



AD HOC COUNCIL WORKING GROUP ON
THE ORGANIZATION'S STRATEGIC
PLAN
7th session
Agenda item 5

CWGSP 7/5
14 September 2007
ENGLISH ONLY

ANALYSIS OF DATA MEASURED AGAINST THE PERFORMANCE INDICATORS

Note by the Secretariat

SUMMARY

<i>Executive summary:</i>	This document updates the information submitted to the Council, in document C 97/3(a), on the Organization's performance as measured against the performance indicators contained in the Strategic Plan, and provides a tentative analysis of such information
<i>Action to be taken:</i>	Paragraph 8
<i>Related documents:</i>	C 98/D (paragraphs 3(a).1 to 3(a).4), C 98/3(a); C 97/D (paragraphs 3(a).1 to 3(a).4), C 97/3(a), C 97/3(a)/Add.1; resolutions A.970(24) and A.971(24); CWGSP 5/2

1 At its sixth session (14-16 March 2007), the *Ad Hoc* Council Working Group on the Organization's Strategic Plan (hereinafter the Working Group) considered document C 97/3(a) – providing data collected and collated by the Secretariat during 2006 against the performance indicators (PIs) identified in resolution A.970(24) – and made preliminary recommendations thereon, as set out in its report (see the annex to document C 98/3(a) and, in particular, paragraphs 23 to 27 and section D of appendix 2).

2 The Working Group also considered the overall arrangement of the PIs (including related proposals requested of the Secretariat at CWGSP 5 regarding certain indicators and data sources) and the possible establishment of a glossary of PIs proposed in document C 97/3(a)/Add.1. On these matters, and as reflected in its report (see the annex to document C 98/3(a) and, in particular, paragraphs 28 to 33 and section E of appendix 2), the Working Group:

- .1 agreed definitions for PI 3 (implementation and compliance); PI 19 (work of other UN bodies), on a trial basis; and PI 20 (efficiency of shipping), subject to review by the Facilitation Committee;
- .2 invited the Technical Co-operation Committee to consider a possible indicator for strategic direction 9 (SIDS and LDCs);
- .3 made preliminary recommendations to the Secretariat on data sources to monitor strategic direction 7 (impact of shipping on the environment); and

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- .4 recommended that Member States should be encouraged to submit, to its future sessions, proposals for enhancing its analysis of performance against the strategic directions and the outcome of any related trials they may carry out voluntarily.

3 Following CWGSP 6, the Facilitation Committee, at its thirty-fourth session, discussed the aforementioned PI 20, reached a number of conclusions and recommendations and instructed the Secretariat to inform the Working Group accordingly (see documents FAL 34/WP.2 and FAL/34/19, paragraph 16.11). In this regard, the Committee agreed that:

- .1 since the related strategic direction and its associated high-level actions were all concerned with facilitation matters, as were the proposed definitions for PI 20, the use of the title “efficiency of shipping” was not correct, as it implied the efficiency of operations, and it might, therefore, be changed to “facilitation of international maritime traffic”; and
- .2 definition (a) of PI 20 was agreed (i.e., “Number and percentage of Member States that are party to the FAL Convention”), along with two further definitions that would help to gauge the level of effective acceptance and implementation of IMO’s facilitation measures, namely: “(b) Number and percentage of Contracting Parties to the FAL Convention that register differences to the Standards they have adopted”; and “(c) Number and percentage of Contracting Parties to the FAL Convention that register differences to the Recommended Practices” (these proposals are shown in shaded text in the annex).

4 For its part, the Technical Co-operation Committee, at its fifty-seventh session, decided that a specific indicator for the strategic direction on SIDS and LDCs was not required (see documents TC 57/11/Add.1 and TC 57/14, paragraph 11.12.2).

5 This document therefore takes into account the recommendations of CWGSP 6 and the decisions of FAL 34 and TC 57 and provides:

- .1 at annex 1, updated information on the Organization’s performance, as measured against the agreed PIs; and
- .2 at annex 2, a tentative analysis of such data.

6 In this regard, the data and analyses provided in the annexes – which are based on the changes to the current Strategic Plan (resolution A.970(24)) agreed by CWGSP 6 (these are shown in underlined text) – should be read in conjunction with the report on the production of this biennium’s planned outputs set out in the annex to document CWGSP 7/4.

7 Finally, it may be recalled that, with respect to the PIs, CWGSP 6 recommended that, wherever possible, target performance levels should be included in each indicator, so as to facilitate the measurement of progress. In this regard, it is submitted that the Working Group may, over the next biennium, wish to direct the Secretariat on this exercise, through the identification of appropriate tolerances and taking into account any related outcome of the Council Risk Review, Management and Reporting Working Group.

Action requested of the Working Group

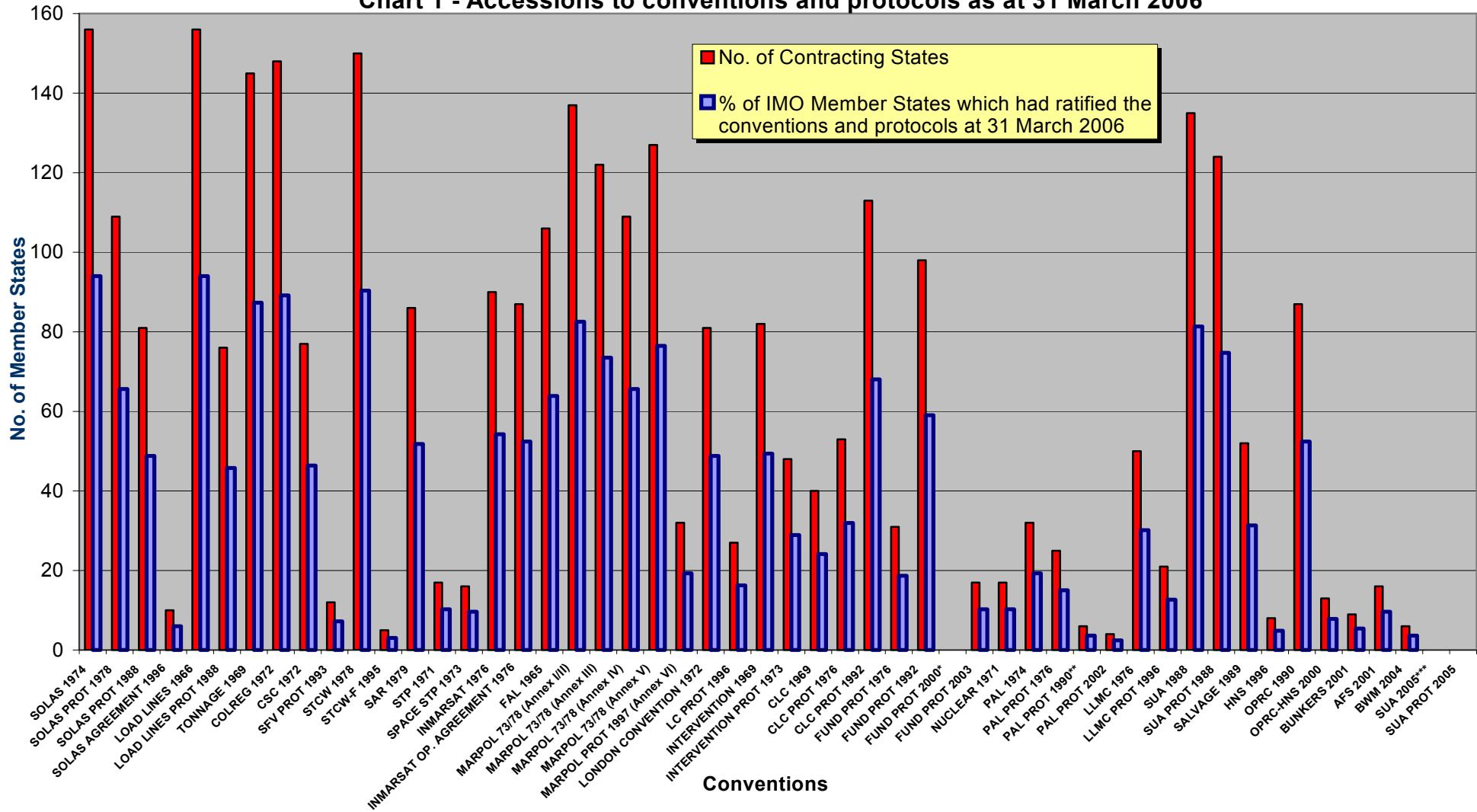
8 The Working Group is invited to consider the information provided in annexes 1 and 2 and decide as appropriate.

**ANNEX 1
PERFORMANCE MEASURED AGAINST INDICATORS**

Indicator 1

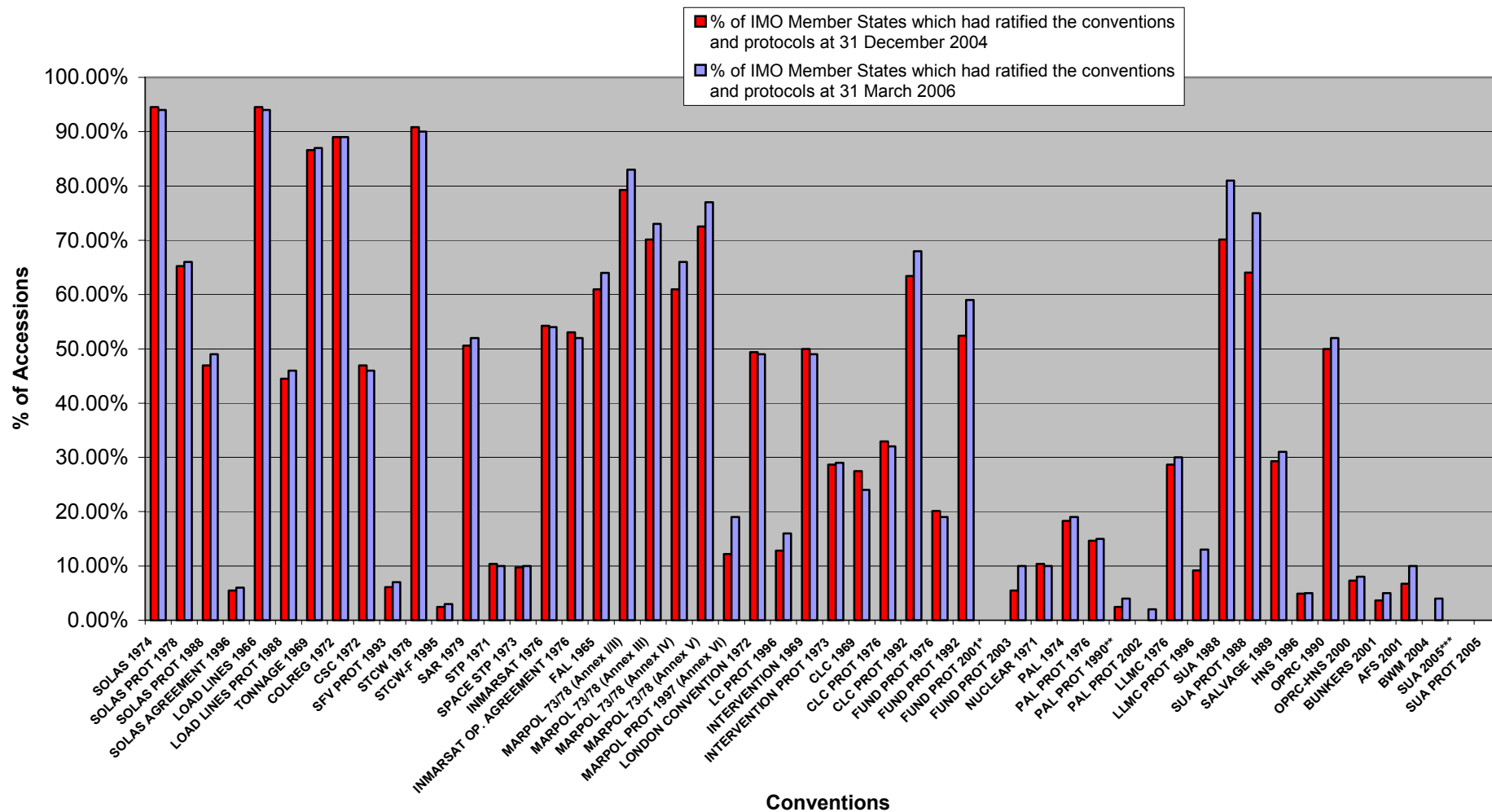
Definition: Percentage of IMO Member States that have ratified each IMO convention and protocol

