

COUNCIL  
114th session  
Agenda item 3

C 114/3/2  
29 June 2015  
Original: ENGLISH

**STRATEGY, PLANNING AND REFORM**

**Report of the Working Group on the Development of a new Strategic Framework**

**Note by the Secretariat**

**SUMMARY**

*Executive summary:* This document reports on the outcome of the Working Group on the Development of a new Strategic Framework held at IMO Headquarters from 24 to 26 June 2015

*Strategic direction:* 4

*High-level action:* 4.0.3

*Planned output:* 4.0.3.1

*Action to be taken:* Paragraph 30

*Related documents:* C 114/3, C 114/3/5; SF-WG 1/1, SF-WG 1/1/1, SF-WG 1/1/2, SF-WG 1/3; C 113/D and C 113/3

**General**

1 The Working Group on the Development of a new Strategic Framework (hereinafter referred to as working group) met from 24 to 26 June 2015, under the chairmanship of Miss Katy Ware (United Kingdom).

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

ALGERIA  
ANGOLA  
ARGENTINA  
AUSTRALIA  
BAHAMAS  
BELGIUM  
BRAZIL  
CANADA  
CHILE

CHINA  
COLOMBIA  
COOK ISLANDS  
CYPRUS  
DENMARK  
FINLAND  
FRANCE  
GERMANY  
GHANA

GREECE  
INDONESIA  
ITALY  
JAPAN  
LIBERIA  
MALTA  
MARSHALL ISLANDS  
MEXICO  
NETHERLANDS  
NEW ZEALAND  
NIGERIA  
NORWAY

PANAMA  
PERU  
PHILIPPINES  
POLAND  
RUSSIAN FEDERATION  
SINGAPORE  
SPAIN  
SWEDEN  
SYRIAN ARAB REPUBLIC  
TURKEY  
UNITED KINGDOM  
UNITED STATES

and the following non-governmental organizations in consultative status:

IACS  
INTERFERRY

ITF  
OCIMF

### **Background**

3 At its 113th session, the Council decided:

- .1 that the Strategic Plan should be reviewed to ensure simplicity and to make sure that it would continue to serve the Organization going forward; and
- .2 that the Strategic Plan should be fixed for a six-year period.

4 The Council further:

- .1 decided to establish a working group the week before C 114 to advance work on a new Strategic Plan;
- .2 invited Member States to submit comments and proposals to the working group and the Council, and requested the Secretary-General to invite all Member States and IGOs and NGOs in consultative status to fully participate in the working group; and
- .3 requested the Secretariat, working with the external consultant, to submit relevant information on how to structure the process for a new strategic plan for consideration of the working group.

5 The Council agreed on the following terms of reference for the working group:

- .1 to further consider the findings and recommendations in C 113/3 and taking into account the decisions taken by C 113;
- .2 based on submissions submitted to the working group and C 114, establish a work plan and timeline for the development of a new strategic framework; and
- .3 report to Council at its 114th session.

6 In accordance with paragraph 3.11 of the *Guidelines on the organization and method of work of the Council* (Circular Letter No.3509), regarding, inter alia, the reports of the Council's working groups, this document is submitted "in Summary-of-Decisions format to keep such reports as short as possible".

### **Adoption of the agenda**

7 The working group adopted its provisional agenda as set out in document SF-WG 1/1 and agreed on the arrangements for the session as set out in SF-WG 1/1/2.

### **Consideration of the findings and recommendations in C 113/3**

8 Based on documents C 113/3 and C 114/3, the external consultant, Mr Michael Brazukas, presented his recommendations to the Council and follow-up thereto.

9 The working group expressed its appreciation to the external consultant for presenting the individual components of a possible new strategic framework in detail.

10 The Chairman had submitted a number of questions in document SF-WG 1/1/1 to the working group to review the recommendations from the external consultant, and the ensuing debate was structured along those questions. In this respect, the relevant parts of document C 114/3/5 submitted by Germany were also introduced.

