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STRATEGY, PLANNING AND REFORM

Report of the Correspondence Group

Submitted by the United Kingdom

SUMMARY

Executive summary: This document summarizes the work and recommendations of the intersessional Correspondence Group regarding the *Guidelines on the application of the Strategic Plan and the High-level Action Plan of the Organization* established by Council 112 and re-established by Council 113

Strategic direction: 4

High-level action: 4.0.3 and 4.0.5

Planned output: 4.0.3.1 and 4.0.5.1

Action to be taken: Paragraph 27

Related documents: C 113/D, paragraphs 3.10 and 3.11, C 113/3/6/Rev.1; C 112/D, paragraphs 3.6 and 3.7, C 112/3/5 and C 112/INF.2

Introduction

1 The Council at its 112th session, established a correspondence group to revise the *Guidelines on the application of the Strategic Plan and the High-level Action Plan of the Organization* ("the GAP"), under the coordination of the United Kingdom.

2 The terms of reference of the correspondence group were to:

- .1 develop appropriate changes to the guidelines in order to, inter alia, better reflect the process for proposing and considering new planned Outputs and clarifying requirements for unplanned Outputs, using document C 112/INF.2 as a basis, and any other improvements, taking into account comments made at C 112; and
- .2 present its report to C 113.

3 The Council, at its 113th session, endorsed the use of mandatory language, where appropriate, within the GAP.

4 The Council also decided:

- .1 that further work was needed to the proposed amendments to the guidelines contained in the annex to the document to ensure that flexibility is maintained to allow for prompt action should urgent matters arise;
- .2 to consolidate the text intersessionally for further consideration at C 114;
- .3 to re-establish a correspondence group under the coordination of the United Kingdom; and
- .4 to keep the proposed amendments to the guidelines contained in the annex to the document in abeyance until C 114.

5 The following Member States participated in the correspondence group:

AUSTRALIA	ISLAMIC REPUBLIC OF IRAN
BAHAMAS	JAPAN
BRAZIL	LIBERIA
CANADA	NETHERLANDS
CHILE	NORWAY
CHINA	PANAMA
CYPRUS	REPUBLIC OF KOREA
DENMARK	SINGAPORE
FRANCE	SOUTH AFRICA
GERMANY	SWEDEN
GREECE	UNITED KINGDOM
INDONESIA	UNITED STATES

Overview

6 The group worked in line with its terms of reference using C 113/3/6/Rev.1 as a base document and taking into account the comments made at C 113, in particular with regard to the use of mandatory language and the need to maintain flexibility.

7 The group fully reviewed "the GAP" and identified those instances of the use of the word "should" where, in line with the earlier commitments of the Council to ensure "strict discipline" in the application of "the GAP", it would be appropriate to change these to "shall". The group also considered the naming of "the GAP" in light of the comments made at C 113 about whether the use of mandatory language was appropriate in a "guidelines" document. The majority of the group were of the view that, given "the GAP" is primarily an internal document, the use of mandatory language was compatible with it being "guidelines", however for the avoidance of any future misunderstanding it was still agreed to rename the document "Procedure for the Application of the Strategic Plan and The High-level Action Plan of the Organization".

8 On the issue of flexibility the group concluded that the existing text of paragraph 3.4, updated with the use of "shall", was the most appropriate solution. In maintaining the text of paragraph 3.4, the group acknowledged this provision of flexibility was intended to only be used in exceptional circumstances, and as such was a collective responsibility of all IMO Members to ensure that it was not misused as a route to avoid the proper scrutiny of proposals in accordance with "the GAP".

9 The group endorsed the proposal to include within "the GAP" the provisions drafted by the MSC to allow the outcome of Formal Safety Assessment studies (FSA) to be considered as equivalent to output proposals. As with an output proposal, the Group agreed that in such cases it was essential that all aspects of the criteria for assessing outputs were met, including for example the checklists on the human element and administrative requirements.

10 Some within the group noted that certain aspects of "the GAP" are likely to require further amendment to reflect the outcome of the Council's review of the Strategic Planning Framework. However, as the outcome of that review is not yet known and it was outside the task assigned to the group, the text prepared is based on the existing Framework.

11 There were a number of drafting considerations which due to the constraints of time prior to C 112 had been left open. The group in this latest round of work was able to finalize all these. The group also agreed a number of other drafting improvements

12 The group was able to come to clear decisions on all points under consideration; therefore the text presented for the Council's consideration in the annex to this document no longer contains square brackets.

Details of the changes proposed

13 Details of the changes and considerations of the group since C 112 are described in the following paragraphs and shown in the updated text of "the GAP" included in the annex to this document.

14 The group identified that the definition of "IMO Organs" includes "subsidiary organs". However in most instances within "the GAP" where this term is used it is in fact intended to refer only to the Council and committees, as these are the bodies empowered to make decisions on the work programme. In order to prevent any confusion the group agreed to replace the term "IMO Organs" with a more precise description of the bodies being referred to.

15 The group agreed that items placed on the Post-Biennial Agenda should, in principle, be initiated in the next biennium after their acceptance, and ensured that text of "the GAP" reflected this intension. The group also agreed changes to allow for outputs, which will take more than one biennium to complete, given the concept of "interim Outputs" has been removed.

16 Paragraph 5.6.2 – The group was mindful of the difficulties in establishing an objective assessment of the urgency of any particular Output and therefore agreed to replace "urgency" with "need" within this paragraph.

17 Paragraphs 6.2.1 and 6.2.2 – The group further discussed the inclusion of references to the Secretariat Business Plan in these two points. The inclusion of references to it in 6.2.1 and 6.2.2 was agreed by the group, along with some additional modifications to ensure the distinct intentions of the two paragraphs are clear.

18 Paragraph 6.2.6 – there had been a proposal to combine the terms "continuous" and "annual" and in future just use "annual". While there was some support for this change, the majority of the group was in favour of retaining the term "continuous". However, it was felt that it should only be used in very limited cases, and so during the preparation of the next High-level Action Plan there should be careful review of those outputs which are currently deemed "continuous" to see if alternative designations would be more appropriate.

