

AD HOC COUNCIL WORKING GROUP ON
THE ORGANIZATION'S STRATEGIC PLAN
13th session
Agenda item 5

CWGSP 13/5
25 September 2013
ENGLISH ONLY

**MODIFIED REPORTING FORMATS AND ASSOCIATED CHANGES TO
RESOLUTION A.1013(26) CONTAINING THE GUIDELINES ON THE
APPLICATION OF THE STRATEGIC PLAN AND THE HIGH-LEVEL
ACTION PLAN OF THE ORGANIZATION**

Note by the Secretariat

SUMMARY

Executive summary: This document reports on the trial endorsed by C 109 on using modified reporting formats, and sets out associated changes to resolution A.1013(26) containing the *Guidelines on the Application of the Strategic Plan and the High-level Action Plan of the Organization*

Strategic direction: 4

High-level action: 4.0.3

Planned output: 4.0.3.1

Action to be taken: Paragraph 11

Related documents: FAL.3/Circ.209; C109/D, C 109/3; FAL 38/11, FAL 38/11/Rev.1; Circular letters No.3260 and 3260/Rev.1 and resolution A.1013(26)

Introduction

1 The Council, at its 109th session, endorsed the proposal by the Secretary-General for a trial using modified reporting formats based on the strategic planning database module and instructed the Ad Hoc Working Group on the Strategic Plan to evaluate the trial, and, if appropriate, propose changes to the reporting formats of the Guidelines on the Application of the Strategic Plan and the High-level Action Plan of the Organization, "the GAP", for the Council's consideration.

2 The Facilitation Committee, at its thirty-eighth session, recalled that the Council, at its twenty-sixth extraordinary session, had agreed, in accordance with paragraph 4 of resolution A.1013(26)¹, to incorporate within the Guidelines on the Application of the Strategic Plan and the High-level Action Plan of the Organization ("the GAP"), and with

¹ Updated in Circular letter No.3260/Rev.1.

immediate effect, the checklist for identifying administrative requirements and burdens in the future and had requested the Committees to update the Guidelines on the organization and method of their work accordingly.

3 The Committee considered amendments to its Guidelines on the organization and method of its work, including amendments with the aim of harmonizing the FAL Guidelines as much as possible with those of the Maritime Safety and Marine Environment Protection Committees. Furthermore, a number of consequential editorial amendments to the GAP were identified. These changes are set out in the annex in track changes for the working group to consider.

Outcome of the trial using modified reporting formats based on the strategic planning database

4 In order to ensure that relevant technical officers were familiar and comfortable with the strategic planning database module, a number of internal meetings were conducted late 2012, where the possible functionalities of the database modules were discussed in order to make it as user-friendly as possible.

5 Though the database module was used to generate reports already in early 2013, this was not identifiable by delegates in the sub-committee sessions, as some technical officers modified the reports from the database to look like the format previously used.

6 Eventually, the Secretariat started producing reports using the modified reporting format and, though working procedures are not yet fully aligned with the functionalities of the database, the general feedback from within the Secretariat has been that the modified reporting format makes it easier to track changes and actions taken by other organs with regard to any planned output. Clearly, there is still room for improvement regarding the necessity of populating the database, especially for actions taken at sub-committee level.

7 The informal feedback received from Member States on the modified reporting format has been positive, in particular the introduction of the notes field, enables delegation to better track proposed changes to planned outputs (for example, a new description, postponement, etc.) during the course of a biennium.

8 Overall, the feedback has been that the modified reporting formats have strengthened the reporting system, and enables the relevant organs to better monitor progress on work under their purview.

Combined reporting format

9 Taking into account the above, and taking into account that a practice has developed to only present the biennial agenda report (format 1, annex 2 to the current GAP) during an organ's meeting, with the status report (annex 3 of the current GAP) only being finalized by the Secretariat after a session and attached to the final report of that session, it is proposed to change the reporting formats required by the GAP, by introducing one single report format to replace the biennial agenda and the status report. In addition there will still be a post-biennial agenda report. The format of the new report builds upon the one introduced during the trial, but also includes the status of the outputs. This way only one report will be presented to the session of an organ for review and finalized afterwards.

Other changes

10 A number of other changes are suggested in track changes to the draft Assembly resolution and the GAP in the annex. These are suggested to update the GAP to changes in procedures, including the decision by C 110 to remove the Secretariat's planned outputs from the HLAP. Special attention is drawn to the suggested footnote in paragraph 9.2 regarding planned outputs, where a sub-committee has been assigned as associated organ, but no request has yet been made to that sub-committee.

Action requested of the working group

11 The working group is invited to consider the information provided, and to approve the draft Assembly resolution and the draft updated GAP set out in the annex.