11 The working group agreed in general with the proposed concepts of a new strategic framework, bearing in mind the following:

#### *Trends, Developments and Challenges*

12 In relation to the Trends, Developments and Challenges (TDCs), the working group was of the clear view that the TDCs were a necessary and fundamental step in a strategic framework. The process to be established seeking inputs from Member States as well as IGOs and NGOs in consultative status, should be inclusive and transparent.

13 The working group agreed to a framework to structure the inputs to the TDCs from Member States, IGOs and NGOs in consultative status. This framework is set out in annex 1. It was further agreed that the guidance should be refined and finalized by the Secretariat, taking on board the comments of the working group and to be issued by the Secretary-General as a circular letter by the end of July 2015, as well as through announcement on the IMO website and through other electronic means.

14 In relation to the TDCs, there was also agreement that the filtering and selection of relevant issues was the sole responsibility of the Member States.

#### *Vision statement*

15 Whilst there were concerns that developing a vision statement could prove challenging for the Organization, the working group agreed that as part of the overall process to develop a new strategic framework, an attempt should be made to develop a vision statement following on from the development of the TDCs.

### *Strategic Directions*

16 The working group agreed that Strategic Directions (SDs) should be limited to the primary areas of action for the six-year period. SDs should not recreate the entire mandate of IMO. Furthermore, it was the understanding of the working group that the SDs would not preclude work being done in routine areas or on emergent issues over the six-year period.

17 The working group was of the understanding that work on planned outputs (POs) related to the SDs would be resource preferred, whereas routine items outside would be resource constrained. The working group acknowledged that discipline in respect of the current procedures and guidelines is required, and that the SDs could provide a useful tool to provide focus of the work programme of the organs.

18 In connection with the discussion of SDs there was agreement that there would be three types of planned outputs (POs); strategic, routine and emergent, on the understanding that the emergent POs would eventually be subsumed into either the strategic or routine category.

### *Performance Indicators*

19 The working group agreed that Performance Indicators (PIs) are an essential part of the strategic framework. PIs should provide a closed-loop feedback mechanism to improve processes, efficiency and effectiveness of the Organization, and the PIs should be continually monitored and measured throughout the six-year period.

### *Planned Outputs*

20 The working group agreed that all POs should be listed in one place, as these POs make up the work plans of the different organs of the Organization. It was also agreed that those POs identified as strategic, and therefore resource preferred, should be clearly highlighted on that list.

### *Workflow and governance*

21 The working group discussed the feasibility of establishing a planning team to take the various steps of the new strategic framework forward. There was a clear view that the process needed to be inclusive in order to represent the interests of the whole Organization. The establishment of a planning team was therefore not supported, and it was agreed that the Secretariat and the external consultant would develop the draft documents as a basis for discussion by the Member States to enable the Member States to take the subsequent decisions on the individual steps. It was further the understanding, that as per usual working practices of the Organization, submissions would be invited from Member States and IGOs and NGOs in consultative status throughout the process.

22 It was indicated that the preference would be that the new strategic framework should be finalized in time for it to be implemented in the 2018-2019 biennium.

### **Work plan and timeline for a new strategic framework**

23 As the discussion had progressed, the timeline presented by the Secretariat in SF-WG 1/3 had been overtaken by events and the working group therefore only noted the document.

24 In discussing a timeline for developing the new strategic framework, two timelines were produced for Council's consideration. These are set out in annex 2.

25 Timeline A includes an intersessional Working Group on the Development of a new Strategic Framework in the spring of 2016, the purpose of which would be to allow the committees two sessions for mapping their planned outputs to the SDs.

26 Timeline B aligns the timing of the Working Group on the Development of a new Strategic Framework meetings with sessions of Council, thus avoiding the need for intersessional working groups, but only permits the committees one session each in the spring of 2017 to consider the mapping of planned outputs.

27 It was reiterated that the Working Group on the Development of a new Strategic Framework would continue to be open to all Member States, as well as IGOs and NGOs in consultative status.

28 The working group noted that FAL is expected to meet in the autumn of 2017. Therefore, special provisions need to be considered in order to enable FAL to report on their planned outputs at the appropriate time in the process.