Chart 1 - Accessions to conventions and protocols as at 31 March 2006



* Entered into force by the tacit acceptance procedure on 27 June 2001
 ** Will not enter into force and has been superseded by the PAL Protocol 2002
 *** Protocol of 2005 to the SUA Convention, adopted on 14 October 2005

Indicator 1
Chart 2 - Percentage comparison of accessions to conventions and protocols



* Entered into force by the tacit acceptance procedure on 27 June 2001
 ** Will not enter into force and has been superseded by the PAL Protocol 2002
 *** Protocol of 2005 to the SUA Convention, adopted on 14 October 2005

Indicator 2: Entry into force

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

Total IMO Conventions	In force	Not yet in force	Percentage not yet in force
50	39	11	22
Conventions not yet in force			
PAL Protocol 1990		PAL Protocol 2002	
SFV Protocol 1993		Ballast Water Management Convention 2004	
STCW-F Convention 1995		SUA Convention 2005 ¹	
HNS Convention 1996		SUA Protocol 2005 ²	
AFS Convention 2001		Nairobi Wreck Removal Convention 2007	
Bunkers Convention 2001			

Source: IMO Secretariat

Indicator 3: Implementation and compliance

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

Number	Percentage (of 167 Members)
33	19.8%

Source: IMO Secretariat

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

Number	Percentage (of 33 volunteering States)
13	39.4%

Source: IMO Secretariat

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

Number	Percentage (of 167 Members)
37	22.2%

Source: IMO Secretariat

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

Number nominated	Number used	Percentage (of 93 nominated auditors)
93	33	35.5%

Source: IMO Secretariat

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

Number
None to date

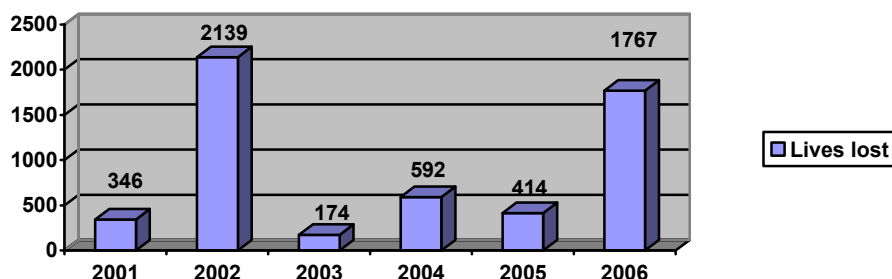
Source: IMO Secretariat

¹ Protocol of 2005 to the SUA Convention, adopted on 14 October 2005.

² Protocol of 2005 to the SUA Protocol, adopted on 14 October 2005.

Indicator 4: Lives lost

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



Source: IMO Secretariat(C 94/3(e)/1 – up to 1993) and Lloyd’s Register Fairplay World Casualty Statistics³

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

	2001	2002	2003
Lives lost	346	2,139	174
Estimated total number of passengers (approx.)	855,668,842	1,089,606,604	1,088,606,004
Ratio	0.00004%	0.00019%	0.00002%
	2004	2005	2006
Lives lost	592	414	1,767
Estimated total number of passengers (approx.)	1,336,631,628	1,412,025,471	1,646,455,090
Ratio	0.00004%	0.00003%	0.00011%

Source: IMO Secretariat (C 94/3(e)/1 – up to 1993), Lloyd’s Register Fairplay World Casualty Statistics and Shippax (Statistics & Outlook 06, Market: 07 Statistics)

CWGSP 6 recommended that the Secretariat should explore the possibility of obtaining data on lives at risk, disaggregated to show seafarers and passengers. In this regard, it has not been possible to identify sources of global, annual data solely on the numbers of seafarers and, accordingly, the Shippax data in the table above refers exclusively to passengers (cruise and ferry operations). That being said, it may be noted that the “BIMCO/ISF Manpower 2005 Update: The worldwide demand for and supply of seafarers” estimated there to be some 466,000 officers and 721,000 ratings in that year. In this regard, adding the resulting total of 1,187,000 seafarers to the estimated total number of passengers in 2005 does not change the quoted ratio of lives lost (0.00003%) in any significant manner.

CWGSP 6 also recommended that the Secretariat should explore, with FAO and ILO, possible data sources on the loss of lives on fishing vessels in general. In this regard, it appears that neither organization collates global, annual data on lives lost on fishing vessels and data

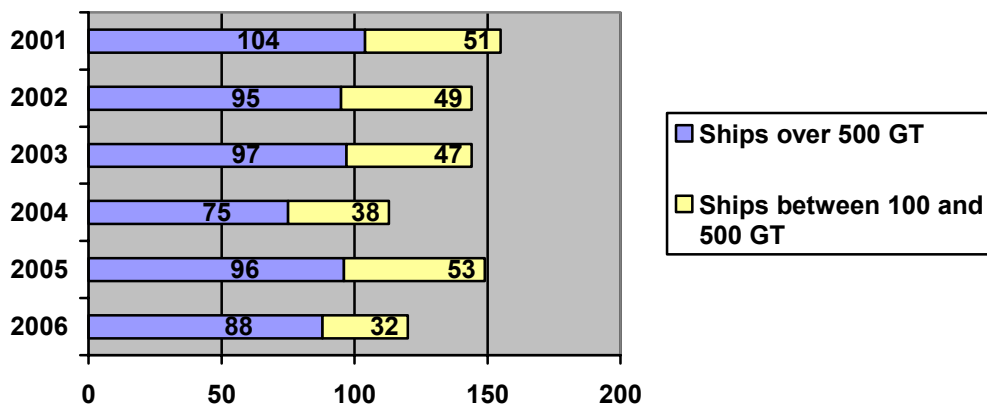
* i.e., **not** accidents and incidents which are due to security failures, acts of piracy and armed robbery or whose prevention is addressed by other international conventions.

³ The higher incidence of lives lost in 2002 and 2006 may be ascribed to three casualties, namely: the passenger ferries **Le Joola** and **Salahuddin-2**, which sank off the Gambia and Bangladesh with over 1,500 lives lost between them; and the passenger ferry **Al-Salaam Boccaccio 98**, which sank in the Red Sea with close to 1,000 lives lost.

that is invariably quoted actually originates from a 1999 ILO report (“Safety and Health in the Fishing Industry”) which estimated that “fishing has a worldwide fatality rate of 80 per 100,000 workers or approximately 24,000 deaths per year, and ... there are 24 million non-fatal accidents in the sector annually.” In this regard, it is understood that the estimate of 24,000 fatalities annually covers fishing operations (both deep-sea and artisanal), shore-side processing, as well as fish farming. It may also be noted that the same ILO study quoted data published by IMO (document FSI 7/6/2) showing a total of 718 fatalities in 18 countries, due to fishing vessel casualties during the three-year period from 1995 to 1997.

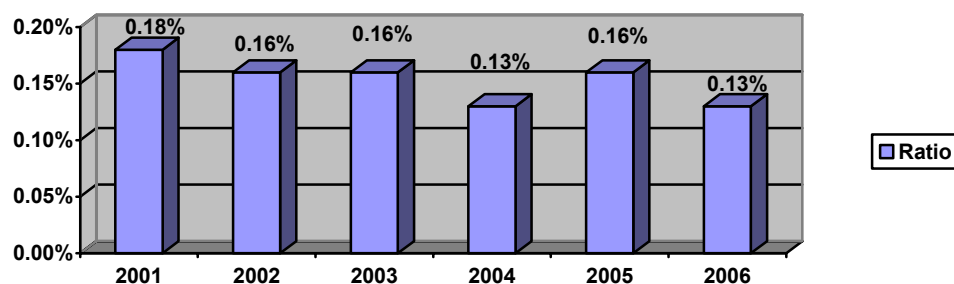
Indicator 5: Ships lost

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



Source: Lloyd’s Register Fairplay World Casualty Statistics

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



Source: Lloyd’s Register Fairplay World Fleet Statistics

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

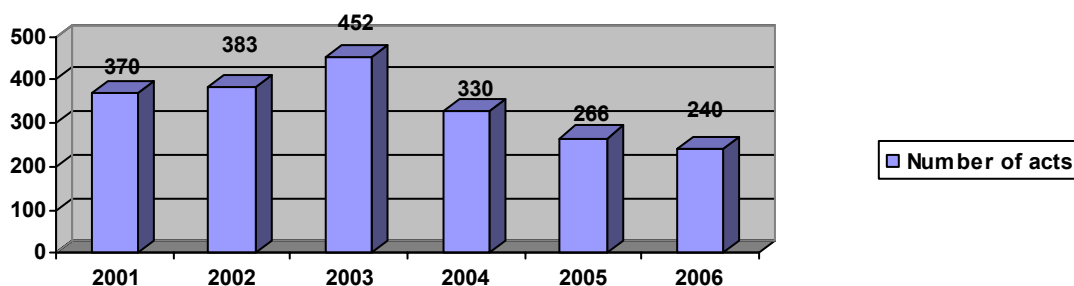
Indicator 6: Security failures

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

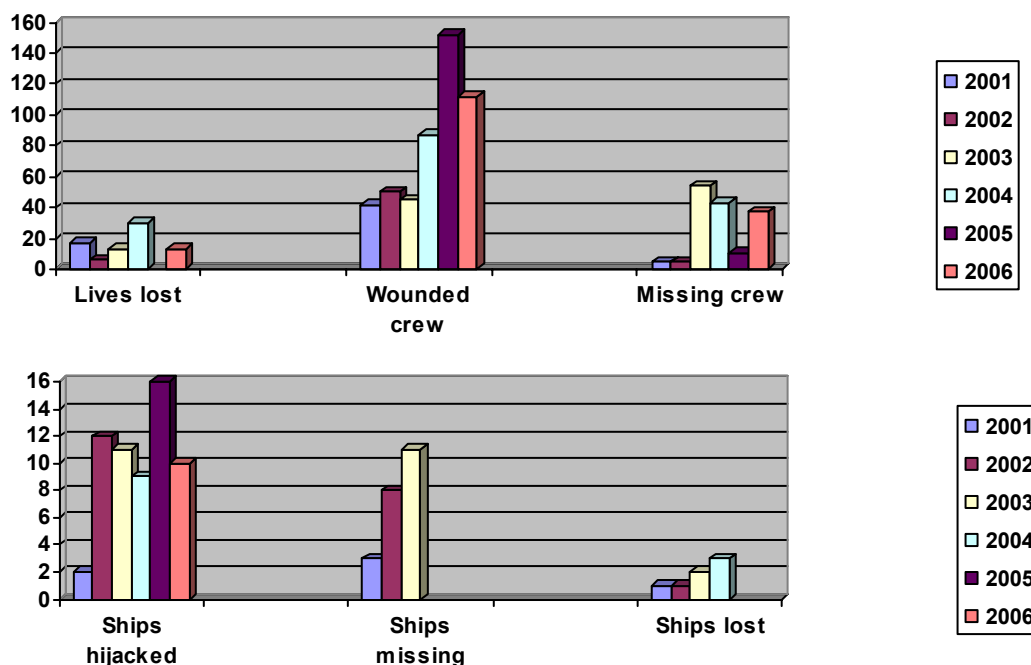
No incident has occurred to date on ships subject to SOLAS chapter XI-2, which was adopted on 12 December 2002 and entered into force on 1 July 2004. The incident involving the **MV Limburg** occurred in October 2002.