19 Paragraph 6.4 – The group concluded that it was appropriate to make a reference to the Secretariat reporting on the status of its business plan within this paragraph. However it was felt that the determination of the format and details of such a report were outside the scope of the "the GAP".

20 Paragraph 8.1.2 – the existing reference to the "current" High-level Action Plan was only applicable to the consideration of unplanned Outputs and therefore it has been changed to the "relevant" High-level Action Plan in order to fit with the generalized consideration of Outputs.

21 Paragraphs 8.4 and 8.5 – the use of "should" was maintained within these paragraphs because it was generally felt that while the Chairman's preliminary assessment of Outputs is a useful tool for the committees when they consider proposals it is not an essential element. If, for whatever reason, the preliminary assessment had not been undertaken this would not prevent the committee from considering and concluding on an Output.

22 Paragraph 8.6.8 – Following further reflection the group decided to retain the first part of this bullet point only, because the relationship between a proposal for an Output and the existence of Industry Standards would vary from case to case and the fact that there are industry standards available should not preclude any action by the Organization, when deemed necessary.

23 Paragraph 8.8 – This paragraph contains the core aspect of the procedure, and a number of changes have been made to the text. The points have been reordered in a more logical sequence and a table has been included to help clarify the considerations.

24 The old paragraph 8.17 – The overall meaning and purpose of this bullet point was not clear and therefore the group decided to delete it.

25 Paragraph 8.18 – with regard to the timing of capacity-building assessments the group concluded that they should be undertaken at the point when work on the Output was initiated, and developed revised drafting to clarify the paragraph.

26 With regard to the annexes, changes were primarily made to ensure consistency with the revised text of "the GAP". New annexes 5 and 6, containing the "Checklist for considering human element issues by IMO bodies" and "Guidelines for considering and reviewing the outcomes of FSA studies" respectively, have also been added to "the GAP".

Action requested of the Council

27 The Council is requested to:

- .1 note the report of the correspondence group;
- .2 endorse, in line with the earlier commitments of the Council, to ensure "strict discipline" in the application of "the GAP", the use of mandatory language and the revised name of the document (paragraph 7);
- .3 endorse the revised text of "the GAP", in particular:
 - .1 the group's view that paragraph 3.4 of "the GAP" provides the required flexibility for the Organization to act in exceptional circumstances (paragraph 8); and
 - .2 endorse the inclusion of provisions that allow the outcomes of FSA studies to be treated as potential equivalents to output proposals (paragraph 9).

ANNEX

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

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 measuring 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.

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

2 DEFINITIONS

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

- .1 "IMO organs": the Council and committees of the Organization specified in Article 11 of the IMO Convention, including their subsidiary bodies; the organs of the Organization as defined in Article 11 of the IMO Convention;
- .2 "~~Planned output~~ Output": a product planned an item in the High-level Action Plan to be delivered by the Organization one or more IMO organs during a the current biennium or accepted for a subsequent 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;
- .43 "Agenda": a list of ~~planned~~ outputs for discussion at a particular meeting;
- .54 "Biennial agenda": a list of ~~planned~~ outputs to be delivered by an one or more IMO organ during a the current biennium ~~by an individual IMO organ~~; and
- .65 "Post-biennial agenda": a list of ~~accepted~~ outputs accepted by IMO Organs the Council or committees in one the current biennium that are to be delivered or initiated ~~[beyond a current]~~ in the next biennium.

3 PURPOSE, AIM AND OBJECTIVES

3.1 The purpose of this procedure ~~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 procedure is ~~Guidelines~~ are therefore formulated to achieve the following objectives:

- .1 to align and strengthen the planning and reporting processes by linking agenda setting and reporting more clearly to the Strategic Plan and High-level Action Plan;
- .2 to strengthen the linkage between ~~planned~~ outputs on the biennial agenda 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 greater understanding and assimilation of the interconnections between the Strategic Plan and High-level Action Plan and planned outputs;~~
- .54 to promote discipline in adherence to the planning procedures and guidelines;
- .65 to promote objectivity, clarity and realistic time frames in the establishment of biennial agendas by the IMO organs ~~and their subsidiary bodies~~;
- .76 to ensure maximum possible participation by all Member States and by organizations with observer status in all of the Organization's work; and
- .87 to establish responsibilities and promote involvement in the planning and reporting processes.

3.4 Nothing in this procedure ~~these guidelines should~~ shall prohibit the Organization from taking immediate action on urgent matters if the risk of not acting will adversely affect the Organization's ability to meet its objectives.¹ ~~Any [diversion] [deviation] from these Guidelines however should be submitted to the Council for its endorsement.] [Only in those circumstances when not taking immediate action will adversely affect the Organization's ability to meet its objectives and such immediate action is prohibited by not provided for by these guidelines, the Organization may deviate from them. Any such deviation from these Guidelines [should] [shall] be justified to the Council.]~~

4 APPLICATION

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

4.2 The procedure ~~Guidelines~~ will be kept under review by the Council and will be updated as necessary in the light of experience gained ~~in their~~ in its 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 this procedure. ~~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]~~ shall 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.

Developing the High-level Action Plan

5.4 The Council and the committees ~~[should]~~ shall identify, in a timely manner, the products outputs to be included ~~as planned outputs~~ in the High-level Action Plan for the ~~coming~~ next biennium, and the Secretariat should develop its Business Plan, 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 for the next biennium, due account should be taken, inter alia, of: (a) planned outputs the delivery of which has been postponed from a prior biennium accepted for the post-biennial agenda; (b) final outputs which cannot be completed in the current biennium (c) outputs that may need to be produced following the delivery of related interim outputs in [a prior] [the current] biennium; (cd) 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. Further information about the process for the consideration of new planned outputs is given in section 8.~~ In the process of constructing the High-level Action Plan for the next biennium the following should be included a) continuous and annual outputs within the current High-level

¹ Refer to the IMO Risk Management Framework (C 110/3/5, annex 1).