29 In relation to the timelines, the following issues as identified by the working group, are brought to the attention of the Council:

- .1 the current workload of the committees, in particular MEPC;
- .2 should Council agree to one of the timelines, the Council should consider to request the committees to give priority and sufficient time be allocated to review the committees' planned outputs in line with the new strategic framework; and
- .3 consider the timing of FAL 41 in order to enable that Committee to consider its planned outputs and report to Council 118.

#### **Action requested of the Council**

30 The Council is requested to:

- .1 note the view that the TDCs are a necessary and fundamental step in a new strategic framework (paragraph 12);
- .2 endorse the view of the working group that the collection of input to the TDCs from Member States as well as IGOs and NGOs in consultative status should be an inclusive and transparent process (paragraph 12);
- .3 endorse the view of the working group that a framework to structure the inputs from Member States, IGOs and NGOs in consultative status to the TDCs should be used and request the Secretariat to finalize the guidance based on the outline in annex 1 (paragraph 13);
- .4 request the Secretary-General to issue a circular letter to inform Member States, IGOs and NGOs in consultative status, requesting inputs to the TDCs, as well as through other relevant means (paragraph 13);

- .5 agree that the filtering and selection of relevant issues is the sole responsibility of the Member States (paragraph 14);
- .6 agree to develop a vision statement following on from the development of the TDCs (paragraph 15);
- .7 endorse the view that the Strategic Directions should be limited to the primary areas of action for the six-year period, and as such not recreate the entire mandate of the IMO (paragraph 16);
- .8 note that work will still be undertaken outside the primary areas of action in the six-year period, i.e. strategic and routine (paragraph 16);
- .9 note the working group's view that discipline in respect of the current procedures and guidelines is required (paragraph 17);
- .10 note that the purpose of the PIs is to provide a closed-loop feedback mechanism to improve processes, efficiency and effectiveness of the Organization, and that these should be monitored and measured throughout the six-year period (paragraph 19);
- .11 agree that all POs should be listed in one place, and that those POs identified as strategic should be clearly highlighted on that list (paragraph 20);
- .12 note the clear view that the process for adopting the new strategic framework should be inclusive and that the preparatory drafts for consideration and further development by the Member States should be developed by the Secretariat and the external consultant (paragraph 21);
- .13 endorse the working group's view that the new strategic framework should be finalized in time for it to be implemented in the 2018-2019 biennium (paragraph 22);
- .14 decide on the new strategic framework being developed in accordance with either timeline A or timeline B (paragraphs 24-26 and annex 2);
- .15 consider to request the committees to give priority and allocate sufficient time to review the planned outputs in line with the new strategic framework taking into account the workload of the committees, in particular MEPC (paragraph 29.2);
- .16 note the expected timing of FAL 41 and consider enabling that Committee to consider its planned outputs and report to Council 118 (paragraphs 28 and 29.3);
- .17 endorse the working group's view that the Working Group on the Development of a new Strategic Framework continue to remain open to all Member States as well as IGOs and NGOs in consultative status (paragraph 27); and
- .18 approve the report in general.

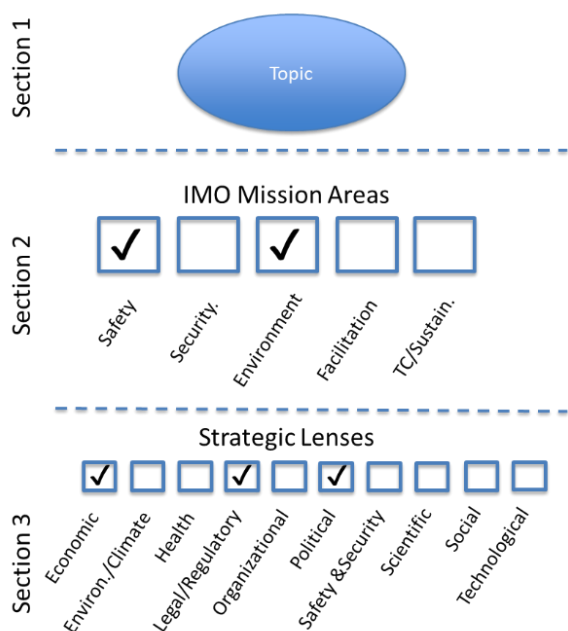
\*\*\*

ANNEX 1

TREND, DEVELOPMENTS AND CHALLENGES GUIDANCE CRITERIA

		IMO Mission Areas				
		Safety	Environmental	Security	Facilitation	Tech. Coop./Sustain.
Lenses	Economic					
	Environ./Climate					
	Health					
	Legal/Regulatory					
	Organizational					
	Political					
	Safety/Security					
	Scientific					
	Social					
	Technological					