ANNEX

**DRAFT ASSEMBLY RESOLUTION
GUIDELINES ON THE APPLICATION OF THE STRATEGIC PLAN AND
THE HIGH-LEVEL ACTION PLAN OF THE ORGANIZATION**

THE ASSEMBLY,

RECALLING the directives contained in resolutions A.500(XII) and A.900(21) concerning coordination of the work of the committees by the Council to ensure consistency with the overall goals of the Organization, taking into account the views of the committees on priorities and their responsibilities for substantive technical and legal matters,

RECALLING ALSO the Assembly's commitment, in resolution A.777(18), to improving the work methods and organization of work of the Organization,

RECALLING FURTHER resolutions A.~~989~~~~xxxx~~(~~2528~~) and A.~~990~~~~xxxx~~(~~2528~~), by which it approved, respectively, the Strategic Plan for the Organization for the six-year period ~~2008 2014~~ to ~~2013-2019~~ and the High-level Action Plan of the Organization and priorities for the ~~2008-2009~~2014-2015 biennium,

RECALLING IN PARTICULAR its adoption of resolution A.1013(26) containing Guidelines on the Application of the Strategic Plan and the High-level Action Plan of the Organization and its request to the Council to keep those guidelines under review,
~~request to the Council, in resolution A.990(25), to develop, on a priority basis and through its Ad Hoc Working Group on the Organization's Strategic Plan, guidelines for all IMO organs on the application of the Strategic Plan and the, including guidance for the assessment of work programme items and for the format and content of reports on work carried out by the respective bodies of the Organization,~~

REAFFIRMING:

- that the Organization's Strategic Plan contains key strategic directions enabling IMO to achieve its mission objectives; and
- that the High-level Action Plan has been developed to enable the Organization to effectively address those strategic directions by identifying high-level actions that are necessary for the achievement of IMO's objectives and the priorities over a biennium resulting from those identified actions, thereby providing the linkage between the Organization's strategy, the work of the various IMO organs and the biennial budget,

RECOGNIZING the need for a uniform basis for the application of the Strategic Plan and the High-level Action Plan throughout the Organization, and for the strengthening of existing working practices through the provision of enhanced planning and management procedures that are flexible, manageable, proportional, transparent and balanced,

HAVING CONSIDERED the recommendations of the Council, at its twenty-~~fifth~~-seventh extraordinary session, for the adoption of revised guidelines on the application of the Strategic Plan and the High-level Action Plan,

1. APPROVES the Guidelines on the application of the Strategic Plan and the High-level Action Plan, set out in the annex to the present resolution;

2. REQUESTS the Council and the committees to review and revise, during the 201~~04~~-201~~45~~ biennium, the guidelines for the organization and method of their work taking account of the Guidelines on the application of the Strategic Plan and the High-level Action Plan; as appropriate;

3. REQUESTS the Secretary-General to review and adjust present processes and work methods within the Secretariat in the light of the Guidelines on the application of the Strategic Plan and the High-level Action Plan; and to develop practical means with the aim of facilitating and supporting the implementation of the Guidelines throughout the Organization;

4. DIRECTS the Council to keep the annexed Guidelines under review;

5. REVOKES resolution ~~A.1013(26).~~

ANNEX

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

1 INTRODUCTION

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

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

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

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

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

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

~~1.3 — At its twenty-fifth session, the Assembly adopted resolution A.990(25) on the High-level Action Plan of the Organization and Priorities for the 2008-2009 biennium. Operative paragraph 4 of that resolution requests the Council, on a priority basis and through its Ad hoc Working Group on the Organization's Strategic Plan (CWGSP), to develop guidelines for all IMO organs on the application of the Strategic Plan and the High-level Action Plan (hereinafter "the Guidelines"), including guidance for the assessment of work programme items and for the format and content of reports on work carried out by the respective bodies of the Organization. Operative paragraph 5 of the resolution then requests the Council and the committees to review and revise the guidelines for the organization and method of their work in the light of the Guidelines developed by the Council.~~

2 DEFINITIONS

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

- .1 "IMO organs": the organs of the Organization as defined in Article 11 of the IMO Convention;
- .2 "Planned output": a product planned in the High-level Action Plan to be delivered by the Organization during a biennium;
- .3 "Unplanned output": a product that may be agreed by IMO organs to be delivered during a biennium after the adoption of that biennium's High-level Action Plan;
- .4 "Agenda": a list of planned outputs for discussion at a particular meeting;
- .5 "Biennial agenda": a list of planned outputs to be delivered during a biennium by an individual IMO organ; and
- .6 "Post-biennial agenda": a list of accepted outputs to be delivered or initiated beyond a current biennium.