Indicator 7: Piracy and armed robbery against ships

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



Source: IMO Secretariat (MSC.4/Circ.98 and earlier annual reports in the same series)



Source: IMO Secretariat (MSC.4/Circ.98 and earlier annual reports in the same series)

Indicator 8: Ship-generated water pollution

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

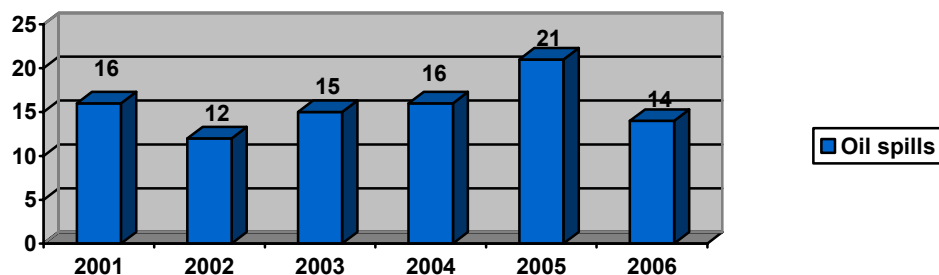
Reliable, worldwide and comprehensive data for this indicator is not yet available.

CWGSP 6 recommended that the Secretariat should examine regional sources of data that have relevant measurements for PIs 8(a), 9(b) and 9(c) and identify/compare any possible trends. At this stage, however, the very limited data identified is not helpful owing to different figures being used for similar elements.

While the Secretariat will continue to explore this matter, by way of an alternative, the Working Group may wish to consider recommending that the Marine Environment Protection Committee should identify sources and define methodologies for the collection and calculation of such data, as appropriate.

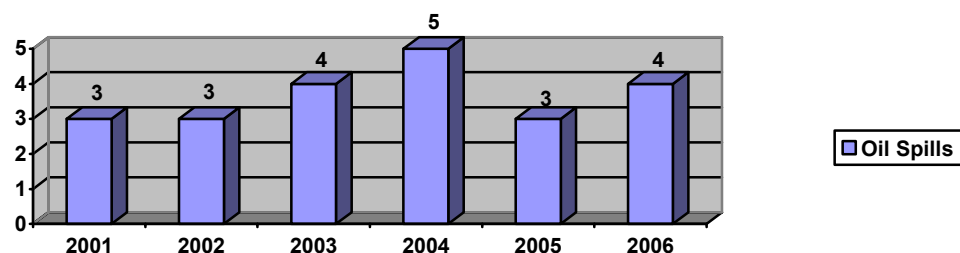
Definition: (b) Number of spills occurring from ships subject to IMO instruments.

Number of spills over 7 tonnes, but less than 700 tonnes



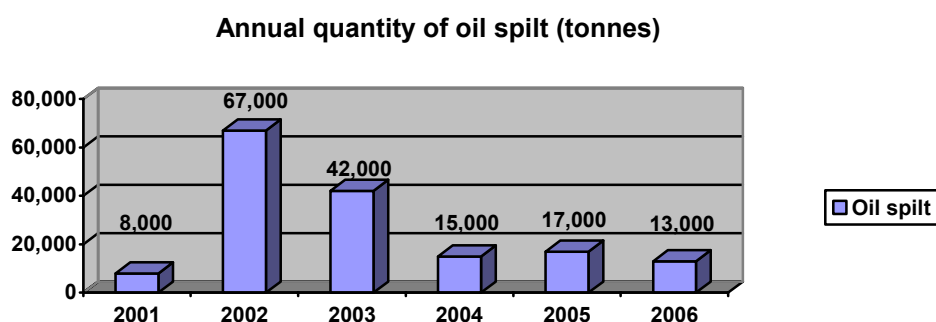
Source: ITOPF Annual Statistics

Number of spills over 700 tonnes



Source: ITOPF Annual Statistics

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



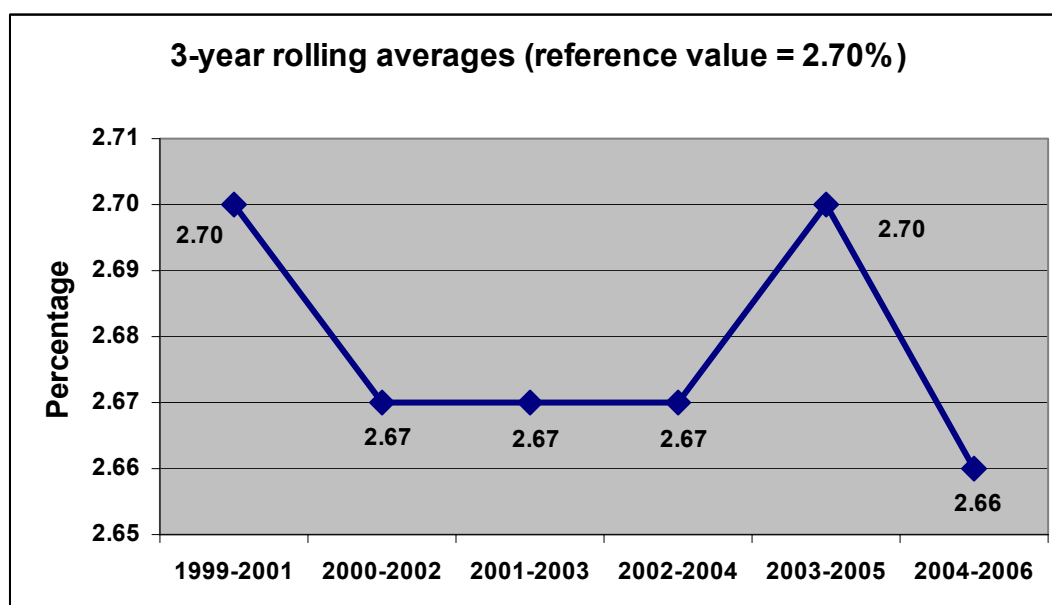
Source: ITOPF Annual Statistics⁴

Ratio of oil (cargo and bunkers) discharged into the sea to total quantities carried by sea						
	2001	2002	2003	2004	2005	2006
Annual quantity of oil spilt (tonnes)	8,000	67,000	42,000	15,000	17,000	13,000
Annual quantity of oil carried by sea (million tonnes)	1,997	2,000	2,135	2,215	2,279	2,331
Ratio	0.0004%	0.0033%	0.0020%	0.0007%	0.0007%	0.0006%

Source: ITOPF Annual Statistics and Fearnley's annual reports

Indicator 9: Ship-generated air pollution

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



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

⁴ Note: the higher incidence of oil spilt in 2002 may be ascribed to one casualty, namely, the oil tanker **Prestige**, which sank off Spain spilling 63,000 tonnes.

Definition: (b) Tonnes of NOx, SOx [and CO₂] released from ships subject to IMO instruments.

Reliable, worldwide and comprehensive data for this indicator is not yet available (see the commentary under PI 8(a)).

Definition: (c) Ratio of estimated tonnage of SOx and NOx released annually per tonne-mile of cargo carried by sea.

Reliable, worldwide and comprehensive data for this indicator is not yet available (see the commentary under PI 8(a)).

Indicator 10: Environmental conscience

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

ITCP expenditure on environmental programmes		
Year	Funding from all external and internal sources (US\$)	As a percentage of total ITCP expenditure
2001	5,310,035	55.0
2002	6,008,728	48.8
2003	6,749,439	51.0
2004	7,162,403	51.1
2005	5,938,329	45.4
2006	5,667,080	47.2
Annual average	6,139,336	49.7

Source: IMO Secretariat (interim and biennial reports on the ITCP)

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

Although there are at present no such projects, the Secretariat participated in the project on Pollution Prevention and Control (POP&C) – Safe Transportation of Hazardous Goods by Tankers (www.pop-c.org), which has now been completed (see document C 97/3(a) for a summary description of its objectives).

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

Memoranda of Understanding (MoUs) or Letters of Agreement (LoAs) with:

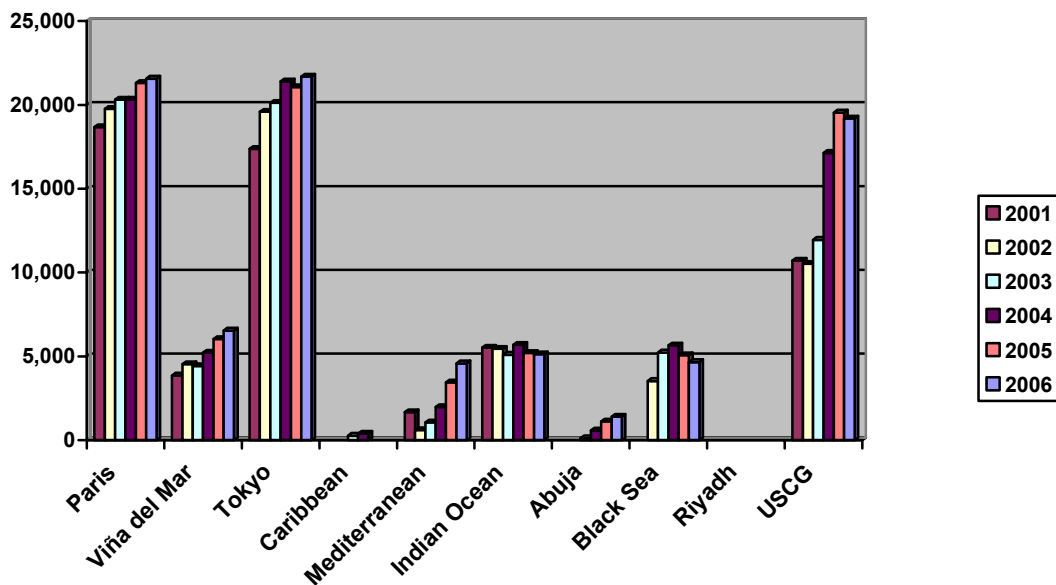
ASEAN	REMPEITC-Carib
COCATRAM	ROCRAM
NOWPAP MER-RAC MoU	ROPME/MEMAC
PERSGA	SACEP
PMAESA	SPREP
PMAWCA	UNIDO
REMPEC (joint IMO/UNEP project)	UNOPS