- Matrix concept for target areas to help structure the information provided by Member States, and NGOs and IGOs in consultative status.
- The areas are not requirements; rather, they are categories to ensure that the information is structured and aligned in a logical fashion.
- This will ensure appropriately broad coverage of issues across the IMO mission and mandate, as well as to ensure all aspects of important issues are analysed.



- Overall introduction of the topic being presented.
- Identification of relation to IMO's mission areas.
- Explanation of how and why topic relates to IMO mission area(s).
- Identification of embedded "lenses".
- Narrative of each relevant "lens" area.
- Supporting data, trends, and/or forecasts.





## ANNEX 2

### TIMELINE

#### Timeline A

1 Following agreement at C 114 of the process for developing a new strategic framework, the Secretary-General will invite Member States, IGOs and NGOs in consultative status to provide input to the TDCs process with a deadline of 31 December 2015.

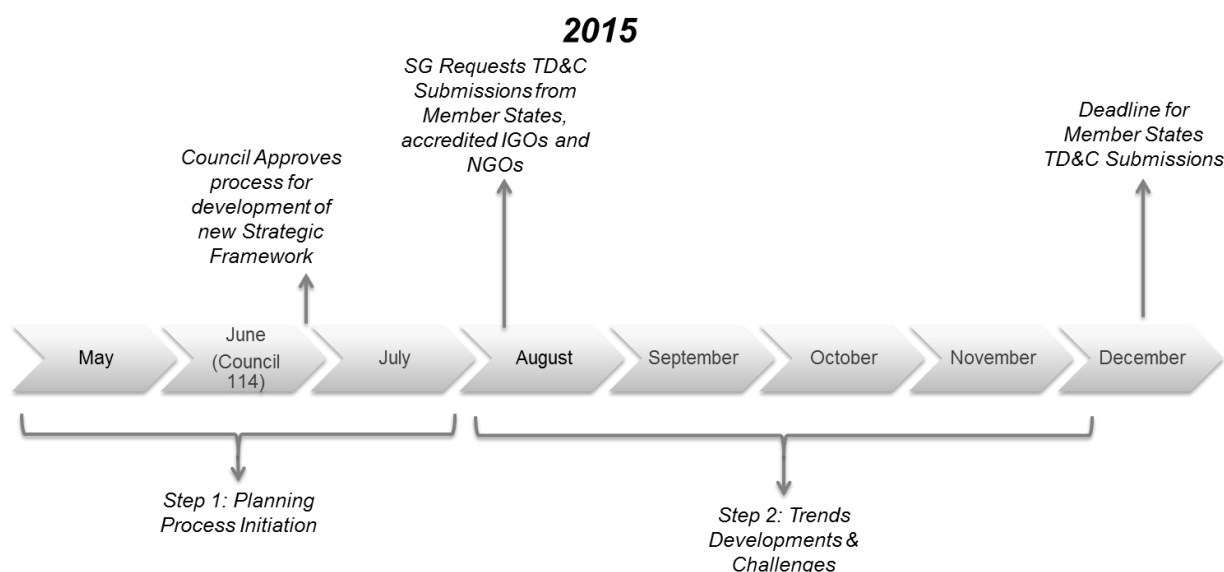
2 The Secretariat and the external consultant will collate the information received, and present a draft proposal of TDCs, in order for an intersessional working group to be convened from 30 March – 1 April 2016. The outcome of the working group would be submitted for consideration at C 116 with a view to approval.