3 PURPOSE, AIM AND OBJECTIVES

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

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

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

- .1 to align and strengthen the planning and reporting processes by ~~more~~ clearly-linking agenda setting and reporting more clearly to the Strategic Plan and High-level Action Plan;
- .2 to strengthen the linkage between ~~the~~-planned outputs and the resources required to deliver the outputs;
- .3 to facilitate the efforts of the Council and the committees in controlling and monitoring the Organization's work;
- .4 to promote ~~a~~-greater understanding and assimilation of the interconnections between the Strategic Plan and High-level Action Plan and ~~the~~-planned outputs;
- .5 to promote ~~a new culture and~~-discipline in adherence to the planning procedures and guidelines;
- .6 to promote objectivity, clarity and realistic timeframes in the establishment of biennial agendas by the IMO organs and their subsidiary bodies;

- .7 to ensure maximum possible participation ~~of~~ by all Member States and organizations with observer status in all of the Organization's work; and
- .8 to establish responsibilities and promote involvement in the planning and reporting processes.

3.4 Nothing in these Guidelines should prohibit the Organization from taking immediate action on urgent matters if the risk of not acting will adversely ~~impact on~~ affect the Organization's ability to meet its objectives.²

4 APPLICATION

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

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

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

5 STRATEGIC PLANNING PROCESSES: HIGH-LEVEL ACTION PLAN

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

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

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

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

5.5 In the process of constructing the High-level Action Plan, due account should be taken, inter alia, of: (a) planned outputs the delivery of which have been postponed from a prior biennium; (b) final outputs that may need to be produced following the delivery of related interim outputs in a prior biennium; (c) any specific requirement to review the effectiveness of planned outputs delivered in a prior biennium; (d) accepted outputs on the post-biennial agendas; and (e) new planned outputs.

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

² Refer to the IMO Risk Management Framework (~~C-100/3(b)~~, ~~Appendix 4~~ [C 110/3/5, annex 1](#)).

- .1 the anticipated workload of the IMO organs ~~involved in the delivery~~ delivering ~~of~~ the output;
- .2 the demonstrated urgency to deliver the output;
- .3 the personnel and budgetary resources available;
- .4 the potential adverse impact ~~of that~~ a decision ~~as to on~~ whether or not to include an output may have on the ability of the Organization to meet its objectives³.

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

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

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

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

6 MANAGEMENT AND CONTROL

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

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

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

³ Refer to the IMO Risk Management Framework (C 110/3/5, annex 1 ~~C-100/3(b), Appendix 4~~).

- .1 the planned outputs included in the High-level Action Plan should explicitly form the basis of the biennial work of all the IMO organs and the budget of the Organization;
- .2 the planned outputs contained in the agendas and biennial agendas of all IMO organs should ~~only contain planned outputs~~ all be included in the High-level Action Plan;
- .3 the biennial agendas ~~for~~ of all IMO organs should follow format 1 set out in annex 2;
- .4 for outputs with a target completion date beyond the current biennium, the High-level Action Plan should specify the planned interim output at the end of the biennium;
- .5 target completion dates in the biennial agenda format at annex 2 (format 1) should specify the year of planned completion within the current biennium, or be specified as "annual" for tasks that are to be completed on an annual basis;
- .6 continuous items are discouraged but in those cases where they are deemed inevitable, efforts should be made to specify their expected interim outputs at the end of the current biennium; and
- .7 documents submitted to committees and sub-committees should clearly and substantively demonstrate the direct relation between the proposals they contain ~~therein~~ and the planned output to be accomplished under the relevant agenda item, on the basis of ~~based on~~ the High-level Action Plan.

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

6.4 In order to ensure transparent and efficient monitoring and reporting, and in accordance with section 9, ~~a the uniform~~ format 1 in annex 2 should be used for reports on the status of planned outputs. ~~The Secretariat should also use that format in reporting to the Council on the status of its planned outputs.~~

7 RESPONSIBILITIES

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

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

7.3 In order to fulfil the function in paragraph 7.2, ~~a~~ well-established cooperation and coordination is expected between the Chairman, Vice-Chairman and Secretary of the Council, committees and sub-committees by all available means, including face-to-face meetings and teleconferences as deemed necessary.

8 UNPLANNED OUTPUTS⁴

General

8.1 During the course of a biennium, the IMO organs may receive proposals for unplanned outputs within their domain. All IMO organs, in determining inclusion of unplanned outputs, should at all times be guided by the strategic directions and high-level actions established in the Strategic Plan and the High-level Action Plan for the Organization, and should in particular take due account of:

- .1 the potential impact that inclusion of an unplanned output may have on the timely delivery of outputs planned in the current High-level Action Plan;
- .2 the potential impact that inclusion of an unplanned output may have on the workload of the IMO organs involved;
- .3 the personnel and budgetary resources available; and
- .4 the potential adverse impact ~~of~~ a decision ~~as to~~ on whether or not to accept a proposal for inclusion of an unplanned output may have on the ability of the Organization to meet its objectives⁵.