Source: IMO Secretariat

Indicator 11: PSC detention rate

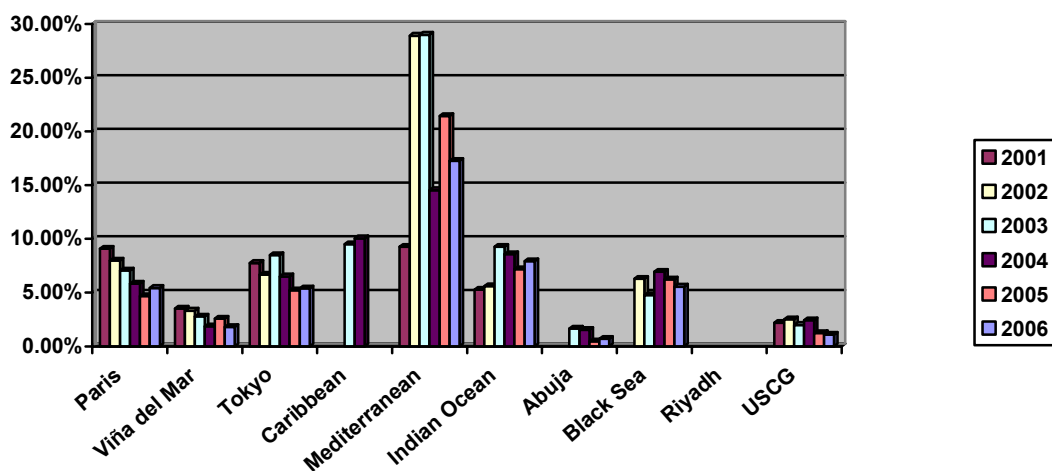
Definition: Port State control detention rates as analyzed by the various bodies of the Organization on the basis of data submitted by Member States.

Inspections



Source: Annual reports of regional PSC MoUs/Agreement and United States Coast Guard⁵

Detention Rates



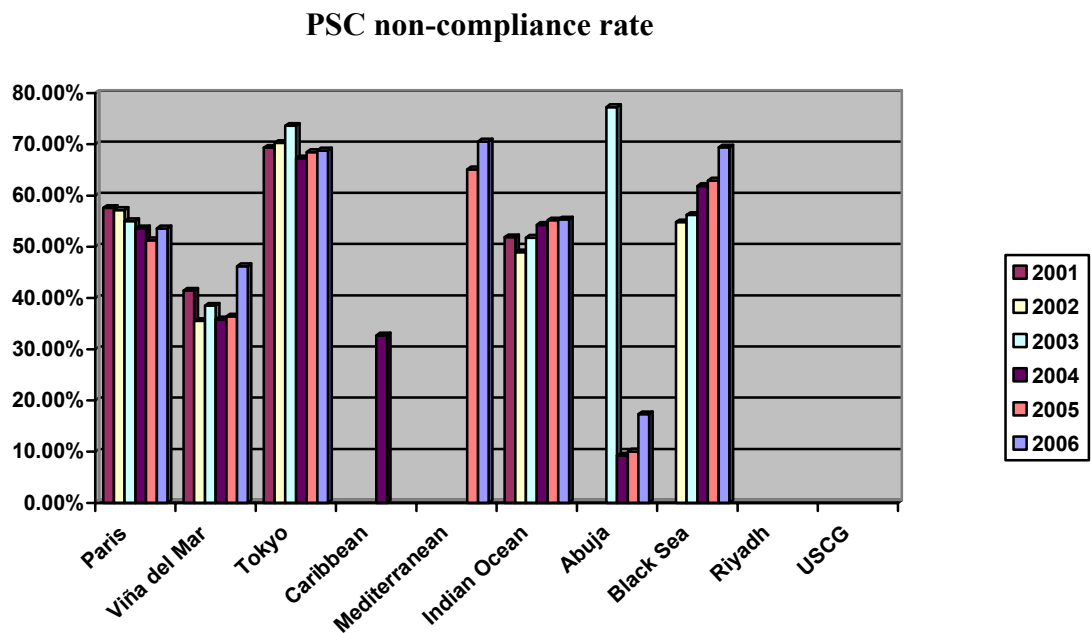
Source: Annual reports of regional PSC MoUs/Agreement and United States Coast Guard

⁵ United States Coast Guard data for 2005 and 2006 incorporates separate safety and security inspections.

Indicator 12: PSC non-compliance rate

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

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



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

Indicator 13: Fraudulent certificates

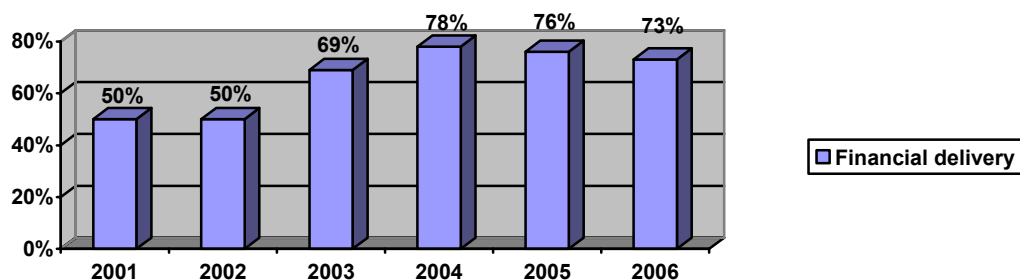
Definition: Number of fraudulent certificates and endorsements of any type reported to IMO.

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

Source: IMO Secretariat

Indicator 14: Delivery of technical assistance

Definition: (a) Percentage of planned activities delivered.



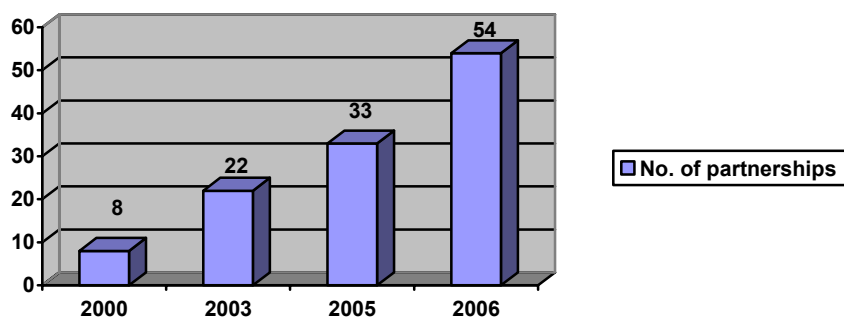
Source: IMO Secretariat (C 97/3(a) and TC 57/3)

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

	2005		2006	
Total activities planned, of which:	137	100%	173	100%
Activities delivered	124	91%	141	81%
Activities pending	13	9%	32	19%
Total activities delivered, of which:	177	100%	167	100%
Planned activities	124	70%	141	84%
Un-planned activities	53	30%	26	16%

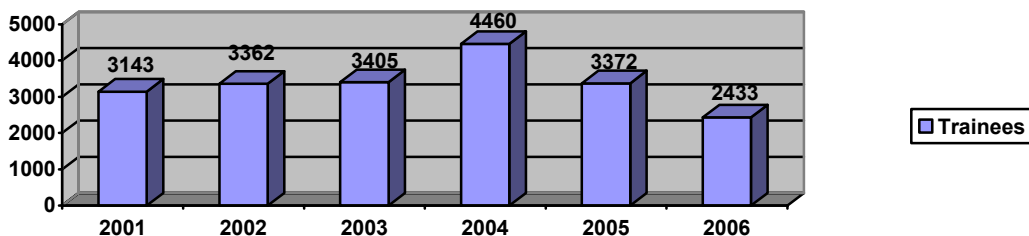
Source: IMO Secretariat (C 97/3(a) and TC 57/3)

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



Source: IMO Secretariat (C 97/3(a) and TC 57/7)

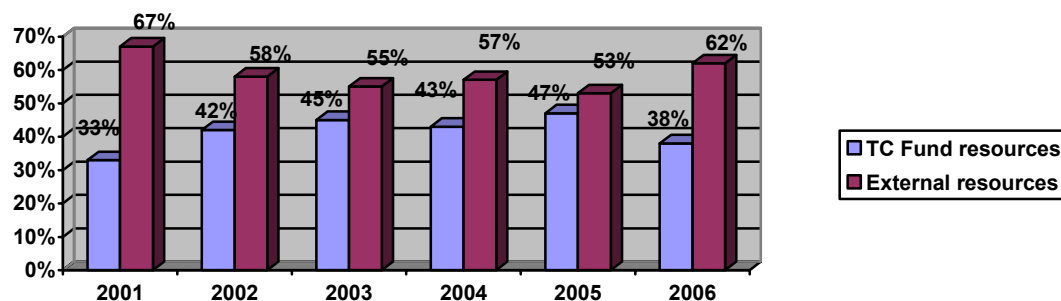
Definition: (d) Number of trainees in IMO institutions and IMO-sponsored workshops.



Source: IMO Secretariat (C 97/3(a) and TC 57/3)

Indicator 15: Sustainability of ITCP

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



Source: IMO Secretariat (C 97/3(a) and TC 57/3/Add.1)

Indicator 16: Cycle time

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

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

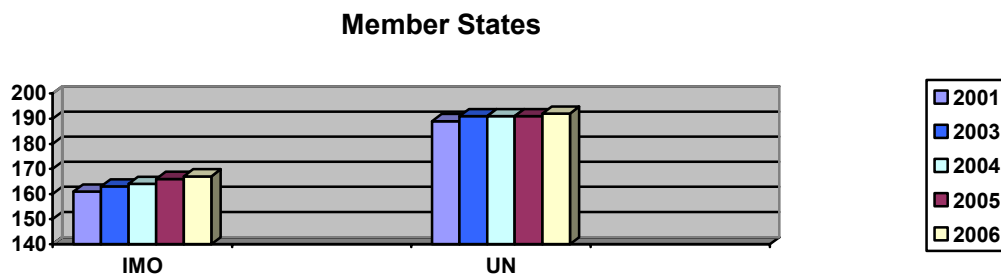
Source: IMO Secretariat

The table above does not include the Nairobi International Convention on the Removal of Wrecks, 2007, the development of which spanned a period of some 35 years (including considerable periods of time during which consideration of the subject was repeatedly postponed). Therefore, adding that instrument to the table would unduly distort the average cycle time.

CWGSP 6 recommended that the average cycle time to develop new IMO instruments be benchmarked against that of other regulatory agencies of the UN System. This is currently being explored, with a view to providing comparative data in the next iterations of the present document.