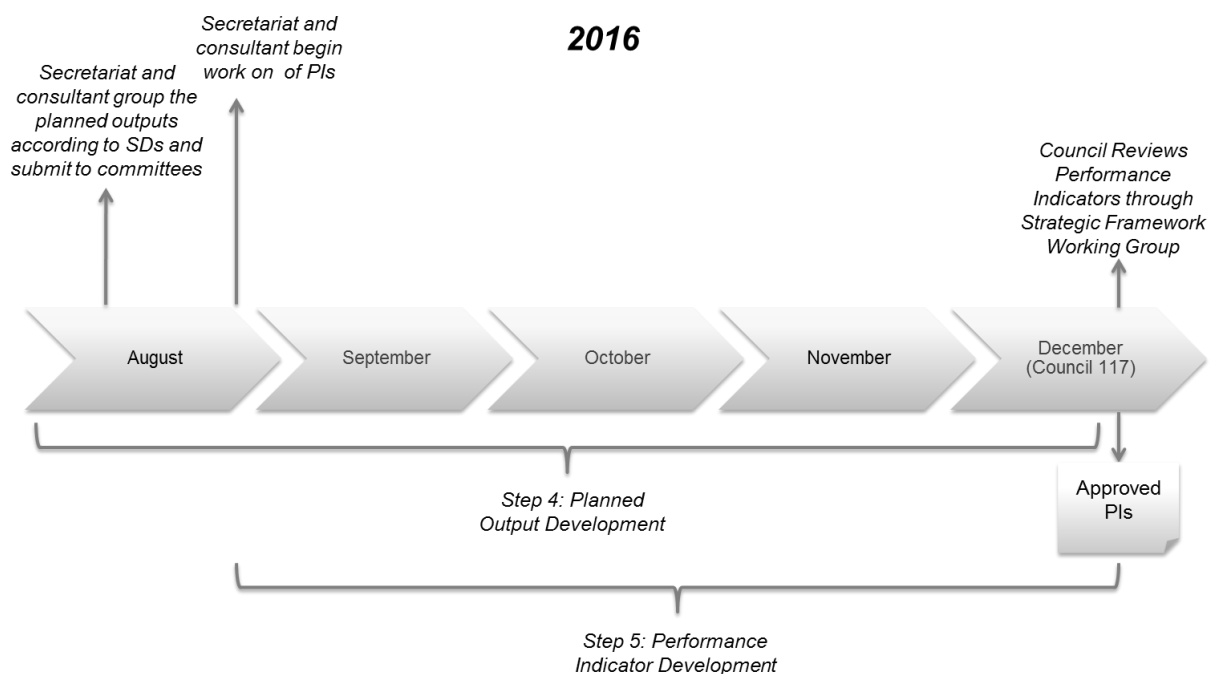
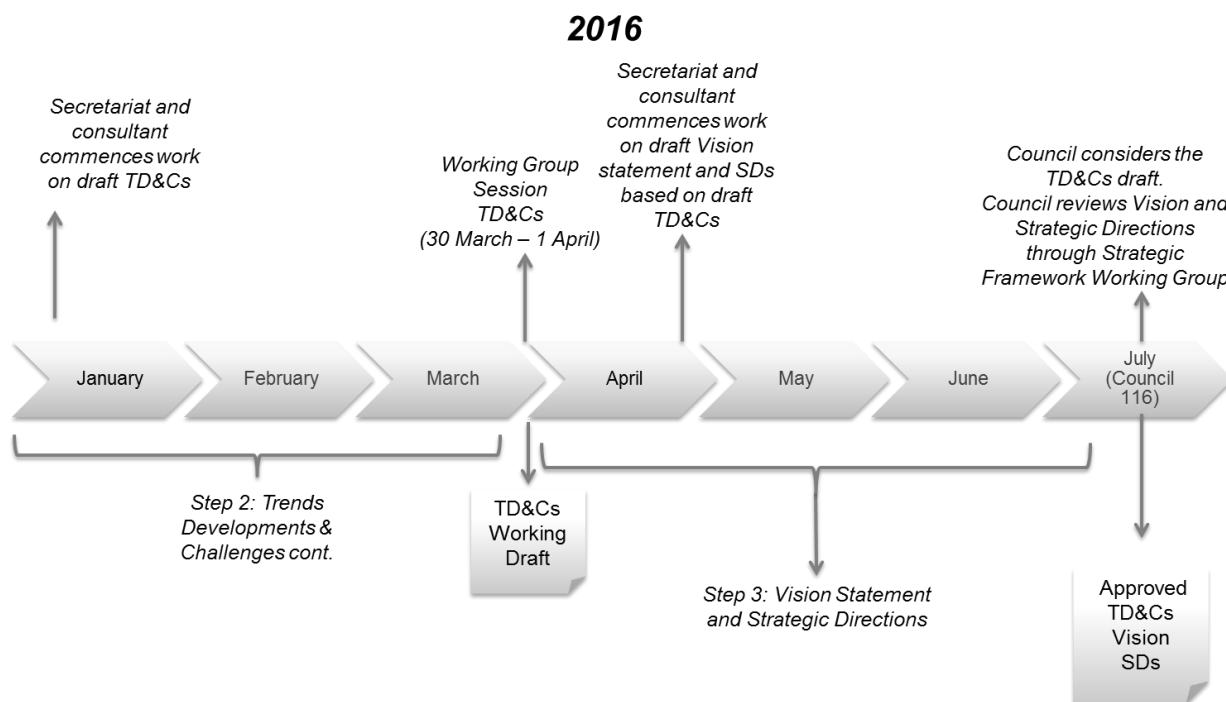
3 Based on the outcome of the working group, the Secretariat and the external consultant would commence drafting a Vision Statement and the SDs. This draft would be submitted to C 116 for consideration through a working group working in parallel with the Council session, and C 116 would be invited to approve the outcome.