~~8.2 In considering possible unplanned outputs required of the Secretariat, the Secretary-General should follow a process consistent with the principles outlined in paragraphs 8.3 to 8.18 and should report to the Council on those unplanned outputs in accordance with paragraph 8.13.~~

Submission of proposals for unplanned outputs

8.32 To enable IMO organs to carry out a proper assessment of proposals for inclusion of unplanned outputs, submissions containing such proposals should, at a minimum, contain the information – including demonstration and documentation – specified in the table at annex 43.

Preliminary assessment of proposals for unplanned outputs

8.43 In order to facilitate consideration of proposals for inclusion of an unplanned output by an IMO organ, its Chairman should undertake a preliminary assessment of such proposals. The Chairman should, for that purpose, be supported by the Vice-Chairman and the Secretariat and should consult the Chairman of any subsidiary body concerned.

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

- .1 whether the proposal complies with the requirements for the submission of proposals for unplanned outputs, as specified in paragraph 8.32 and in annex 43;
- .2 whether the proposal complies with the criteria specified in paragraph 8.65;

⁴ This section is summarized in diagrammatic form in annex 1.

⁵ Refer to the IMO Risk Management Framework (C 110/3/5, annex 1~~C-100/3(b), Appendix 4~~).

- .3 whether the demonstrated urgency of the proposal requires its inclusion in the biennial agenda; and, if so,
- .4 to what extent the general criteria specified in paragraph 8.1 should be taken into account.

Assessment of proposals for unplanned outputs

8.65 Before deciding to include an unplanned output in its biennial agendas, the IMO organ concerned should carry out a comprehensive and thorough assessment of such proposals. The assessment should at least include a test against the following criteria:

- .1 Is the subject addressed by the proposal considered to be within the scope of IMO's objectives and the Strategic Plan for the Organization?
- .2 Does the proposal contribute to the high-level actions established in the High-level Action Plan?
- .3 Does the proposal involve the ~~exercising~~exercise of functions conferred upon a Committee by or under any international convention or related instrument?
- .4 Has a need – or, in the case of proposals calling for new conventions or amendments to existing conventions, a compelling need – for the measure been demonstrated and documented?
- .5 Has an analysis been provided that demonstrates and documents the practicality, feasibility and proportionality of the proposed measure?
- .6 Has the analysis of the issue sufficiently addressed the cost to the maritime industry as well as the relevant legislative and administrative burdens?⁶
- .7 Do the benefits ~~vis-à-vis~~in terms of enhanced maritime safety, maritime security or protection of the marine environment expected to be derived from the inclusion of the proposed unplanned output justify such action?
- .8 Do adequate industry standards exist or are they being developed, thereby reducing the need for action within IMO?
- .9 Has the intended output been properly specified in SMART terms (specific, measurable, achievable, realistic, time-bound)?
- .10 Does the proposal properly demonstrate the urgency of the action proposed, and does it plausibly demonstrate ~~that and~~ why the unplanned output should be included in the biennial agenda?
- .11 Would a decision not to accept the proposal pose an unreasonable risk to the Organization's overall objectives?⁷

⁶ Refer to the checklist at annex 54, which should be completed by all proponents of unplanned outputs and attached to their proposals for consideration by the Council and committees. The Council and committees may also use the checklist at annex 54, before adopting new, or amending existing, mandatory instruments, in order to satisfy themselves that administrative requirements have been minimized to the greatest extent possible.

⁷ Refer to the IMO Risk Management Framework ([C 110/3/5, annex 1](#)~~C-100/3(b), Appendix 4~~).

Decision on acceptance and inclusion of unplanned outputs

8.76 Based on its assessment in accordance with paragraph 8.56, having taken due account of the Chairman's appraisal of the proposal, the IMO organ may decide:

- .1 to include the proposed unplanned output, together with a target date for completion, in its biennial agenda, if and after it has been satisfied that the implications for the present workload and planning may be considered acceptable; or
- .2 to include the proposed unplanned output, together with the timescale for completion, in its post-biennial agenda, if the implications for the present workload and planning are considered to be unacceptable; or
- .3 ~~upon its conclusion~~ on concluding that the proposal is not within the scope of the current Strategic Plan and should, therefore, not be accepted for inclusion, to invite the proponent(s) to submit the proposal to the Council, ~~including together with~~ a substantiated proposal for adjustment of the Strategic Plan.

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

Decision on inclusion in the biennial agenda of subsidiary bodies

8.98 Upon consideration of a proposal for an unplanned output to be included in the biennial agenda of a subsidiary body, an IMO organ may decide:

- .1 to agree in principle with the proposal and its inclusion in the biennial agenda, and to leave the detailed consideration of the technical aspects of the proposal and the development of appropriate requirements and/or recommendations to the subsidiary body or bodies concerned; or
- .2 to agree in principle with the proposal, but request the subsidiary body or bodies concerned to consider the proportionality and feasibility of the proposal on a preliminary basis, and to advise the parent organ as to whether, in its opinion, the unplanned output should or should not be included in the subsidiary body's biennial agenda; or
- .3 to agree in principle with the proposal, but request the subsidiary body or bodies concerned to prepare a comprehensive plan of work in accordance with paragraph 8.121, and to advise the parent organ on the efficient organization of the work to be undertaken.