Action Plan, b) incomplete outputs within the current High-level Action Plan. Outputs from the post-biennial agenda should also be included, subject to resource availability. Any other proposals for outputs may be included following their assessment in accordance with this Procedure these Guidelines.

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

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

5.7 Adoption by the Assembly of the High-level Action Plan and the corresponding results-based budget for the biennium ~~implies~~ denotes that the Assembly was satisfied that there is a reasonable match between the two and that the available resources and the meetings programme should result in the ~~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 Council or relevant ~~IMO organ~~ 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 ~~procedure~~ 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 biennial agendas and agendas are both clearly linked to the Strategic Plan and the High-level Action Plan;
- .2 the ~~competing demands~~ objectives of the Strategic Plan and the High-level Action Plan can be prioritized met 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

² Refer to the IMO Risk Management Framework (C 110/3/5, annex 1).

- .4 monitoring and reporting are such that progress on biennial agendas is explicitly linked to progress on the ~~production~~ delivery 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]~~ shall be applied:

- .1 ~~the planned outputs included in the High-level Action Plan [should] shall = together with those included in the Secretariat's Business Plan - [explicitly]~~ form the basis of the biennial work of all the IMO organs and the budget of the Organization;
- .2 ~~[except for those items included in the Secretariat's Business Plan,]~~ the items contained in the agendas and biennial agendas of all IMO organs ~~[should]~~ shall all be ~~included as planned outputs in the High-level Action Plan or included in the Secretariat's Business Plan;~~
- .3 the biennial agendas of all IMO organs ~~[should]~~ shall 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 to be delivered within the current biennium;~~
~~[For outputs with a target completion date beyond the current biennium, the High-level Action Plan [should] shall specify the planned completion date.]~~
For outputs with target completion dates within the current biennium, the biennial agenda (see annex 2 (format 1)) shall specify the year of planned completion and include any tasks that are to be completed on an annual basis;
- .5 ~~target completion dates in the biennial agenda format in annex 2 (format 1) [should] shall specify the year of planned completion within the current biennium, or be specified as and include details for any "annual" for tasks that are to be completed on an annual basis;~~
For an output action that is expected to take more than one biennium to complete, the High-level Action Plan shall specify the planned completion year; the responsible IMO parent organ shall review the relevant output at the end of the biennium to assess the progress made and make a recommendation whether to include it in the next High-level Action Plan.
- .6 continuous ~~annual~~ items are discouraged but in those cases where they are deemed unavoidable it is still necessary for them to be given a "SMART" definition so that progress during the biennium can be assessed; and]
~~[continuous items [should] [shall] only be included in exceptional cases where deemed unavoidable and the output [should] [shall] be described in "SMART" terms so that progress during the biennium can be assessed; and]~~
- .7 documents submitted to committees and sub-committees ~~[should]~~ shall clearly demonstrate the direct relation between the proposals they contain and the ~~planned~~ output to be ~~accomplished~~ delivered under the relevant agenda item, on the basis of the High-level Action Plan.

6.3 In order to maintain a balance between effective control and the need for flexibility in addressing urgent and unexpected challenges within the Organization's mandate, any decision to include ~~unplanned~~ a new outputs in the current High-level Action Plan, in accordance with section 8, ~~should must be endorsed by the Council~~ is subject to the endorsement of the Council, prior to the initiation of work on such outputs.

6.4 In order to ensure transparent and efficient monitoring and reporting on the status of outputs in the High-level Action Plan, all reports shall be prepared in accordance with section 9 of this procedure these Guidelines. [~~and in accordance with section 9, a uniform format [should] shall be used for reports on the status of outputs in the High-level Action Plan~~]. The Secretariat should also report to the Council on the status of its business plan.

7 RESPONSIBILITIES

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

7.2 Accordingly, the chairmen, vice-chairmen and secretaries of the Council, committees and sub-committees have a specific responsibility for effective management of the planning and reporting cycle and for consistent and rigorous application of this procedure these Guidelines and of their own guidelines on organization and methods of work.

7.3 In order to fulfil the function in paragraph 7.2, well-established cooperation and coordination are expected between the chairmen, vice-chairmen and secretaries of the Council, committees and sub-committees by all available means, including through face-to-face meetings and teleconferences as deemed necessary.

8 OUTPUTS

General

8.1 ~~All IMO organs, The Council or a committee~~ in determining inclusion the acceptance of ~~unplanned an~~ outputs, and its inclusion on their biennial or post-biennial agendas, [~~should] shall~~ at all times be guided by the Strategic Directions and High-level Actions established in the Strategic Plan and the High-level Action Plan of the Organization, and [should] shall in particular take due account of:

- .1 the specific necessity for ~~the~~ an output to be started during the current biennium;³
- .2 the potential impact that the inclusion of an output ~~may have on the timely delivery of outputs planned in the current High-level Action Plan; on the biennial agenda may have in the timely delivery of outputs in the relevant High-level Action Plan;~~
- .3 the potential impact that the inclusion of an output may have on the workload of the IMO organs involved; ~~and~~
- .4 the personnel and budgetary resources available; and

³ The normal action will be for outputs, if accepted, to be placed on the post-biennial agenda, and only in exceptional circumstances will outputs be added to the biennial agenda and current High-level Action Plan.

- .5 the potential adverse impacts on the ability of the Organization to meet its objectives if of a decision is made not to ~~as to whether or not to~~ accept a proposal for inclusion of an a new output in the biennial or post-biennial agendas ~~on the ability of the Organization to meet its objectives and on shipping.~~

Submission of proposals for outputs

8.32 To enable ~~IMO organs~~ the Council or a committee to carry out a proper assessment of proposals for new outputs, submissions containing such proposals must, at a minimum, contain the information – including demonstration and documentation – specified in the table in annex 3.