4 After C 116 the Secretariat and the external consultant would commence work on the PIs, and a draft would be presented to C 117, where a working group should be established to consider these with the aim of approval at that session of Council.

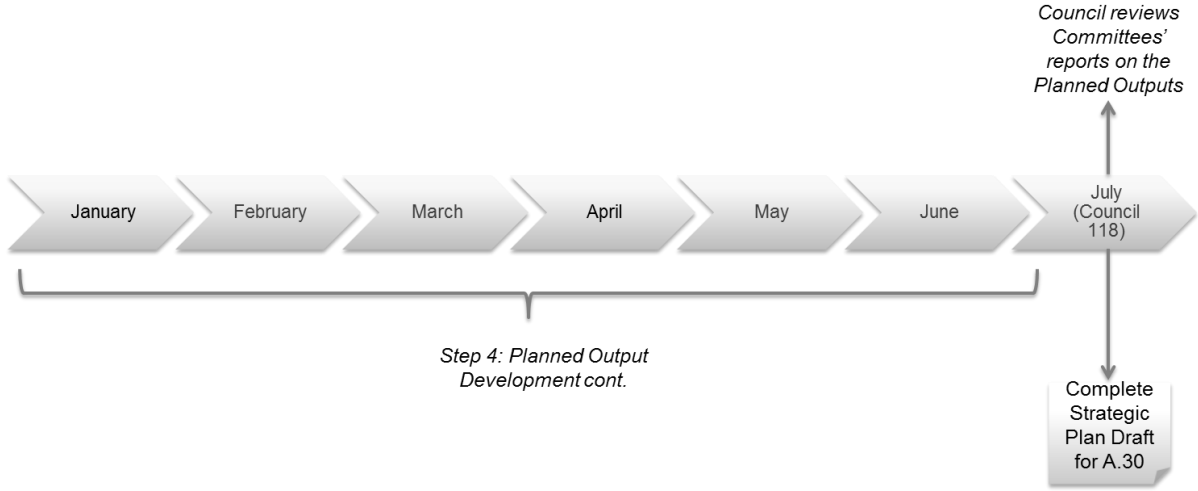
5 Furthermore, once C 116 has approved the TDCs, Vision Statement and SDs, the latter will be forwarded to the committees in order for them to align their POs according to the SDs at their upcoming sessions. The Secretariat and external consultant will submit a draft for the committees' consideration. The committees would then report on their planned outputs at the 118th session of the Council, where the full strategic framework would be reviewed by the Council for onward submission to the Assembly for consideration and adoption.