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

8.140 A decision of an IMO organ to include an unplanned output in the work of more than one subsidiary body should:

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

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

Other principles on unplanned outputs

8.132 The committees and the Secretariat should report on their decisions on proposals for inclusion of unplanned outputs in their regular reports to the Council, for its endorsement and in order to facilitate Council ~~the~~ monitoring ~~by the Council~~ of ~~the~~ delivery of the current biennial agendas and the planning of ~~the~~ future work.

8.4413 Proposals for the inclusion of unplanned outputs should never be submitted to a sub-committee. A sub-committee should not undertake work on unplanned outputs or expand planned outputs unless directed or authorized to do so by its parent body.

8.154 Proposals for the inclusion of unplanned outputs, submitted by non-governmental organizations, should be co-sponsored by Governments.

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

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

8.187 Following the decision by an IMO organ to include an unplanned output in its biennial agenda, the relevant IMO organ must, in keeping with the provisions of resolution A.998(25), initiate the assessment of capacity-building and technical assistance pertaining to that item, by following the corresponding prescribed procedure.

9 FORMAT AND CONTENT OF REPORTS

9.1 Reports on the status of planned outputs included in the High-level Action Plan should follow the ~~tabular~~ format set out in annex ~~3-2, format 1,~~ and should constitute or be annexed to the reports of each session of the sub-committees⁸ and the committees, and the biennial report of the Council to the Assembly. Such reports should separately identify unplanned outputs accepted for inclusion in the biennial agendas.

9.2 In preparing its own report, each organ should ~~consolidate therein~~ incorporate all reports on the status of planned outputs which it has received since its previous report.

9.3 The committees should establish and maintain post-biennial agendas, ~~using~~ which should follow format 2 set out in annex 2. These should be annexed to the reports of each session.

⁸

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

ANNEX 1

STRATEGIC PLANNING PROCESSES (DIAGRAMS)