8.3bis The committees may receive the results from an Formal Safety Assessment (FSA) study carried out in accordance with the FSA Guidelines. The criteria in paragraphs 8.1.1 through 8.1.5 also apply to the outcomes of the FSA study that may be regarded by the committees as proposals for outputs.

Preliminary assessment of proposals for outputs

8.4 In order to facilitate consideration of proposals for outputs by the Council or a committee ~~an IMO organ~~, their its Chairman should [shall] undertake a preliminary assessment of such proposals. The Chairman should [shall], for that purpose, be supported by the Vice-Chairman and the Secretariat and should [shall] consult the Chairman of any subsidiary body concerned.

8.5 The outcome of the preliminary assessment should [shall] be submitted to the Council or a committee ~~IMO organ~~ concerned for approval, and should [shall] include the Chairman's appraisal of:

- .1 whether the proposal complies with the requirements for the submission of proposals for ~~new~~ outputs, as specified in ~~paragraph 8.3~~ and in annex 3;
- .2 whether the proposal complies with the criteria specified in paragraph 8.6;
- ~~.3 whether the demonstrated urgency of the proposal requires its inclusion on the biennial agenda; and, if so,~~
- .3 whether the demonstrated need of the proposal requires its inclusion on the biennial agenda; and, if so
- ~~.4 to what extent the general criteria specified in paragraph 8.1 should be taken into account.~~
- .4 whether the agenda of the IMO organ can absorb the work associated with the output.

Assessment of proposals for outputs

8.6 Before deciding to accept a proposal for a new output, the Council or committee concerned shall carry out an assessment of the proposal against the following criteria: Before deciding to accept a proposal for a new output, the IMO organ concerned [should] shall carry out an [comprehensive and thorough] assessment of the proposal.

~~The assessment [should] shall 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 of functions conferred upon a committee by or under any international convention or related instrument?
- .4 Has a ~~compelling need — or, in the case of proposals calling for new conventions or amendments to existing conventions, a compelling need —~~ for the [measure] output been justified ~~demonstrated~~ and documented ~~demonstrated~~?
- .5 Has an analysis been provided that justifies ~~demonstrates~~ and documents the practicality, feasibility and proportionality of the proposed [measure] output?
- .6 Has the analysis of the issue sufficiently addressed the cost to the maritime industry as well as the relevant legislative and administrative burdens?
- .7 ~~[Do]~~ Are the benefits ~~(e.g. in terms of enhanced maritime safety, maritime security or protection of the marine environment, or facilitation of maritime traffic)~~ that are expected to be derived from the inclusion of the proposed output ~~[justify such action]~~ clearly stated?
- .8 Do adequate industry standards exist or are they being developed?
~~, thereby reducing the need for action within IMO? [Do adequate industry standards exist or are they being developed that may reduce the need for action within IMO?]~~
- ~~[8bis Is IMO's action required to establish a common international standard?]~~
- .9 Has the proposed output been properly specified in SMART terms (specific, measurable, achievable, realistic, time-bound)?
- ~~.9bis~~ 10 Does the completed checklist contained in annex 5 of this Procedure the GAP demonstrate that the human element has been sufficiently addressed?
- ~~.10 Does the proposal properly demonstrate the urgency of the action proposed, and does it plausibly demonstrate that and why the output should be included in the current biennial agenda?~~
- ~~.10~~ 11 If inclusion of the output in the current biennium is proposed, is this action properly justified?
- .11 12 Would a decision to reject not to accept the proposal pose an unreasonable risk to the Organization's overall objectives?

8.6bis 7 Paragraph 8.6 above is also applicable to the outcomes of an FSA study. Annex 6 provides guidance for considering and reviewing the outcomes of FSA studies.

Decision on acceptance and inclusion of outputs

8.78 Based on its assessment in accordance with paragraph 8.6, having taken due account of the Chairman's appraisal of the proposal, the Council or a committee ~~IMO organ~~ may decide that:

- ~~.61 that the proposal is not within the scope of the current Strategic or High-level Action Plans and should, therefore, not be accepted for inclusion;~~
- ~~.42 that the compelling need has not been sufficiently [or correctly] demonstrated and therefore the proposed output should not be included;~~
- ~~.43 for outputs for which extensive work is required, such as the revision of conventions or the preparation of codes, invite the Chairman of the coordinating subsidiary body, to invite the chairman with the support of the Secretariat, may be invited to prepare a comprehensive and coherent plan of work in order to inform the Council or relevant committee IMO organ of the full impact of the proposed output before it finalizes its decision on the proposed output;~~
- ~~.24 that it did not find the urgency of the proposed action did not justify justified inclusion within the current biennium, and therefore accept the proposed output for inclusion in [a following] the next biennium;~~
- ~~.35 the implications for the present workload of the Organization are considered unacceptable within the current biennium, and therefore accept the proposed output for inclusion in following [a following] the next biennium; or~~
- ~~.56 that the urgency and compelling demonstrated need of the proposed output are is such that it should be included it the proposed output, together with a target date for completion, in its the biennial agenda, or that of one of its subsidiary bodies, being satisfied that the implications for the workload and planning may be considered are acceptable.~~

Strategic plan	Need to carry out the work	Urgency to deliver the output	Work Load/Personnel and Budgetary resources	Decision
Within scope of strategic plan	Demonstrated	Justified	Implication of workload and planning are acceptable within the current biennium	Accept output for inclusion within the current biennium
			Implications for the present workload of the Organization are unacceptable within the current biennium	Accept output for inclusion in the next biennium
	Demonstrated	Not Justified	Acceptable to next biennium	Accept output for inclusion in the next biennium
	Not demonstrated	Not Justified	No need to further consider	Output not to be accepted for inclusion
Outside the scope of current strategic plan	No need to further consider	No need to further consider	No need to further consider	Output not to be accepted for inclusion

8.89 Upon a decision by the Council or a committee ~~an IMO organ~~ to include an ~~proposed~~ output in its post-biennial agenda, ~~IMO organ~~ it ~~[should]~~ shall 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

~~8.9 Upon acceptance of an 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 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 8.12, and to advise the parent organ on the efficient organization of the work to be undertaken.~~

8.10 A decision of the Council or a committee ~~an IMO organ~~ to include an new output in the biennial agenda of a subsidiary body ~~[should]~~ shall include clear and detailed instructions for the work to be undertaken by, ~~and the final output expected from,~~ the subsidiary body/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~~

Coordination of outputs included on the agenda of more than one subsidiary body

8.11 A decision of the Council or a committee ~~an IMO organ~~ to include an new output on the agenda ~~in the work~~ of more than one subsidiary body ~~[should]~~ shall:

- .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 target completion ~~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; and
- .5 ensure that the coordinating subsidiary body reports to its parent organ(s) on the status of the work.