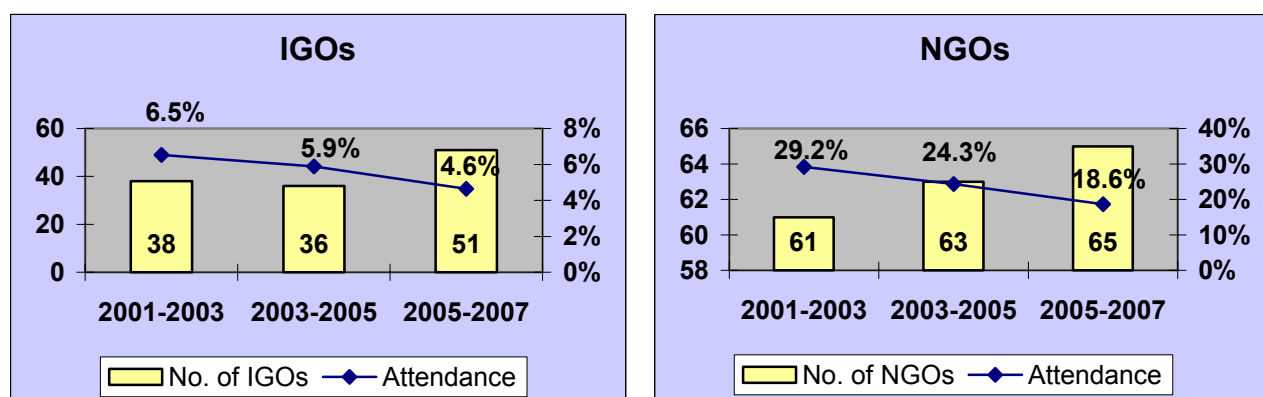
Indicator 17: IMO's role

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



Source: UN and IMO Secretariats

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



Source: IMO Secretariat⁶

Indicator 18: Goal-based standards

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

Following the decision of the Maritime Safety Committee (MSC) at its eighty-first session (May 2006) to split the work on goal-based new ship construction standards into two items to be dealt with separately but in parallel (i.e., the prescriptive approach for GBS for hull construction of bulk carriers and oil tankers and the safety level approach for all other ship types), substantial progress was made at MSC 82 (November/December 2006).

Regarding GBS for bulk carriers and oil tankers, the MSC confirmed their five-tier structure: goals (Tier I), functional requirements (Tier II), verification of compliance (Tier III), technical procedures and guidelines, classification rules and industry standards (Tier IV) and codes of practice and safety and quality systems for shipbuilding, ship operation, maintenance, training, manning, etc. (Tier V), with IMO's work consisting of developing Tiers I, II and III.

⁶ Data on IGO and NGO participation in IMO meetings is at present collated on a biennial basis only.

Tier I goals and Tier II functional requirements, including a new requirement on human element considerations, have been agreed with the proviso that they might need to be adjusted following completion of Tier III (verification of compliance).

Concerning Tier III, MSC 82 approved a pilot project using the IACS Common Structural Rules (CSR), with the objective of conducting a trial application of the GBS Tier III evaluation process for oil tankers and bulk carriers in order to validate the Tier III verification framework, identify shortcomings and make proposals for improvement. The Pilot Panel has completed its work and its report (MSC 83/5/1) will be considered at MSC 83 (October 2007).

A correspondence group was established to monitor the pilot project; disseminate information on its progress; and develop draft SOLAS amendments for the incorporation of GBS for oil tankers and bulk carriers in chapter II-1 of the SOLAS Convention, including provisions concerning a Ship Construction File (SCF), which was finalized at MSC 82. The report of the group (MSC 83/5/2) will be considered at MSC 83.

With regard to the safety level approach for all other ship types, MSC 82 agreed on a list of items to be included in a provisional long-term work plan for the development of GBS based on the safety level approach, and established a second correspondence group to progress work on determining the current safety level in a holistic high-level manner, divided by ship types, in order to develop Tier I goals. The report of the group (MSC 83/5/3) will be considered at MSC 83.

Indicator 19: Work of other UN bodies

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

Document CWGSP 7/4 provides information on policy input provided by several IMO organs to the work of other UN bodies and international organizations (see in particular the outputs produced during the 2006-2007 biennium in connection with High-level Action 1.1.2). The UN bodies concerned include the Basel Convention, FAO, IAEA, ICAO, ILO, ITU, UN, UNCEFACT, UNECE, UNHCR, UNODC, WCO, WHO and WMO.

Given that this is a new PI, the Secretariat does not yet maintain, in an appropriate database, details of how IMO's policy input and advice was duly assimilated by the UN bodies in question. This will be further explored with a view to providing relevant data in the next iterations of the present document.

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

Group composition	Topics
GESAMP (IMO/FAO/UNESCO-IOC/WMO/IAEA/UN/UNEP/UNIDO)	Scientific aspects of marine environmental protection
GESAMP-BWWG (as above)	Use of active substances for ballast water management
GESAMP-EHS (as above)	Evaluation of hazards of chemical substances carried by ships
IMO/FAO	IUU fishing
IMO/ICAO	Harmonization of aeronautical and maritime SAR
IMO/ILO	Fair treatment of seafarers in the event of an accident
IMO/ILO	Liability and compensation regarding claims for death, personal injury and abandonment of seafarers
IMO/ILO/Basel Convention	Ship scrapping
IMO/ITU	Maritime radiocommunications

Source: IMO Secretariat

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

FAO	UNEP (NOWPAP-MER-RAC)
GEF	UNEP-OCHA
IAEA	UNIDO
ILO	UNOPS
UN	UNWTO
UNDP	UN Atlas of the Oceans (CBD, FAO, IAEA, ISA, UN, UNEP, UNESCO-IOC, UNF, WMO)
UNEP	World Bank
UNEP (CAR-RCU)	

Source: IMO Secretariat

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

GEF (4)	UNOPS (1)
UNEP (3)	World Bank (1)
UNIDO (1)	

Source: IMO Secretariat

Indicator 20: [Facilitation of international maritime traffic] [Efficiency of shipping]

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

Number	Percentage (of 167 Members)
111	66.5%

Source: IMO Secretariat

Definition: (b) Number and percentage of Contracting Parties to the FAL Convention that register differences to the Standards they have adopted.

See commentary under PI 20(c).

Definition: (c) Number and percentage of Contracting Parties to the FAL Convention that register differences to the Recommended Practices.

FAL 34 (March 2007) noted that the information provided by Contracting Governments to the Secretary-General, pursuant to the provisions of article VIII of the FAL Convention, is out of date and, in some cases, appears to refer to provisions that no longer exist. As a result, and as part of the work on the review of those Standards to which differences have been registered and of Recommended Practices that are not followed, the FAL Committee invited Contracting Governments to submit accurate information and up to date information. This will be reviewed at FAL 35 (September 2008) and, consequently, it will then be possible to generate the data for indicators 20(a) and 20(b) above.

ANNEX 2

ANALYSIS OF PERFORMANCE DATA

GENERAL

1 The 13 strategic directions of the Organization's Strategic Plan are set out in boxes, below, under the agreed three broad categories. Each strategic direction is monitored periodically against various combinations of the approved performance indicators.

2 The analysis contained in this annex is based on, and should be read in conjunction with, the updated information on each indicator set out in annex 1 to this document. After each strategic direction, there follows: (a) annotated tables on the related performance indicators; (b) an analysis of performance against that particular strategic direction and, where appropriate, comments on the effectiveness of the performance indicators in monitoring progress.

BROAD CATEGORY: ENHANCING THE STATUS AND EFFECTIVENESS OF IMO**Strategic Direction 1**

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

- .1 further develop its role in maritime affairs *vis-à-vis* other intergovernmental organizations, so as to be able to deal effectively and comprehensively with complex cross-agency issues;
- .2 actively engage the various stakeholders – new and existing – in the shipping arena, including non-governmental organizations, industry and the public in general, to ensure a more inclusive approach to decision-making; and
- .3 actively seek to reap synergies and avoid duplication of efforts made by other UN agencies in shipping matters.

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

	Indicator	Base data	2007	
1	Accession to conventions	See annex 1	See annex 1	
2	Entry into force (% not yet in force)	20% as at 30/06/06	22% as at 31/07/07	
3	(a) Number and percentage of Member States that have volunteered for audit	-	33	19.8%
	(b) Number and percentage of Member States that have been audited	-	13	39.4%
	(c) Number and percentage of Member States that have nominated auditors	-	37	22.2%
	(d) Number and percentage of nominated auditors that have carried out audits	-	33	35.5%
	(e) Number of technical assistance activities carried out following audits	-	-	-

16	Cycle time		Base data	Average			
		(a) OPRC/HNS Protocol	6 years	4.5 years			
		(b) Bunkers Convention	4.5 years				
		(c) AFS Convention	2 years				
		(d) Athens Protocol 2002	5 years				
		(e) Fund Protocol 2003	2.5 years				
		(f) BWB Convention	6.5 years				
(g) SUA Convention and Protocol	3.5 years						
17	(a) Size of IMO membership compared to UN membership	<u>2001</u>	<u>2003</u>	<u>2004</u>	<u>2005</u>	<u>2006</u>	
		85%	85%	86%	87%	87%	
	(b) Level of participation of IGOs and approved NGOs at IMO meetings	<u>2001-2003</u>	<u>2003-2005</u>	<u>2005-2007</u>			
		IGOs	6.5%	5.9%	4.6%		
		NGOs	29.2%	24.3%	18.6%		
19	(a) Incorporation of policy input provided by IMO organs	Base data			2007		
		-			See annex 1		
	(b) Number of joint working groups established	-			9		
	(c) Number of partnerships established	-			15		
(d) Number of joint technical co-operation programmes	-			10			

Analysis

3 The related performance indicators continue to demonstrate that the status and effectiveness of IMO is being enhanced, as evidenced by the positive trend of accessions to conventions (PI No.1) and their entry into force (PI No.2) – the latter shows a slight rise in the percentage of conventions not yet in force, owing to the adoption of the Nairobi Wreck Removal Convention in May 2007. On the basis of the data presented the trend for cycle time (PI No.16) remains at an average of 4 to 4.5 years to develop major IMO instruments. However, as discussed at CWGSP 6, the indicator is limited and can be misleading if the time taken to undertake major Convention revisions were also to be included. In this respect, significant work on amending several IMO instruments resulted, during the current biennium, in the entry into force of earlier amendments (e.g., SOLAS chapter XII, MARPOL Annexes I and II, treatment of persons rescued at sea (SOLAS and SAR), electronic data exchange (FAL)); the adoption of new amendments (e.g., MARPOL Annex III, LC amendments on the storage of CO₂ in the seabed, and SOLAS amendments on LRIT, passenger ship safety, fire regulations for balconies, prevention of accidents involving liferafts, a performance standard for protective coatings); or the start of preparation of future amendments (e.g., MARPOL Annexes V and VI, NOx Technical Code, STCW and STCW Code).

4 Data for the Voluntary IMO Member State Audit Scheme is presented in the above table for the first time and shows a promising initial uptake of the Scheme, both in terms of the number of Members volunteering and nominating auditors and the carrying out of audits by the Secretariat with nominated auditors. While there is, at present, no instance of technical assistance being delivered to a Member State specifically as a result of its audit, support has been provided throughout the world for the training of auditors and, in some cases, for audit preparations.