6 Timeline A is illustrated below.

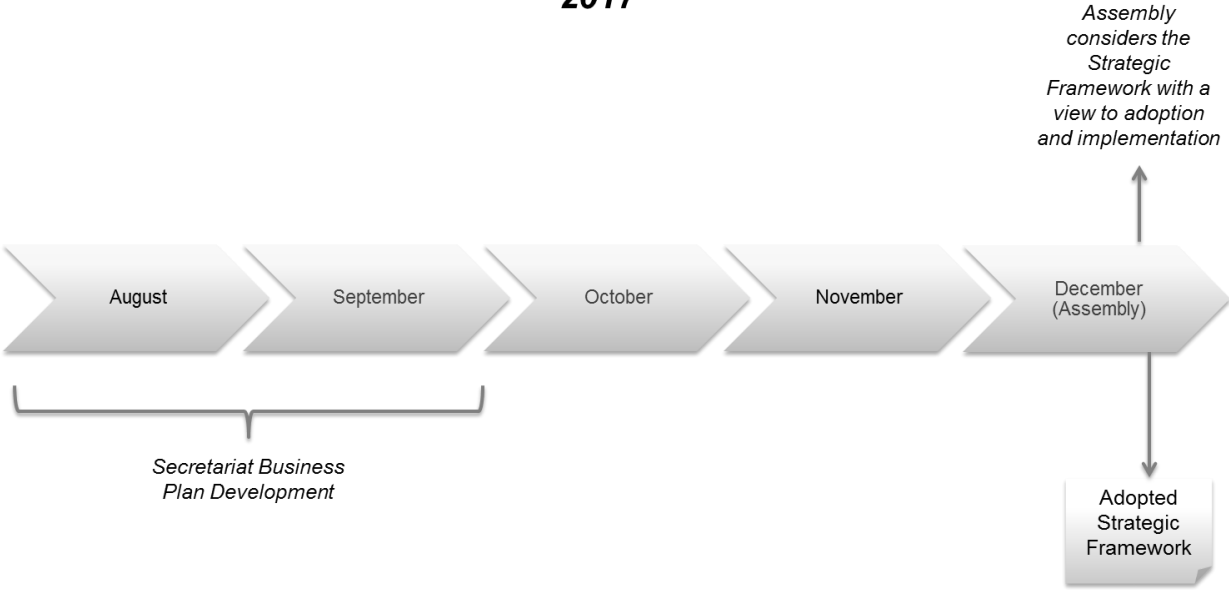




**2017**



**2017**



## Timeline B

7 As in timeline A, the Secretary-General will invite inputs to the TDCs process with a deadline of 31 December 2015.

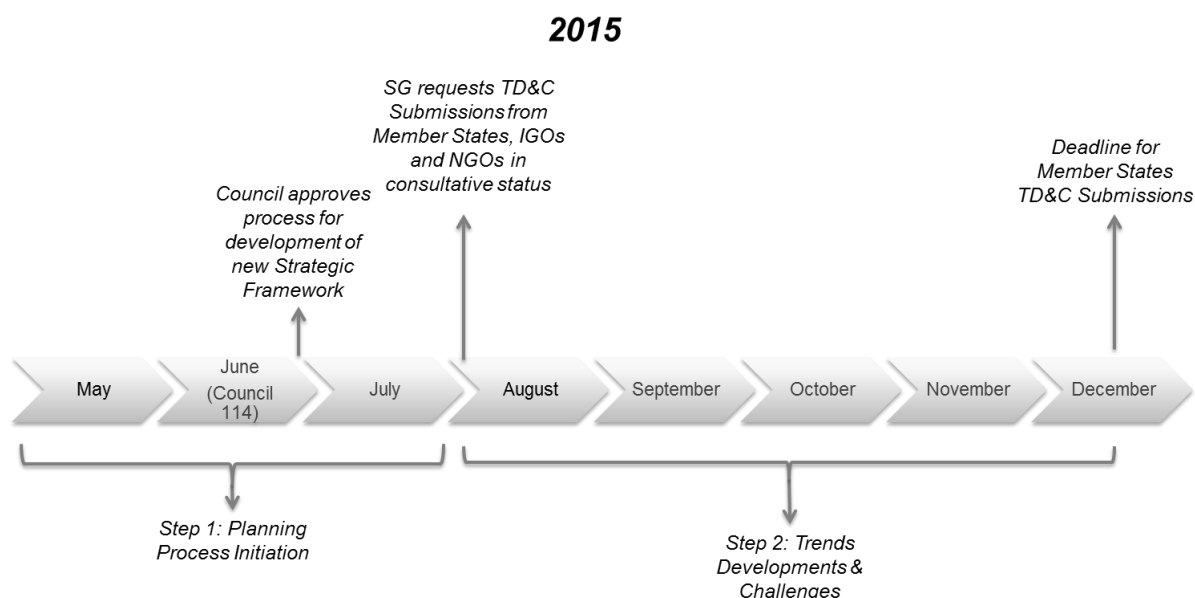
8 The Secretariat and the external consultant will collate the information received, and present a draft proposal of TDCs, which would be submitted to C 116 for consideration through a working group with a view to approval.