~~8.12 — For 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.~~

8.12 For interrelated outputs contributing to the same overall objective, designate the subsidiary body to overlook the coherence in the work on those outputs.

Other principles on outputs

~~8.13 The committees and the Secretariat~~ The committees ~~IMO organs~~ ~~[should]~~ shall report on their decisions on proposals for ~~new~~ outputs in their regular reports to the Council for its endorsement, and in order to facilitate the monitoring ~~by the Council~~ of the delivery of the current biennial agendas and the planning of the future work.

8.14 Proposals for the inclusion of new outputs ~~[should]~~ shall not be submitted to a subsidiary body. A subsidiary body ~~[should]~~ shall not undertake work on outputs or expand the scope of outputs unless directed or authorized to do so by its parent organ~~body~~.

~~8.14bis~~15 Proposals for the inclusion of outputs can be developed and submitted by a subsidiary body when such proposals arise from other outputs already on the agenda of that subsidiary body.

~~8.15~~16 Proposals for the inclusion of new outputs, submitted by non-governmental organizations, [should] shall be co-sponsored by Governments.

~~8.16~~17 Follow-up action in response to specific requests for action emanating from the Assembly and diplomatic conferences convened by IMO, United Nations conferences and bodies, regional intergovernmental conferences and other international and intergovernmental organizations, etc., [should] shall be evaluated in the light of this procedure ~~these Guidelines, unless they are specifically identified as, and demonstrated to be, urgent matters.~~

~~[8.17 — 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, facilitation of maritime traffic and maritime law], irrespective of any order of priority.~~

8.18 ~~Following the decision by an IMO organ to include an new output involving the amendment of mandatory instruments in its biennial or post biennial agenda, the relevant IMO organ must [when work starts on the output] [as and when necessary], 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.~~ Following the decision by the Council or a committee an IMO organ to include in its biennial or post biennial agenda an output involving the amendment of mandatory instruments, it must, the relevant IMO organ, in keeping with the provisions of resolution A.998(25), must initiate the assessment of capacity building and technical assistance pertaining to that item when the work starts on the output, by following the prescribed Procedure.

409 FORMAT AND CONTENT OF REPORTS

409.1 Reports on the status of ~~planned~~ outputs included in the High-level Action Plan ~~[should]~~ shall follow ~~the~~ format 1 set out in annex 2, ~~format 1,~~ and ~~[should]~~ shall constitute or be annexed to the reports of each session of the sub-committees⁴ and the committees and the biennial report of the Council to the Assembly. Such reports ~~[should]~~ shall ~~separately~~ identify ~~unplanned~~ new outputs accepted for inclusion in the biennial agendas.

409.2 In preparing its own report, each IMO organ ~~[should]~~ shall incorporate all reports it has received since its previous report on the status of ~~planned~~ outputs [~~which it has received since its previous report~~].

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

⁴ Should an associated organ not have been requested to consider an ~~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 OUTLINE (DIAGRAMS)