5 IMO's role as the primary international forum is being maintained, as evidenced by the steadily increasing membership (PI No.17(a)), as a percentage of membership in the United Nations. The Organization's active engagement with intergovernmental and non-governmental organizations (IGOs and NGOs) shows a decreasing trend (PI No.17(b)), which might be interpreted as being a reduction in the Organization's status and effectiveness, particularly if the trend continues. It appears, however, that this is a statistical anomaly because,

as the number of IGOs and NGOs grows, there is a consequent reduction in their average attendance records.

6 Engagement with the industry and civil society has also been maintained, particularly in the context of: (a) the awareness-raising activities of the ITCP, which serve to brief wider audiences on IMO's regulatory work and, thereby, facilitate informed participation in that process, in particular, by the developing countries; (b) mobilization of resources from industry and civil society (e.g., new partnerships with Interferry and the International Ocean Institute, ongoing preparations for the launch of the GloBallast Industry Alliance); and (c) enhancing the image of shipping, as a sector that contributes fundamentally to society's wellbeing, thereby raising the public's awareness of shipping's beneficial role and its environmental consciousness (e.g., activities surrounding the celebration of the World Maritime Day themes). In respect of the latter, the theme for 2007 ("IMO's response to current environmental challenges") has been the subject of a dedicated action plan conceived and implemented by the Secretariat throughout 2007, which includes joint activities with industry and civil society (e.g., joint leaflets with the Round Table organizations and with INTERMEPA). In the same context of fostering a more inclusive approach, particularly with respect to decision-making, mention may also be made of the expansion of the Council's membership and its emerging use of working groups open to all Member States.

7 Finally, the data on work of other UN bodies (PI No.19), which is also provided for the first time, shows that there is significant IMO coordination and engagement with several sister entities in terms of the formal provision of policy input and joint undertakings at both the regulatory and technical assistance levels. While there is no baseline data with which to compare, the Secretariat considers that IMO's engagement with UN bodies is on the increase, in terms of frequency, the number of bodies and the variety of subject matters (e.g., joint actions through the machinery of the Chief Executives Board for Coordination, greater engagement with the UN Security Council and Secretary-General, revitalization of GESAMP, top award at the UN Documentary Film Festival for the IMO film "Invaders of the Sea").

Strategic Direction 2

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

The related performance indicators are: 1, 2, 3 and 14

	Indicator	Base data	2007	
1	Accession to conventions	See annex 1	See annex 1	
2	Entry into force (% not yet in force)	20% as at 30/06/06	22% as at 31/07/07	
3	(a) Number and percentage of Member States that have volunteered for audit	-	33	19.8%
	(b) Number and percentage of Member States that have been audited	-	13	39.4%
	(c) Number and percentage of Member States that have nominated auditors	-	37	22.2%
	(d) Number and percentage of nominated auditors that have carried out audits	-	33	35.5%
	(e) Number of technical assistance activities carried out following audits	-	-	-

14	Delivery of technical assistance	Base data		2006	
	(a) Percentage of planned activities delivered	50% (in 2001)		73%	
	(b) Activities delivered: planned and unplanned percentages	(in 2005)			
	Planned	137	100%	173	100%
	Delivered	124	91%	141	81%
	Pending	13	9%	32	19%
	Delivered	177	100%	167	100%
Planned	124	70%	141	84%	
Un-planned	53	30%	26	16%	
(c) Number of partnerships with Governments, organizations and industry	8 (in 2000)		54		
(d) Number of trainees in IMO institutions and IMO-sponsored workshops	3,143 (in 2001)		3,372		

Analysis

8 As noted above, the performance indicators on accessions and entry into force (PI Nos.1 and 2) demonstrate the enhanced status and effectiveness of IMO's regulatory work and the new data on the IMO Audit Scheme (PI No.3), with the addition of the continuing positive trends in technical assistance (PI No.14(a) to (d)), suggests that IMO is fostering global compliance of its instruments and promoting their uniform implementation, which is, of course, the very purpose of the Organization's Strategic and High-level Action Plans and the mission statement of the ITCP, as set out in resolution A.901(21).

Strategic Direction 3

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

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

The related performance indicators are: 1, 14 and 15

Performance Indicator		Base data		2007	
1	Accession to Conventions	See annex 1		See annex 1	
14	Delivery of technical assistance	Base data		2006	
	(a) Percentage of planned activities delivered	50% (in 2001)		73%	
	(b) Activities delivered: planned and unplanned percentages	(in 2005)			
	Planned	137	100%	173	100%
	Delivered	124	91%	141	81%
	Pending	13	9%	32	19%
	Delivered	177	100%	167	100%
Planned	124	70%	141	84%	
Un-planned	53	30%	26	16%	
(c) Number of partnerships with Governments, organizations and industry	8 (in 2000)		54		

	(d) Number of trainees in IMO institutions and IMO-sponsored workshops	3,143 (in 2001)	3,372
15	Proportion of funding from donor sources and internal sources	(in 2001)	
	TC Fund	33%	38%
	External	67%	62%

Analysis

9 The technical co-operation performance indicators (PI No.14(a) to (d)) continue to demonstrate a sustained upward trend in the delivery of technical assistance activities, with the biennium 2004-2005 showing the 'best ever' outturn in terms of expenditure. And while the total number of delivered activities dropped slightly in 2006, the percentage of those that were planned in advance rose to 84%, with unplanned activities standing at 16% and representing the Organization's response to emerging needs. A salutary development is the increase in the percentage of funding from external sources (PI No.15), from 53% in 2005 to 62% in 2006, reflecting the recent success of the Secretariat's partnership-building efforts (33 in 2005, rising to 54 in 2006) and a possible reversal of earlier trends showing some reliance on internal sources. In this regard, the Technical Co-operation Committee has now finalized its consideration of a mechanism for the long-term financing of the ITCP and has approved a related new strategy. The foregoing, together with the high number of trainees involved in IMO activities and the increase in accessions to conventions (PI No.1), indicates that the strategic objective contained in resolution A.900(21), of strengthening capacity-building programmes, is being addressed.

Strategic Direction 4

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

The related performance indicator is: 16

16	Cycle time		Base data	Average
		(a) OPRC/HNS Protocol	6 years	4.5 years
		(b) Bunkers Convention	4.5 years	
		(c) AFS Convention	2 years	
		(d) Athens Protocol 2002	5 years	
		(e) Fund Protocol 2003	2.5 years	
		(f) BWM Convention	6.5 years	
		(g) SUA Convention and Protocol	3.5 years	

Analysis

10 The related performance indicator (PI No.16) only measures a small percentage of IMO's work – that is, cycle time – and does not provide any meaningful indication of whether this strategic direction is being met. At this stage, more appropriate measures of institutional governance and management may be found in the implementation of the High-level Action Plan and the biennial outputs for the Organization (see, in particular, the report annexed to document CWGSP 7/4), the ongoing work of the Council Risk Review, Management and Reporting Working Group, the delivery of the ITCP (PI No.14), in the audited financial and other data linked to the IMO programme budget and in the reports of the External Auditor. Together, these elements facilitate the measurement of organizational performance against this strategic direction

inasmuch as they demonstrate that, under the policy and strategic direction of the Assembly and the Council (in particular through the vehicles of the Strategic and High-level Action Plans), there is effective production of planned deliverables throughout the Organization, including the delivery of the ITCP, through the prudent utilization of approved appropriations or project budgets resulting in increased capacity-building, internal cost efficiencies, infrastructural improvements, investment in human resource and ICT development and unqualified audit reports.

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

Strategic Direction 5	
IMO's highest priority will be the safety of human life at sea. In particular, greater emphasis will be accorded to:	
.1	ensuring that all systems related to enhancing the safety of human life at sea are adequate, including those concerned with large concentrations of people;
.2	enhancing technical, operational and safety management standards;
.3	eliminating shipping that fails to meet and maintain these standards on a continuous basis; and
.4	increasing the emphasis on the role of the human element in safe shipping.
The related performance indicators are: 3, 4, 5, 11, 12 and 13	

	Indicator	Base data	2007	
3	(a) Number and percentage of Member States that have volunteered for audit	-	33	19.8%
	(b) Number and percentage of Member States that have been audited	-	13	39.4%
	(c) Number and percentage of Member States that have nominated auditors	-	37	22.2%
	(d) Number and percentage of nominated auditors that have carried out audits	-	33	35.5%
	(e) Number of technical assistance activities carried out following audits	-	-	-
4	Lives lost		2001 Base	2006
		No. of lives lost	346	1767
		Ratio of lives lost	0.00004%	0.00011%
5	Ships lost	Ships lost	155	120
		Ratio of ships lost	0.18%	0.13%
11	PSC detention rate	Paris MoU	9.09%	5.44%
		Viña del Mar	3.52%	1.80%
		Tokyo MoU	7.76%	5.40%
		Caribbean MoU	-	-
		Mediterranean MoU	9.25%	17.26%
		Indian Ocean MoU	5.27%	7.92%
		Abuja MoU	-	0.71%
		Black Sea MoU	-	5.56%
		Riyadh MoU	-	-
		United States Coast Guard	2.19%	1.08%

12	PSC non-compliance rate	Paris MoU	57.59%	53.55%
		Viña del Mar	41.44%	46.20%
		Tokyo MoU	69.33%	68.78%
		Caribbean MoU	-	-
		Mediterranean MoU	-	70.52%
		Indian Ocean MoU	51.85%	55.35%
		Abuja MoU	-	17.29%
		Black Sea MoU	-	69.39%
		Riyadh MoU	-	-
		United States Coast Guard	-	-
13	Fraudulent certificates		1359	26

Analysis

11 It is perhaps too early to interpret data related to the implementation of the IMO Audit Scheme in connection with this and, indeed, other strategic directions. However, as the number of States volunteering and being audited grows, this should provide indication that Members are ready to demonstrate publicly the adequacy and robustness of the safety management systems they have put in place to ensure the effective implementation of IMO's global standards.

12 As anticipated in an earlier iteration of this analysis (C 97/3(a)), the number of lives lost in 2006, as a result of several casualties involving passenger and other vessels, was significantly higher than in 2005. Indeed, the relevant performance indicator (PI No.4) shows a distortion in 2006 (as in 2002) of the general trend of continuous reductions, in this case owing to the high number of lives lost resulting from the tragic foundering of the **al-Salaam Boccaccio 98** in the Red Sea in February 2006. That trend can, nevertheless, be detected from the data on ships lost (PI No.5), which has now been disaggregated to show losses for ships above and below 500 GT, in line with the concern of the Secretary-General that "one human life lost at sea is one life lost and one too many, irrespective of where and the circumstances under which this has happened", including the fact that some ships lost may not fall strictly under the Organization's purview.

13 While the general downward trend (despite the occasional spike in the statistics), continues to suggest that the comprehensive framework aimed at safety of life at sea is keeping pace with developments in technology and practice, and that the measures in place and their adaptation to changing needs are assisting the Organization to meet this strategic direction, concern has arisen within the industry, particularly the tanker sector, over an increase in late 2006/early 2007 in accidents such as collisions, stranding or contact – which have, nevertheless, resulted in no significant loss of life, pollution or damage – that may be due to insufficient experience or training or 'technology fatigue' on the part of crews, or factors as yet unidentified. Through efforts led by INTERTANKO in particular, data on such incidents is being pooled by the industry and is being carefully examined, and the results thereof should be closely monitored by IMO with a view to responding appropriately and expeditiously should any improvement be required in the regulatory safety or training regime.