9 Following C 116, the Secretariat and the external consultant would commence drafting a Vision Statement and the SDs. This draft would be submitted to C 117 for consideration through a working group working in parallel with the Council session, and C 117 would be invited to approve the outcome.

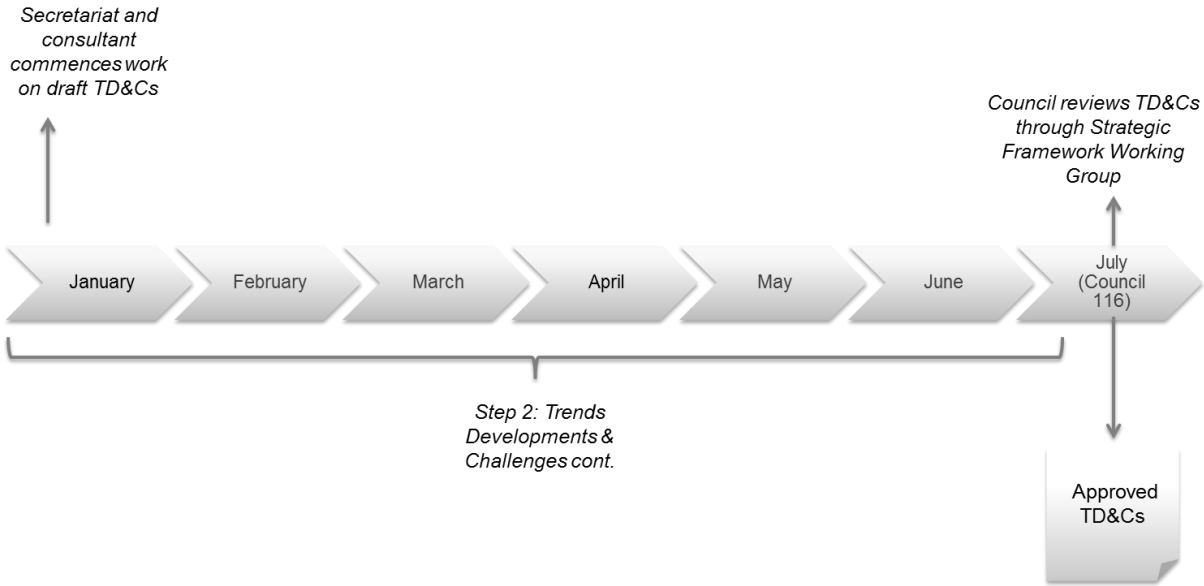
10 After C 117 the Secretariat and the external consultant would commence work on the Pls, and a draft would be presented to C 118, where a working group should be established to consider these with the aim of approval at that session of Council.

11 Furthermore, once C 117 has approved the Vision Statement and SDs, the latter will be forwarded to the committees in order for them to align their planned outputs according to the Strategic Directions in their next session. The Secretariat and external consultant will submit a draft for the committees' consideration. The committees would then report on their planned outputs at the 118th session of Council, where the full strategic framework would be reviewed by the Council for onward submission to the Assembly for consideration and adoption.

12 Timeline B is illustrated below.



**2016**



**2016**