DIAGRAM 1: ~~IMO STRATEGIC PLANNING OUTLINE~~ – OVERVIEW

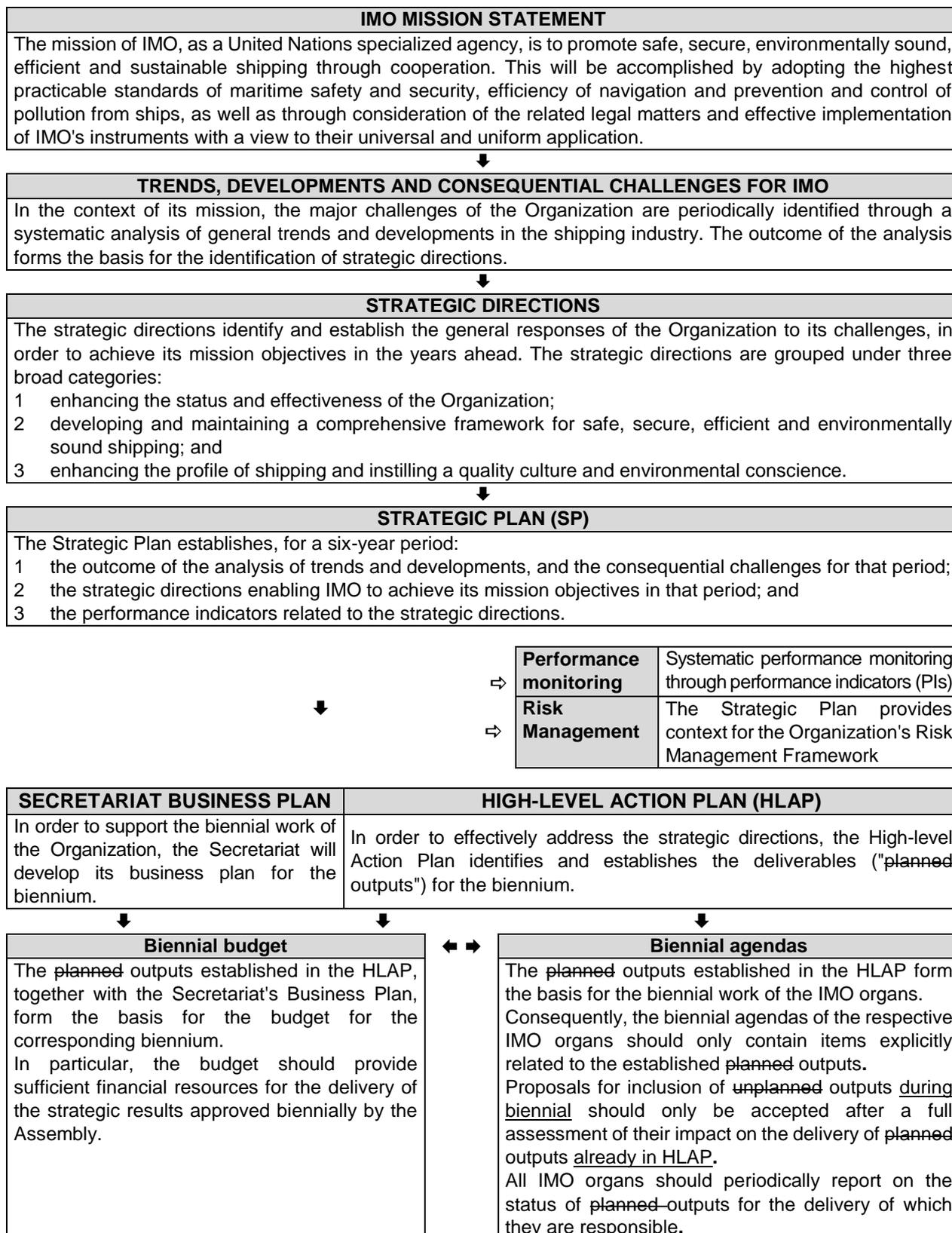
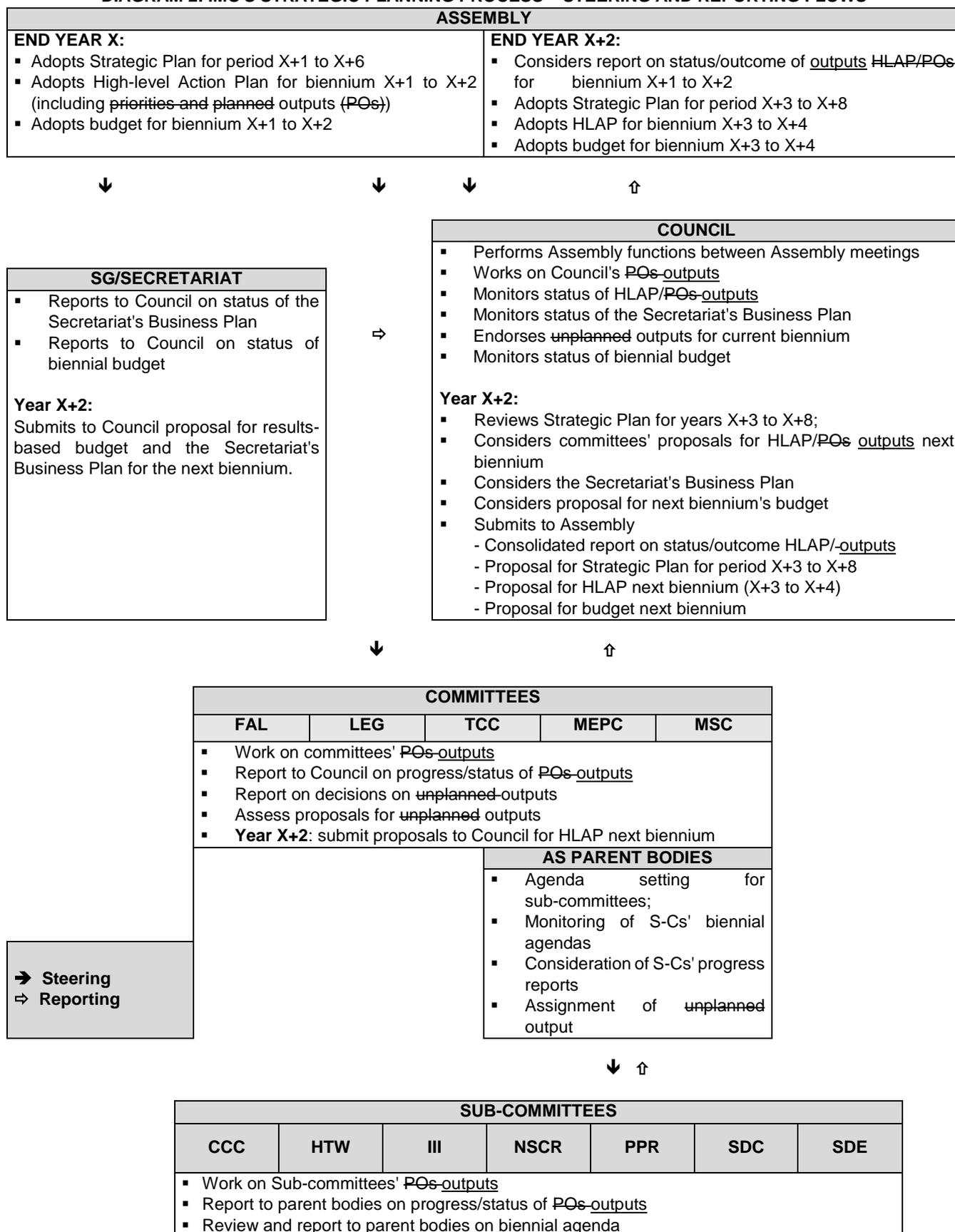


DIAGRAM 2: IMO'S STRATEGIC PLANNING PROCESS – STEERING AND REPORTING FLOWS



ANNEX 2

FORMAT 1: BIENNIAL STATUS REPORT

[Name of organ]								
Planned Output number ^a	Description	Target completion year ^b	Parent organ(s)	Coordinating organ	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 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 output for the year s in question has ~~ve~~ 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~~ and finalization is expected to be approved in target completion year 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) and accordingly the output has been introduced on the post-biennial agenda;
 - "extended" signifies that further work is necessary and the output will not be finalized as planned; and
 - due to the nature of annual outputs, the status can either be "completed" or "postponed".
- 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.~~ References should be made to the relevant part of the organs report on this item.