DIAGRAM 1: IMO'S STRATEGIC PLANNING PROCESS – OVERVIEW

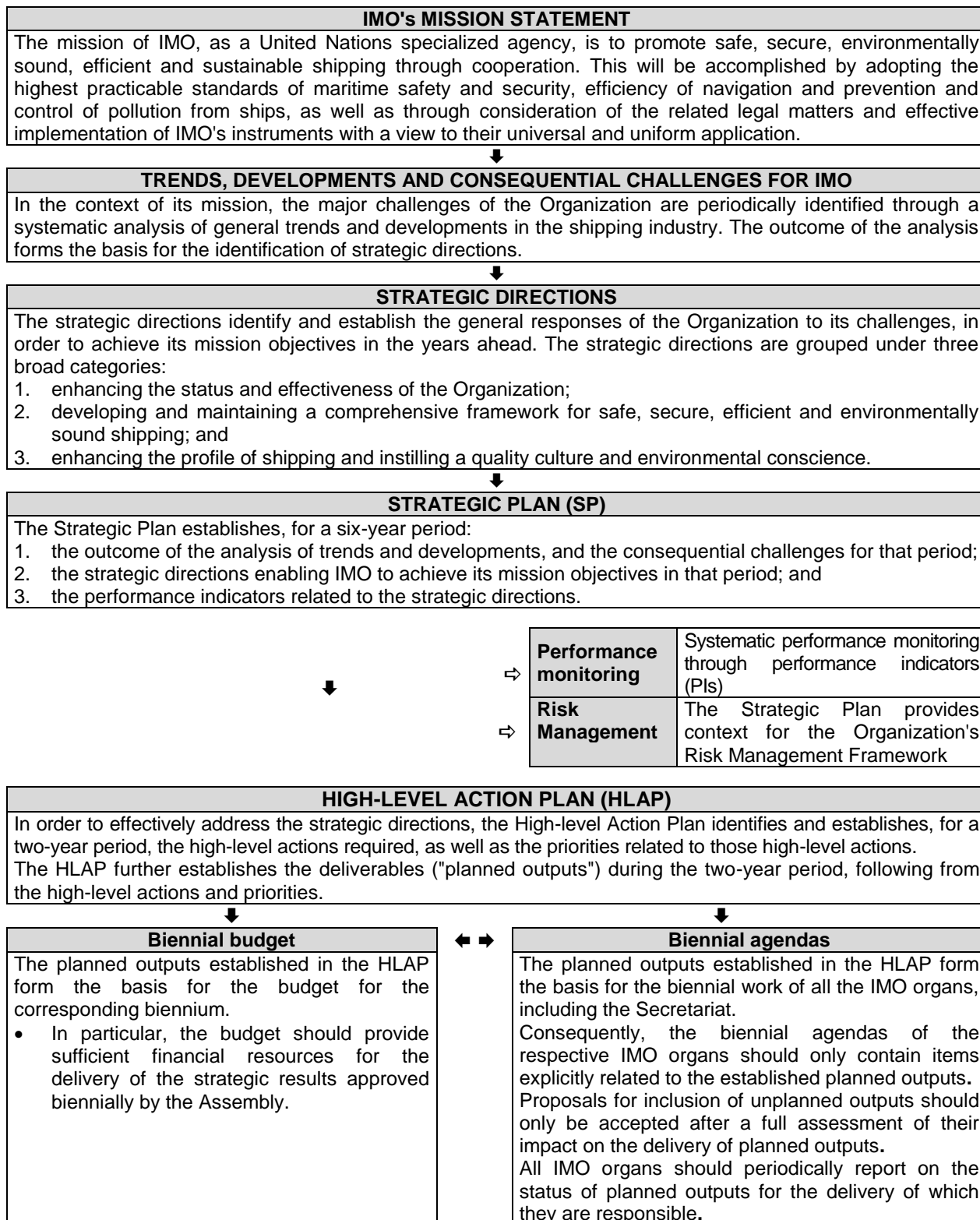


DIAGRAM 2: IMO'S STRATEGIC PLANNING PROCESS – STEERING AND REPORTING FLOWS