14 The PSC detention rates (PI No.11) also show generally downward trends (with the exception of the data from the Indian Ocean MoU), during a six-year period of rising numbers of inspections. While this might indicate a welcome improvement in the implementation of maritime standards, the fact remains that the PSC non-compliance rate (PI No.12) remains high across most of the PSC regimes that report to IMO and, therefore, the Organization's objective of eliminating shipping that fails to meet and maintain standards does not yet seem to have been achieved, suggesting that more effort needs to be made by flag States on both implementation and maintenance of standards and the need for rigorous, uniform and widespread PSC action

continues. In this respect, the FSI Sub-Committee has now significantly engaged in work related to the harmonization of port State activities, with a view to establishing global PSC benchmarks and practices (including reporting ones) and inter-organizational support.

15 The measure on fraudulent certificates (PI No.13) is inconclusive due to the wide disparity between the 2001 and 2006 figures, showing an average reporting rate over the six-year period of 247.22 fraudulent certificates per annum. Conversely, the five-year average for the period 2002-2006 drops to 25 fraudulent certificates per annum.

Strategic Direction 6

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

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

The related performance indicators are: 6, 7, 11, 12 and 15

	Indicator	Baseline data	2007	
3	(a) Number and percentage of Member States that have volunteered for audit	-	33	19.8%
	(b) Number and percentage of Member States that have been audited	-	13	39.4%
	(c) Number and percentage of Member States that have nominated auditors	-	37	22.2%
	(d) Number and percentage of nominated auditors that have carried out audits	-	33	35.5%
	(e) Number of technical assistance activities carried out following audits	-	-	-
6	Security failures	None	None	
7	Piracy and armed robbery		2001 Base	2006
		No. of acts	370	240
		Lives lost and missing	22	50
11	PSC detention rate	Paris MoU	9.09%	5.44%
		Viña del Mar	3.52%	1.80%
		Tokyo MoU	7.76%	5.40%
		Caribbean MoU	-	-
		Mediterranean MoU	9.25%	17.26%
		Indian Ocean MoU	5.27%	7.92%
		Abuja MoU	-	0.71%
		Black Sea MoU	-	5.56%
		Riyadh MoU	-	-
		United States Coast Guard	2.19%	1.08%

12	PSC non-compliance rate	Paris MoU	57.59%	53.55%
		Viña del Mar	41.44%	46.20%
		Tokyo MoU	69.33%	68.78%
		Caribbean MoU	-	-
		Mediterranean MoU	-	70.52%
		Indian Ocean MoU	51.85%	55.35%
		Abuja MoU	-	17.29%
		Black Sea MoU	-	69.39%
		Riyadh MoU	-	-
		United States Coast Guard	-	-
15	Proportion of funding from donor sources and internal sources			
		TC Fund	33%	38%
		External	67%	62%

Analysis

16 As the number of security failures reported continues to be nil (PI No.6), the Organization can claim that it has been successful in raising awareness of its maritime and port facility security measures and promoting their effective implementation. However, because the supporting data on PSC (PI Nos.11 and 12) does not disaggregate maritime security control and compliance actions from the traditional safety/environmental ones (with the exception of the data provided by the UN Coast Guard), the related trends described in paragraph 14 may not be entirely relevant to this strategic direction.

17 The decreasing trend in the number of acts of piracy and armed robbery (PI No.7) is salutary, but concern remains recent increases in the numbers of lives lost and missing and has grown in respect of the number of ships and crew hijacked, particularly in the waters off the coast of Somalia. The latter incidence prompted the Executive Heads of IMO and WFP to issue a joint communiqué on the subject matter, taking into account the negative impact of such incidents on the provision of humanitarian aid; and the IMO Council authorized the Secretary-General to, once again, bring the matter to the attention of the UN Security Council, through the UN Secretary-General.

Strategic Direction 7

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

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

The related performance indicators are: 8, 9, 10, 11 and 12

Indicator		Baseline data	
		2001	2006
8	Ship-generated water pollution		
	(a) Tonnes of harmful substances discharged (to be developed)	-	-
	(b) Number of spills (all)	19	18
	(c) Ratio of oil discharged into the sea	0.0004%	0.0006%
9	Ship-generated air pollution		
	(a) 3-year rolling average of sulphur content	2.70%	2.66%
	(b) Tonnes of NO _x , SO _x and [CO ₂] (to be developed)	-	-
	(c) Ratio of NO _x and SO _x released (to be developed)	-	-

10	Environmental conscience			
	(a)	Mobilization by IMO of donor funds for environmental programmes	US\$5,310,035	US\$5,667,080
	(b)	Number of projects sponsored, initiated and funded	None	None
	(c)	Number of collaborative agreements with regional groups responding to pollution	7	14
11	PSC detention rate	Paris MoU	9.09%	5.44%
		Viña del Mar	3.52%	1.80%
		Tokyo MoU	7.76%	5.40%
		Caribbean MoU	-	-
		Mediterranean MoU	9.25%	17.26%
		Indian Ocean MoU	5.27%	7.92%
		Abuja MoU	-	0.71%
		Black Sea MoU	-	5.56%
		Riyadh MoU	-	-
		United States Coast Guard	2.19%	1.08%
12	PSC non-compliance rate	Paris MoU	57.59%	53.55%
		Viña del Mar	41.44%	46.20%
		Tokyo MoU	69.33%	68.78%
		Caribbean MoU	-	-
		Mediterranean MoU	-	70.52%
		Indian Ocean MoU	51.85%	55.35%
		Abuja MoU	-	17.29%
		Black Sea MoU	-	69.39%
		Riyadh MoU	-	-
		United States Coast Guard	-	-

Analysis

18 The lack of information necessary to measure performance on ship-generated water pollution (PI No.8(a)) continues to limit the ability to determine accurately whether all elements of this objective are currently being met. The information available from ITOPF on minor oil spills (PI No.8(b)) shows a one-third decrease since 2005 and a rise in larger spills from 3 to 4 in 2006. Meanwhile, the total number of tonnes spilled is so small, in comparison with the number of oil cargoes transported by sea annually, that the resulting ratio was 0.0006% in 2006. While this indicates that IMO's pollution prevention and other measures can be considered to be largely effective, there is still scope for improvement towards a goal of zero pollution.

19 IMO's ability to address the marine environmental protection needs of developing countries, through its technical assistance projects, is now being monitored through an expanded performance indicator (PI No.10(a)), which covers expenditure on the Organization's interventions in this field. The data collated over the period 2001-2006 shows fairly steady access to required funding (some US\$6.1 million per annum), representing an annual average of some 50% of total ITCP expenditure. This demonstrates the significance of marine environment protection as a discipline for IMO's technical assistance activities, which is further augmented by the support received through partnership arrangements with other entities (PI No.10(c)).

20 As in the case of maritime security, the PSC data reported to IMO (PI Nos.11 and 12) does not disaggregate specific environmental non-compliance rates.

Strategic Direction 8

IMO will seek to ensure that measures to promote safe, secure and environmentally sound shipping do not unduly affect the efficiency of shipping. It will also constantly review such measures to ensure their adequacy, effectiveness and relevance, using the best available tools.

The related performance indicators are: 1, 2, 3 and 20

	Indicator	Base data	2006	
1	Accession to conventions	See annex 1	See annex 1	
2	Entry into force (% not yet in force)	20% as at 30/06/06	22% as at 31/07/07	
3	(a) Number and percentage of Member States that have volunteered for audit	-	33	19.8%
	(b) Number and percentage of Member States that have been audited	-	13	39.4%
	(c) Number and percentage of Member States that have nominated auditors	-	37	22.2%
	(d) Number and percentage of nominated auditors that have carried out audits	-	33	35.5%
	(e) Number of technical assistance activities carried out following audits	-	-	-
20	[Facilitation of international maritime traffic] [Efficiency of shipping]	Base data	2007	
	(a) Number and percentage of Member States that are party to the FAL Convention	-	111	66.5%
	(b) Number and percentage of Contracting Parties to the FAL Convention that register differences to the Standards they have adopted	-	-	-
	(c) Number and percentage of Contracting Parties to the FAL Convention that register differences to the Recommended Practices	-	-	-

Analysis

21 As mentioned in an earlier iteration of this analysis (C 97/3(a)), the performance indicators traditionally associated with this strategic direction (i.e., Nos.1, 2 and 3 on accessions, entry into force, implementation and compliance) do not provide any meaningful measure of the effect on efficiency of shipping of related IMO measures. To that end, CWSP 6 considered, and FAL 34 developed, a new indicator that will, in due course, provide an appropriate measure of progress against the strategic direction by demonstrating the number of States that accept and implement effectively the facilitation standards and recommended practices adopted by IMO.

Strategic Direction 9

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

The related performance indicator is: (none)

Analysis

22 As there has been no indicator with which to measure the Organization's performance against this strategic direction, CWSP 6 requested the Technical Co-operation Committee to consider the matter. Accordingly, TC 57 concluded that one is not necessary, in particular because IMO's assistance to SIDS and LDCs would, as of the next biennium, be measurable

through a new ITCP programme dedicate exclusively to those countries, thereby supporting, in part, the achievement of Millennium Development Goal 8 (“Develop a global partnership for development”).

Strategic Direction 10

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

The related performance indicator is: 18

Analysis

23 Significant progress is being made within the MSC on the development of GBS, a work programme item that is now being dealt with through two separate but parallel streams, namely, the prescriptive approach for GBS for hull construction of bulk carriers and oil tankers, and the safety level approach for all other ship types. Progress towards the attainment of this strategic direction is summarized in the section of annex 1 to this document dealing with performance indicator No.18 and further progress, including on the outcome of the pilot project on Tier III verification using the IACS Common Structural Rules, is expected from MSC 83. As this strategic direction is necessarily finite, the time taken to adopt related SOLAS amendments may eventually be compared to cycle time (PI No.16), as an indication of the Organization’s performance in developing, not a treaty instrument, but a discrete package of regulatory measures.