FORMAT 2: POST-BIENNIAL AGENDAS OF COMMITTEES

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

Notes:

^e Biennium when the output was placed on the post-biennial agenda

ANNEX 3

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

(Reference: ~~Guidelines~~, paragraph 8.3 and 9.2)

- 1 **IMO's objectives:** Provide evidence whether and how the proposal:
 - .1 is within the scope of IMO's objective; and
 - .2 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:
 - .1 the need for a the proposed measure output in terms of the risks or hazards which are considered necessary to be addressed⁵; and
 - .2 the compelling need for a proposal for a new convention or an amendment to an existing convention the evidence to support the perceived need.
- 3 **Analysis of the issue:** Provide an analysis of the proposed measure, including an assessment 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.
- 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 and the intended relationship between such standards and the proposed output.
- 7 **Output:** Specify the intended output in SMART terms (specific, measurable, achievable, realistic, time-bound) including the scope of application. ~~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.~~
- 8 **Human element:** Provide the completed checklist contained in MSC-MEPC.7/Circ.1 to demonstrate that the human element has been sufficiently addressed.

⁵ If the proposed output included the development of a new Convention or the amendment of an existing Convention then the principles contain within A.500(XII) and A.998(25) of the demonstration of a "compelling need" should be respected.

- 9 **Priority/Urgency:** Provide, with reference to the current Strategic Plan and High-level Action Plan, evidence on:
- .1 the urgency of the proposed ~~unplanned~~ output including any proposal to include the proposed output on the biennial agenda; and
 - .2 the date that the proposed ~~unplanned~~ output should be completed; and
 - ~~.3 timescale needed for the IMO organ to complete the work.~~
- 10 **Action required:** Specify the action required by the IMO organ.

ANNEX 4

**CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS
AND BURDENS**

This e Checklist for Identifying Administrative Requirements and Burdens should be used when preparing the analysis of implications required in submissions of proposals for inclusion of ~~unplanned~~ outputs. For the purpose of this analysis, the term "administrative requirements" and "~~burdens~~" are as is defined in resolution A.1043(27), i.e. administrative requirements are an obligation arising from future IMO mandatory instruments to provide or retain information or data, and ~~administrative burdens are 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~~ requirements are likely to involve start-up and/or ongoing costs. 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 <u>requirements</u> burdens ?	NR	Yes <input type="checkbox"/> Start-up <input type="checkbox"/> Ongoing
Description: (if the answer is yes)		

ANNEX 5

CHECKLIST FOR CONSIDERING HUMAN ELEMENT ISSUES BY IMO BODIES⁶

Instructions: If the answer to any of the questions below is:	
(A) YES , the preparing body should provide supporting details and/or recommendation for further work.	
(B) NO , the preparing body should make proper justification as to why human element issues were not considered.	
(C) NA (Not Applicable) – the preparing body should make proper justification as to why human element issues were not considered applicable.	
Subject Being Assessed: (e.g. Resolution, Instrument, Circular being considered)	
Responsible Body: (e.g. committee, sub-committee, working group, correspondence group, Member State)	
1. Was the human element considered during development or amendment process related to this subject?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
2. Has input from seafarers or their proxies been solicited?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
3. Are the solutions proposed for the subject in agreement with existing instruments? (Identify instruments considered in comments section)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
4. Have human element solutions been made as an alternative and/or in conjunction with technical solutions?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
5. Has human element guidance on the application and/or implementation of the proposed solution been provided for the following:	
• Administrations?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Ship owners/managers?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Seafarers?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Surveyors?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
6. At some point, before final adoption, has the solution been reviewed or considered by a relevant IMO body with relevant human element expertise?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
7. Does the solution address safeguards to avoid single person errors?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
8. Does the solution address safeguards to avoid organizational errors?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
9. If the proposal is to be directed at seafarers, is the information in a form that can be presented to and is easily understood by the seafarer?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
10. Have human element experts been consulted in development of the solution?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
11. HUMAN ELEMENT: Has the proposal been assessed against each of the factors below?	
<input type="checkbox"/> CREWING. The number of qualified personnel required and available to safely operate, maintain, support, and provide training for system.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> PERSONNEL. The necessary knowledge, skills, abilities, and experience levels that are needed to properly perform job tasks.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> TRAINING. The process and tools by which personnel acquire or improve the necessary knowledge, skills, and abilities to achieve desired job/task performance.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> OCCUPATIONAL HEALTH AND SAFETY. The management systems, programmes, procedures, policies, training, documentation, equipment, etc. to properly manage risks.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA

⁶ Checklist from MSC-MEPC.7/Circ.1

<input type="checkbox"/> WORKING ENVIRONMENT. Conditions that are necessary to sustain the safety, health, and comfort of those on working on board, such as noise, vibration, lighting, climate, and other factors that affect crew endurance, fatigue, alertness and morale.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> HUMAN SURVIVABILITY. System features that reduce the risk of illness, injury, or death in a catastrophic event such as fire, explosion, spill, collision, flooding, or intentional attack. The assessment should consider desired human performance in emergency situations for detection, response, evacuation, survival and rescue and the interface with emergency procedures, systems, facilities and equipment.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> HUMAN FACTORS ENGINEERING. Human-system interface to be consistent with the physical, cognitive, and sensory abilities of the user population.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<p>Comments: (1) Justification if answers are NO or Not Applicable. (2) Recommendations for additional human element assessment needed. (3) Key risk management strategies employed. (4) Other comments. (5) Supporting documentation.</p>	

ANNEX 6

GUIDELINES FOR CONSIDERING AND REVIEWING THE OUTCOMES OF FSA STUDIES

Purpose

1 The purpose of these guidelines is to assist the committees in considering and reviewing the outcomes (i.e. RCOs or other recommendations) of FSA studies. These guidelines provide a bridge between the FSA Guidelines (MSC-MEPC.2/Circ.12) and Procedure for the Application of the Strategic Plan and the High-level Action Plan of the Organization ~~Committees' Guidelines (MSC-MEPC.1/Circ.4/Rev.3).~~

Background

2 The FSA Guidelines (MSC-MEPC.2/Circ.12) adequately covers the procedures to manage outcomes of an FSA study from initial submission to the Committee through the report of the FSA Experts Group to the committee.