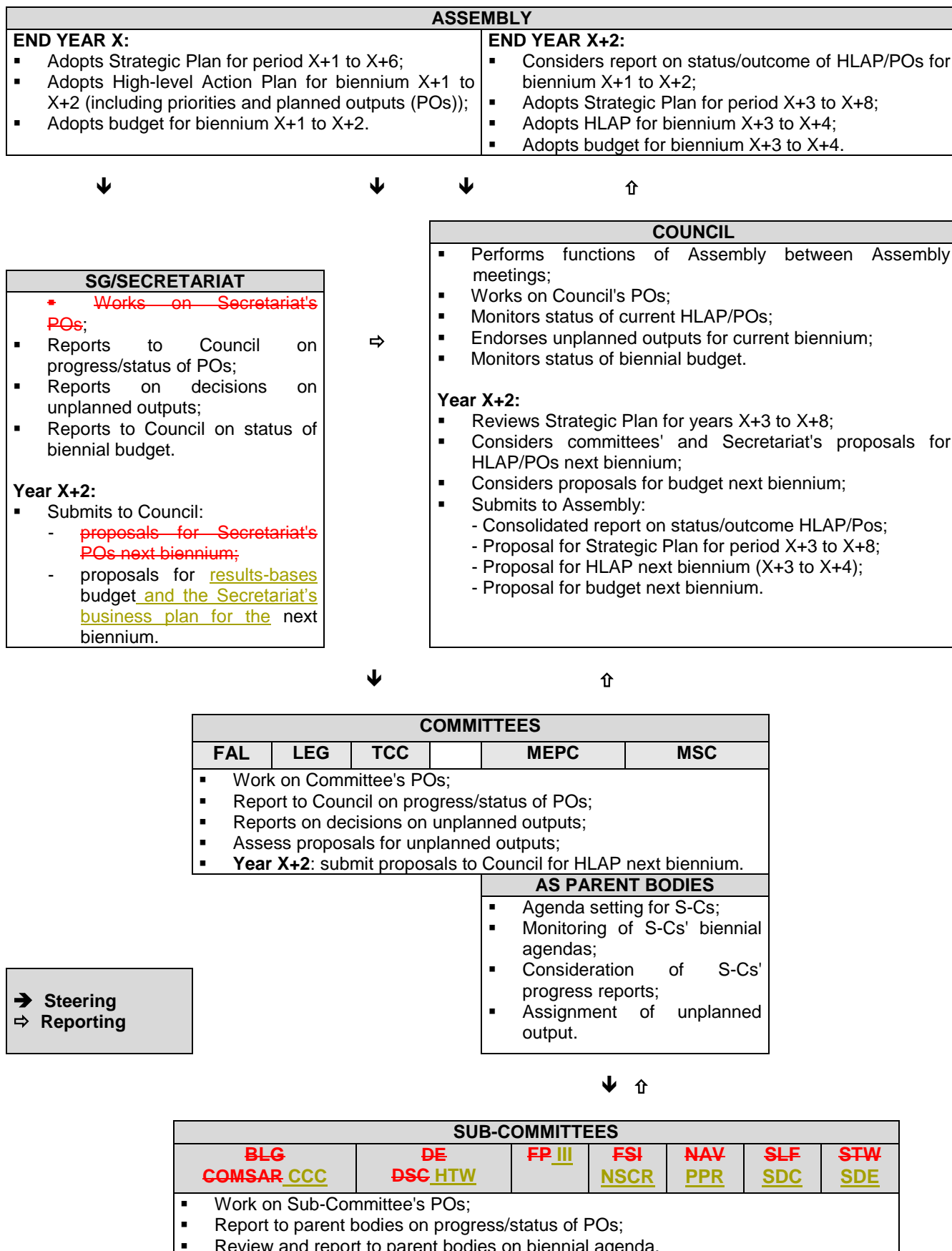
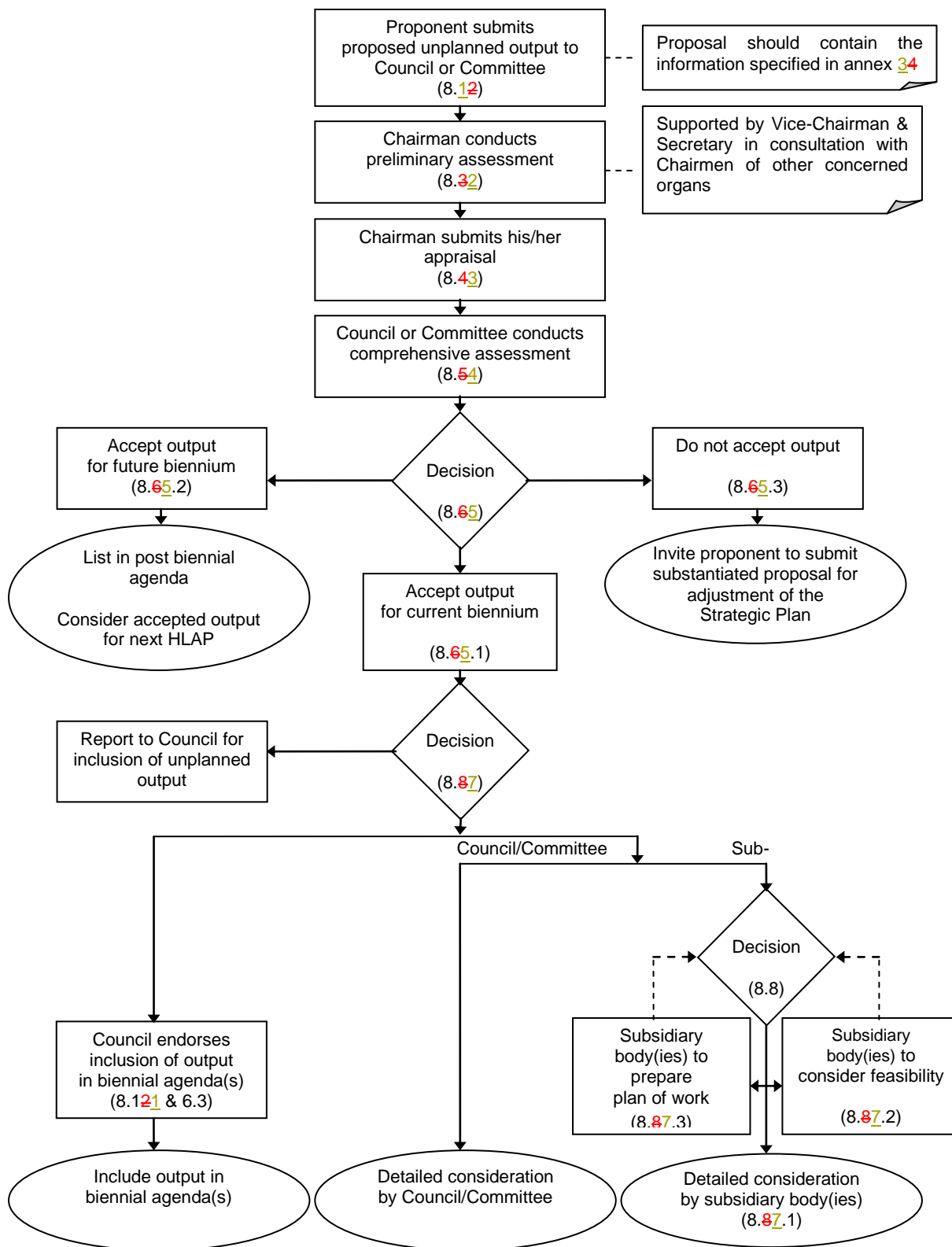


DIAGRAM 3: MANAGEMENT OF UNPLANNED OUTPUTS



ANNEX 2

FORMAT 1: FOR BIENNIAL AGENDAS

(BLG as an example)