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

Strategic Direction 11

IMO, in partnership with other stakeholders, will seek to raise the profile of the safety, security and environmental records of shipping in the eyes of civil society by:

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

The related performance indicators are: 4(b), 5(b), 6, 7, 8, 10, 11, 14 and 17(b)

	Indicator	2001 Base	2006
4	(b) Ratio of lives lost	0.00004%	0.00011%
5	(b) Ratio of ships lost	0.18%	0.13%
6	Security failures	None	None
7	Piracy and armed robbery		
	(a) Number of acts	370	240
	(b) Lives lost and missing	22	50
8	Ship-generated water pollution		
	(a) Tonnes of harmful substances discharged	-	-
	(b) Number of spills (all)	19	18
	(c) Ratio of oil discharged into the sea	0.0004%	0.0006%
10	Environmental conscience		
	(a) Mobilization by IMO of donor funds for environmental programmes	US\$5,310,035	US\$5,667,080

	(b) Number of projects sponsored, initiated and funded	None		None		
	(c) Number of collaborative agreements with regional groups responding to pollution	7		14		
11	PSC detention rate			2001 Base	2006	
		Paris MoU		9.09%	5.44%	
		Viña del Mar		3.52%	1.80%	
		Tokyo MoU		7.76%	5.40%	
		Caribbean MoU		-	-	
		Mediterranean MoU		9.25%	17.26%	
		Indian Ocean MoU		5.27%	7.92%	
		Abuja MoU		-	0.71%	
		Black Sea MoU		-	5.56%	
		Riyadh MoU		-	-	
United States Coast Guard		2.19%	1.08%			
14	Delivery of technical assistance	Base data		2006		
	(a) Percentage of planned activities delivered	50% (in 2001)		73%		
	(b) Activities delivered: planned and unplanned percentages	(in 2005)				
		Planned	137	100%	173	100%
		Delivered	124	91%	141	81%
		Pending	13	9%	32	19%
Delivered		177	100%	167	100%	
Planned	124	70%	141	84%		
Un-planned	53	30%	26	16%		
(c) Number of partnerships with Governments, organizations and industry	8 (in 2000)		54			
(d) Number of trainees in IMO institutions and IMO-sponsored workshops	3,143 (in 2001)		3,372			
17	(b) Level of participation of IGOs and approved NGOs at IMO meetings	<u>2001-2003</u>	<u>2003-2005</u>	<u>2005-2007</u>		
		IGOs 6.5%	5.9%	4.6%		
		NGOs 29.2%	24.3%	18.6%		

Analysis

24 The performance indicators linked to this strategic direction do not directly measure the Organization's performance in enhancing the profile of the safety, security and environmental records of shipping in the eyes of civil society but do, however, monitor some of the underlying factors that might adversely affect that profile. On that basis, the performance data on lives and ships lost (PI No.4(b)), piracy and armed robbery (PI No.7) and pollution-related issues (PI No.8) – particularly where there are any wide annual variations within the data range – continues to suggest that insufficient is being done to enhance those factors which negatively impact the record of shipping in the eyes of civil society, notwithstanding considerable IMO and industry efforts to counteract such impact. In this respect, it should be noted that the campaign to raise the profile of shipping, which was strengthened through the activities carried out by IMO and the industry in connection with the World Maritime Day theme of 2005 ("International shipping: Carrier of world trade"), continued throughout 2006 and again featured prominently during the activities marking World Maritime Day 2006 ("Technical co-operation: IMO's response to the 2005 World Summit"). It has also been a driver in the commemoration of the

theme for World Maritime Day 2007 (“IMO’s response to current environmental challenges”), one of the purposes of which is to highlight the fact that the international shipping industry has taken on board its corporate social responsibilities in this respect, and is the vehicle that carries 90% of world trade safely, securely, efficiently and at a fraction of the environmental impact and cost of any other mode of bulk transportation. This message has formed a cornerstone of all the activities carried out by the Secretariat throughout 2007 in the context of the action plan it devised to promote the World Maritime Day theme more widely and effectively (see also paragraph 6).

25 In this regard, World Maritime Day is now celebrated by the Organization in a variety of ways. In London, the principal activity is the Secretary-General’s traditional reception for the diplomatic, maritime and wider community, which was celebrated at IMO Headquarters in 2005 and, owing to the latter’s refurbishment, in Banqueting House in 2006 and 2007 upon the offer of the United Kingdom. Special pamphlets on the corresponding themes were produced for these events and also for the first-ever Parallel Events, which were successfully held in Lisbon, Portugal, and Singapore in 2005 and 2006, as part of wider maritime celebrations in both countries, while, in 2007, it is being held in Salvador, Brazil. Over those same years, information was received from several countries on 41 national World Maritime Day celebrations, and 65 congratulatory messages were received by the Secretariat from States, organizations and individuals.

26 The high percentage of ITCP expenditure on environmental projects and the increasing number of collaborative agreements (PI Nos.10(a) and 10(c)), together with the strong performance on delivery of technical assistance (PI No.14) provide a positive indication of IMO working in partnership with others to enhance the underlying factors that affect the profile of shipping.

Strategic Direction 12

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

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

The related performance indicators are: 3, 11 and 12

	Indicator	Baseline data	2007	
3	(a) Number and percentage of Member States that have volunteered for audit	-	33	19.8%
	(b) Number and percentage of Member States that have been audited	-	13	39.4%
	(c) Number and percentage of Member States that have nominated auditors	-	37	22.2%
	(d) Number and percentage of nominated auditors that have carried out audits	-	33	35.5%

	(e) Number of technical assistance activities carried out following audits	-	-	-
11	PSC detention rate		2001 Base	2006
		Paris MoU	9.09%	5.44%
		Viña del Mar	3.52%	1.80%
		Tokyo MoU	7.76%	5.40%
		Caribbean MoU	-	-
		Mediterranean MoU	9.25%	17.26%
		Indian Ocean MoU	5.27%	7.92%
		Abuja MoU	-	0.71%
		Black Sea MoU	-	5.56%
		Riyadh MoU	-	-
		United States Coast Guard	2.19%	1.08%
12	PSC non-compliance rate	Paris MoU	57.59%	53.55%
		Viña del Mar	41.44%	46.20%
		Tokyo MoU	69.33%	68.78%
		Caribbean MoU	-	-
		Mediterranean MoU	-	70.52%
		Indian Ocean MoU	51.85%	55.35%
		Abuja MoU	-	17.29%
		Black Sea MoU	-	69.39%
		Riyadh MoU	-	-
		United States Coast Guard	-	-

Analysis

27 As indicated in paragraph 11 with respect to strategic direction 5, it is perhaps too early to interpret data related to the implementation of the IMO Audit Scheme in connection with this direction also. However, as the number of States volunteering and being audited grows, this should provide indication that Members are indeed accepting their responsibilities for safe, secure and environmentally sound shipping and for promoting and enhancing access to related information, including to the outcome of their audits.

28 On the other hand, it remains unclear from the PSC data whether the Organization is meeting its objective of taking the lead in enhancing the quality of shipping, which is, *inter alia*, a measure of compliance with international standards. Nonetheless, as the data shows a generally declining PSC detention rate, it could be assumed that overall quality, as a measure of compliance with international standards, is improving, notwithstanding the high PSC non-compliance rates.

29 The current High-level Action Plan provides for four outputs against the five high-level actions associated with this strategic direction and the status of such outputs is provided in document CWGSP 7/4. This shows that amendments to the FSA Guidelines have been approved during the current biennium; a casualty analysis procedure was equally approved; the group of experts on the impact and effectiveness of the ISM Code has now reported and the outcome of its work is being examined by the MSC/MEPC Working Group on Human Element; and amendments to the ISM Code (at present, unrelated to the foregoing study) and to the guidelines for its implementation (resolution A.913(22)) are to be prepared by the FSI Sub-Committee during the next biennium. In other words, IMO continues to make active use of and maintain FSA techniques, risk-based tools and its human element work for the purposes of developing and enhancing the highest practicable standards and quality management in shipping.

30 Additionally, the continuing development of GISIS, five modules of which are now available online, with some ten further modules close to completion or under development, provides a measure of the Organization's commitment to and progress towards transparency. In this regard, the Secretariat fully expects data availability and analysis to be further enhanced through the appointment of a statistician and its continuing development of a strategic vision for GISIS, in the context of a holistic organizational policy on knowledge management.

Strategic Direction 13

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

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

The related performance indicators are: 10, 11 and 12

	Indicator	2000 Base	2006	
10	Environmental conscience			
	(a) Mobilization by IMO of donor funds for environmental programmes	US\$5,310,035	US\$5,667,080	
	(b) Number of projects sponsored, initiated and funded	None	None	
	(c) Number of collaborative agreements with regional groups responding to pollution	7	14	
11	PSC detention rate		2001 Base	2006
		Paris MoU	9.09%	5.44%
		Viña del Mar	3.52%	1.80%
		Tokyo MoU	7.76%	5.40%
		Caribbean MoU	-	-
		Mediterranean MoU	9.25%	17.26%
		Indian Ocean MoU	5.27%	7.92%
		Abuja MoU	-	0.71%
		Black Sea MoU	-	5.56%
		Riyadh MoU	-	-
		United States Coast Guard	2.19%	1.08%
12	PSC non-compliance rate	Paris MoU	57.59%	53.55%
		Viña del Mar	41.44%	46.20%
		Tokyo MoU	69.33%	68.78%
		Caribbean MoU	-	-
		Mediterranean MoU	-	70.52%
		Indian Ocean MoU	51.85%	55.35%
		Abuja MoU	-	17.29%
		Black Sea MoU	-	69.39%
		Riyadh MoU	-	-
		United States Coast Guard	-	-

Analysis

31 The indicators on environmental conscience (PI No.10(a) to (c)) and, particularly, the new definition mobilization of funds, provide positive indication of performance against this strategic direction, as do the activities carried out to date in relation to the campaign to raise the

profile of shipping (see paragraphs 6 and 24). It should be noted, however, that only one of the three activities listed under this strategic direction has a specific high-level action and an output ascribed to it under the High-level Action Plan and this concerns the transparency of data and the related development of GISIS, which is progressing well (see paragraph 30). The data from the performance indicators on PSC (PI Nos.11 and 12) is, again, inconclusive because it does not disaggregate control actions related to marine environment protection from which to determine the level of compliance with environmental standards and, thereby, gauge whether environmental conscience within the shipping community is being enhanced.

32 It may, however, be said that the Organization's work, through intergovernmental bodies engaged in developing global standards and capacity for safe, secure and efficient shipping on clean oceans, is, nowadays, very much focused on enhancing environmental consciousness, in particular because of the increasingly clear and accepted connections between safety and security, on one hand, and marine environment protection, on the other (e.g., improvements in maritime safety and security benefit the marine environment by reducing the risks of pollution); or between safety, security, environmental protection and facilitation, on one hand, and sustainable development and the achievement of the Millennium Development Goals, on the other (e.g., as demonstrated by TC 57 in confirming the linkage between the ITCP and the MDGs).

Conclusion

33 The measurement of the Organization's performance against its strategic directions is, ostensibly, through the performance indicators of the Strategic Plan. At present, some of the indicators may not relate closely enough to the specific directions, or may not provide sufficiently disaggregated information from which to draw robust conclusions and take strategic decisions.

34 However, the majority of the performance indicators are external ones, in the sense that most of them measure the activities of others. Therefore, as indicated in the cover note to this document, a more comprehensive measurement of the Organization's performance against the agreed strategic directions may be facilitated by also taking into account the delivery of the Organization's biennial priorities, which is shown in document CWGSP 7/4 and covers the various regulatory, managerial, technical assistance and promotional activities of IMO.

35 Coupled with the collection of data as set out in annex 1 of this document, the foregoing additional information provides a more detailed picture of the Organization's performance and should be used for internal management, policy-making and planning purposes. In due course, further use of the reporting functions of the ERP system should facilitate the linking of the strategic directions in the Strategic Plan, the activities in the High-level Action Plan, the outputs achieved by the Committees and the Secretariat and the resources used to achieve them.