3. The Procedure for the Application of the Strategic Plan and the High-level Action Plan of the Organization ~~Committees' Guidelines (MSC-MEPC.1/Circ.4/Rev.3)~~ contain guidance on how the Committees may consider placing new ~~planned and unplanned~~ outputs on the biennial agenda of the different bodies.

Guidance for Committees

4 Upon receipt of the outcomes of an FSA study the Committees should conduct a preliminary assessment, and the Committees may decide to:

- .1 reject an outcome without any further action; or
- .2 review the information submitted with an outcome in order to determine equivalence to the requirements for submitting proposals for outputs.

5 Based on paragraph 4.2 above, the committees may decide to:

- .1 accept the information submitted with the outcome as equivalent to a proposal for an output, place the item on the biennial agenda or post-biennial agenda, and forward the outcome to the cognizant Sub-Committee or other bodies concerned for technical review and advice, and possible implementation actions; or
- .2 request submission of a proposal for an output.

6 To enable the committees to carry out proper use of recommendations contained in FSA studies, the decision flowchart (see figure 1) should be used to guide consistent management of outcomes.

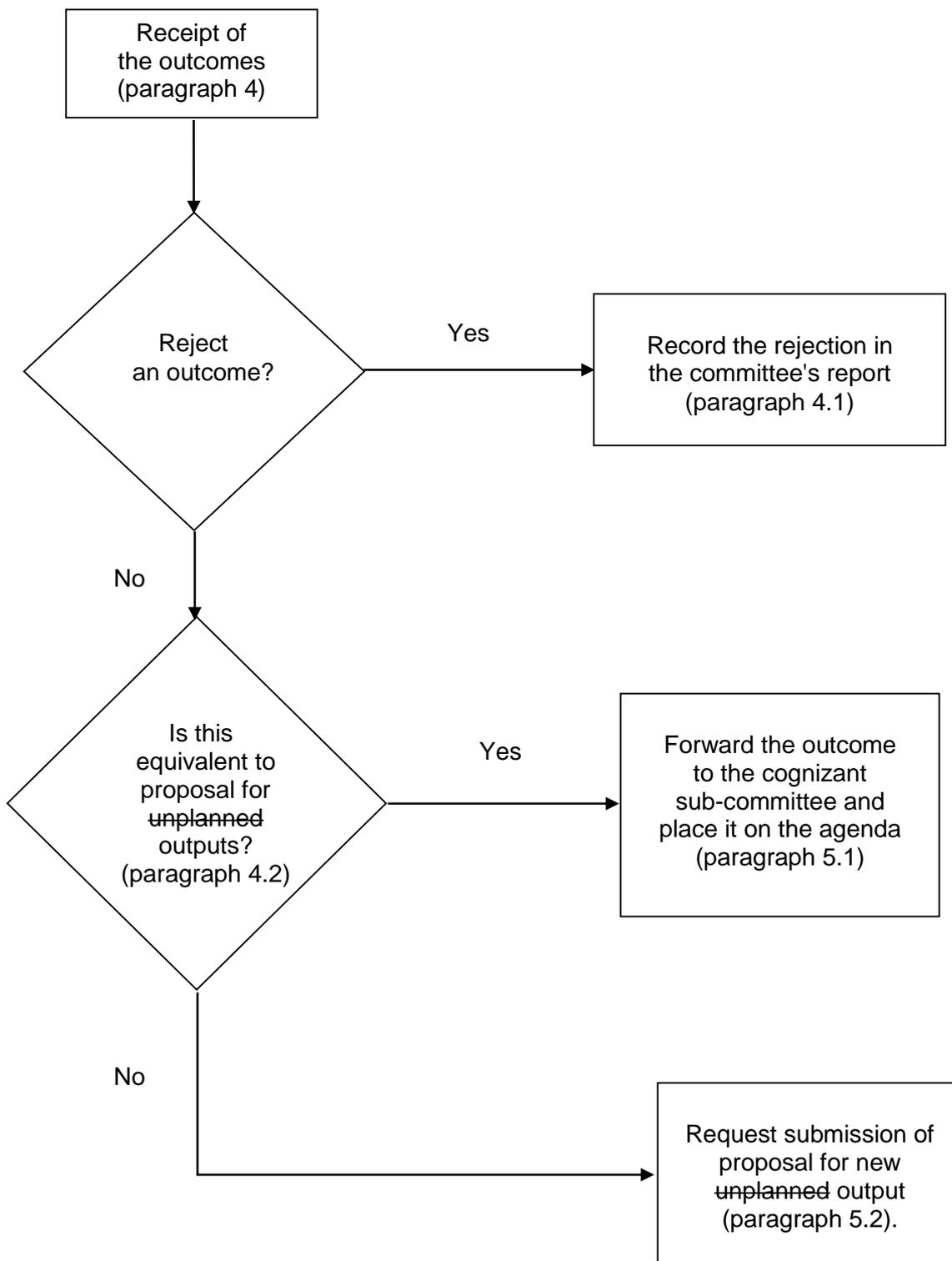


Figure 1 – Flowchart for committees' management of outcomes (i.e. RCOs or other recommendations from an FSA study)