BULK LIQUIDS AND GASES (BLG)					
PLANNED OUTPUTS 2008-2009 (resolution A.990(25))		Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Target completion year
Number	Description				
1.1.2.1	IACS Unified Interpretations	MSC	BLG		
1.3.3.1	Hazard profiles and evaluation of newly submitted substances to be incorporated into the IBC Code	MEPC	BLG		
2.1.1.2 7.1.2.2	Development of guidelines for uniform implementation of the 2004 BWM Convention	MEPC	BLG		
5.2.1.1	Interim guidelines for gas-fuelled engine installations in ships (coordinated by BLG)	MSC	BLG	FP-DE	
5.2.3.1	Review of MSDS for MARPOL Annex I cargoes and marine fuels	MSC	BLG		
7.3.1.1	Review of MARPOL Annex VI and the NO _x Technical Code	MEPC	BLG		
7.1.2.13	Application of the requirements for the carriage of bio-fuels and bio-fuel blends	MEPC	BLG		

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

Notes:

a When individual outputs contain multiple deliverables, the format should report on each individual deliverable.

b The target completion ~~date~~ year should be specified as a year, or indicate that the item is annual or continuous. This should not indicate a number of sessions.

c The entries under the "Status of output" columns are to be classified as follows:

- "completed" signifies that the outputs in question have been duly finalized;
- "in progress" signifies that work on the related outputs has been progressed, often with interim outputs (for example, draft amendments or guidelines) which are expected to be approved later in the same biennium;
- "ongoing" signifies that the outputs relate to work of the respective IMO organs that is a permanent or continuous task; and
- "postponed" signifies that the respective IMO organ has decided to defer the production of relevant outputs to another time (for example, until the receipt of corresponding submissions).

d If the output consists of the adoption/approval of an instrument (e.g., resolution, circular, etc.), that instrument should be clearly referenced in this column.

FORMAT 2: FOR POST-BIENNIAL AGENDAS OF COMMITTEES

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

ANNEX 3

Uniform reporting format on the status of planned outputs (example)

Planned output number in the High-level Action Plan for 2008-2009 ^a	Description	Target completion year ^b	Parent organ(s)	Coordinating organ(s)	Associate organ(s)	Status of output for Year 1 ^c	Status of output for Year 2 ^c	References ^d
2.1.1.1	Review of the Code for the investigation of marine casualties and incidents	2007 (for FSI) 2008 (for MSC)	MSC MEPC	FSI		Completed	Completed	Resolutions MSC.255(84) and MSC.257(84); MSC-MEPC.3/Circ.2

Example used: Output 2.1.1.1 from resolution A.990(25) — New or amended mandatory IMO instruments: Safety and security topics (MSC) — Revised Code for the investigation of marine casualties and incidents adopted and implemented through the collection of investigation reports.

Notes:

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

ANNEX 43

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

(Reference: ~~draft~~ Guidelines, paragraph 8.32)

1	IMO's objectives	Provide evidence whether and how the proposal: <ul style="list-style-type: none"> • is within the scope of IMO's objective; • is strictly related to the scope of the Strategic Plan and contributes to the implementation of the high-level actions established in the Strategic Plan.
2	(Compelling) need	Demonstrate and document: <ul style="list-style-type: none"> • the need for a proposed measure; • the compelling need for a proposal for a new convention or an amendment to an existing convention.
3	Analysis of the issue	Provide an analysis of the proposed measure, including a plausible demonstration of its practicability, feasibility and proportionality.
4	Analysis of implications	Provide an analysis of the implications of the proposal, addressing the cost to the maritime industry as well as the relevant legislative and administrative burdens. ⁹
5	Benefits	Provide evidence that the benefits vis-à-vis enhanced maritime safety, maritime security or protection of the marine environment expected to be derived from the inclusion of the new item justify the proposed action.
6	Industry standards	Provide information on whether adequate industry standards exist or are being developed.
7	Output	Specify the intended output in SMART terms (specific, measurable, achievable, realistic, time-bound) ¹⁰
8	Priority/urgency	Provide, with reference to the current Strategic Plan and High-level Action Plan, evidence on: <ul style="list-style-type: none"> • the urgency of the proposed unplanned output • the date that the proposed unplanned output should be completed • timescale needed for the IMO organ to complete the work
9	Action required	Specify the action required by the IMO organ

⁹ Refer to the checklist at annex 45, which should be completed by all proponents of unplanned outputs and attached to their proposals for consideration by the Council and committees. The Council and committees may also use the checklist at annex 45, before adopting new, or amending existing, mandatory instruments, in order to satisfy themselves that administrative requirements have been minimized to the greatest extent possible.

¹⁰ If a final output cannot be specified in the submission for a proposal for inclusion of an unplanned output, an interim output to be produced before the end of the current biennium should be specified in SMART terms.

ANNEX 54

**CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS
AND BURDENS**

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

Instructions:

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

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