation with relevant stakeholders and donor partners</u>
<u>6. Financial performance and position</u>	<u>Provide income stream and ensure healthy financial status for the work of IMO</u>
<u>7. Outreach to the public</u>	<u>To be developed</u>

4.3 The measurement of performance through the KPIs will be complemented by the development of appropriate statistical methods to address the foregoing areas of measurement and, in particular, the following questions:

- .1 How well do the IMO standards achieve their desired effect?
- .2 How well is the need to create/adapt standards recognized and action taken accordingly?
- .3 How well do the IMO Member States implement, comply with and enforce the IMO standards?
- .4 How well does IMO assist its Member States to implement, comply with and enforce its standards?
- .5 How effective and efficient is the work carried out to meet IMO's Strategic Directions?
- .6 How well does IMO perform in terms of public outreach and its obligations to the public?

TABLE 1

<u>Area of measurement and related long-term goal</u>	<u>Related Key Performance Indicators</u>
<p><u>1. Safety</u></p> <p><u>Long term goal: decrease in loss of lives and ships subject to IMO conventions</u></p>	<p><u>1. Lives lost (seafarers 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 (per million lives)</u></p> <p><u>2. 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 (per 1,000 vessels)</u></p>
<p><u>2. Pollution</u></p> <p><u>Long term goal: decrease tonnes of oil discharged and grams of CO₂ released from international shipping</u></p>	<p><u>3. Tonnes of oil discharged per tonne mile (per million tonne miles)</u></p> <p><u>4. Grams of CO₂ released per tonne mile of cargo carried by sea</u></p>
<p><u>3. Security</u></p> <p><u>Long term goal: enhance the security of ships and contribute towards decreasing piracy incidents</u></p>	<p><u>5. Number of security-related incidents on ships subject to SOLAS chapter XI-2</u></p> <p><u>6. Number of piracy incidents to total number of vessels engaged on international voyages (per 1,000 vessels)</u></p>
<p><u>4. Implementation and enforcement of legislation</u></p> <p><u>Long term goal: promote ratification and enhance compliance and enforcement of IMO conventions</u></p>	<p><u>12. Average ratification rate for all MS and all conventions (percentage rate)</u></p> <p><u>13. Average ratification rate for world tonnage and all conventions (percentage rate)</u></p> <p><u>14. Average PSC detention rate for all PSC regimes (percentage rate)</u></p> <p><u>15. Average PSC non-compliance rate for all PSC regimes (percentage rate)</u></p>
<p><u>5. Technical co-operation and capacity building</u></p> <p><u>Long term goal: respond to technical assistance needs of IMO Member States and increase cooperation with relevant stakeholders and donor partners</u></p>	<p><u>7. Number of advisory missions</u></p> <p><u>8. Number of training events</u></p> <p><u>9. Number of trainees in IMO institutions and IMO-sponsored training events</u></p> <p><u>10. Number of partnerships with governments, organizations and industry</u></p> <p><u>11. Total expenditure</u></p>
<p><u>6. Financial performance and position</u></p> <p><u>Long term goal: provide income stream and ensure healthy financial status for the work of IMO</u></p>	<p><u>16. Member State collection rate (percentage of current year assessments received from all Member States)</u></p> <p><u>17. Assets less liabilities in the General Fund, Printing Fund, Working Capital Fund, Training & Development Fund, Termination Benefit Fund and Technical Co-operation fund</u></p>
<p><u>7. Outreach to the public</u></p> <p><u>Long-term goal: to be developed</u></p>	<p><u>18. To be developed</u></p>