



AD HOC COUNCIL WORKING GROUP ON
THE ORGANIZATION'S STRATEGIC
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ANY OTHER BUSINESS

Assessment of proposals for new work programme items against the Strategic Plan and the High-level Action Plan

Submitted by Australia, the Netherlands, Singapore, Sweden and the United Kingdom

SUMMARY

Executive summary: This document proposes a set of basic principles for the assessment of proposals for new work programme items against the Strategic Plan and the High-level Action Plan of the Organization, and includes a tentative inventory of consequential modifications to the Guidelines on the Organization and Method of Work of the Committees and their subsidiary bodies

Action to be taken: Paragraph 15

Related documents: C 98/3(a); MSC 83/24; and MSC-MEPC.1/Circ.1

Introduction

1 The Strategic Plan (for a six-year period), together with the High-level Action Plan establishing high-level actions and planned outputs for a current biennium, provides the framework for activities by and within the Organization. The two documents should provide leadership and direction for the planning and delivery of the work of the Committees and their subsidiary bodies, as well as that of the Secretariat, and the budget of the Organization.

2 In order to deliver the planned outputs for a current biennium, as established by the High-level Action Plan, it is essential to keep (possible) deviations from the Plan under control. Acceptance of proposals for new work programme items should not unnecessarily interfere with the delivery of the High-level Action Plan, which is one reason why such proposals need careful consideration before their acceptance by a Committee.

3 This document contains recommendations for the assessment of proposals for new work programme items against the Strategic Plan and the High-level Action Plan of the Organization, and includes tentative suggestions for consequential modifications to the Guidelines on the Organization and Method of Work of the Committees and their subsidiary bodies.

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Proposals for new work programme items; present assessment criteria and procedure

4 For the MSC and the MEPC and their subsidiary bodies, MSC-MEPC.1/Circ.1 (Guidelines on the Organization and Method of Work of the Maritime Safety Committee and the Marine Environment Committee and their subsidiary bodies) sets out the criteria and procedure for submission, assessment and acceptance of proposals for new work programme items. Paragraphs 2.10 and 2.11 of that Circular include the considerations that should be taken into account before deciding to include a new item in the work programme of an IMO body. However, the second consideration under paragraph 2.10 only asks whether the subject addressed by the proposed new work programme item can be considered to be within the scope of IMO's objectives and the Strategic Plan for the Organization.

5 It is the firm opinion of the Member Governments co-sponsoring this submission that proper control of the work programme and planned outputs requires a more substantial and fundamental consideration and assessment of proposals for new work programme items. It is also their firm opinion that such a requirement should not be limited to the Maritime Safety Committee and the Marine Environment Protection Committee, but should also be included in the methods of work of the Facilitation, Legal and Technical Co-operation Committees¹. As such, adoption of the proposals contained in this document would underline the importance of strategic planning within the Organization and their implementation would mark a further important step in the strategic planning process. Furthermore, their adoption and implementation would considerably improve the management of the workload of the Committees and Sub-Committees.

Proposals for new work programme items; proposed new assessment procedure

6 In the context of the Strategic Plan and the High-level Action Plan of the Organization, proposals for new work programme items may be categorized as follows:

- A the proposal demonstrably contributes to the delivery of the high-level actions and planned outputs for the current biennium;
- B the proposal does *not* contribute to the delivery of the high-level actions and planned outputs for the current biennium, but involves the exercising of functions conferred upon a Committee by or under any international convention or related instrument; and
- C the proposal does *not* contribute to the delivery of the high-level actions and planned outputs for the current biennium, and does *not* involve the exercising of functions conferred upon a Committee by or under any international convention or related instrument.

Within this latter category, the following sub-categories may be distinguished:

- .1 the proposal is demonstrably within the scope of the current Strategic Plan; and
- .2 the proposal is *not* within the scope of the current Strategic Plan.

For each category above, proposals for related assessment criteria and procedures have been specified in paragraphs 7 to 10 below. The proposals have also been summarized in the flow diagram at annex 1 to this document.

¹ References given to MSC-MEPC.1/Circ.1 in paragraphs 6 to 12 are examples only; the processes described in paragraphs 6 to 12 and in annex 1 should apply for all Committees.

7 After proper demonstration that the proposal contributes to the delivery of the high-level actions and planned outputs for the current biennium, and after further consideration in accordance with paragraphs 2.10 and 2.11 of MSC-MEPC.1/Circ.1, a Committee may accept proposals for new work programme items under **Category A** for inclusion in the work programme for the *current* biennium. The Committee should consider and decide on the target completion date, on the related planned output for that biennium, and on the implications for the present workload and planning of the Sub-Committee(s) involved. If the implications for the present workload and planning are considered to be unacceptable, the Committee should prioritize the work programme for the current biennium.

8 After proper demonstration that the proposal involves the exercising of functions conferred upon the Committee by or under any international convention or related instrument, and after further consideration in accordance with paragraphs 2.10 and 2.11 of MSC-MEPC.1/Circ.1, a Committee may accept proposals for new work programme items under **Category B** for inclusion in the work programme for the *current* biennium. The Committee should consider and decide on the target completion date, on the related planned output for the biennium, and on the implications for the present workload and planning of the Sub-Committee(s) involved. If the implications for the present workload and planning are considered to be unacceptable, the Committee should decide either to accept the proposal for inclusion in the work programme for the *next* biennium or to prioritize the work programme for the current biennium.

9 After proper demonstration that the proposal is within the scope of the current Strategic Plan, and after further consideration in accordance with paragraphs 2.10 and 2.11 of MSC-MEPC.1/Circ.1, a Committee may accept proposals for new work programme items under **Category C.1** for inclusion in the work programme for the *next* biennium. Subsequently, the Committee should include the item, together with the related planned output, in its proposals to the Council for the work programme of the next biennium.

10 Committees should *not* accept proposals for new work programme items under **Category C.2**. They may, however, invite the proposing Member State(s) to submit their proposals to the Council, including a substantiated proposal for adjustment of the Strategic Plan.

11 Committees are responsible for the assessment of proposals for new work programme items and for the consequential processes, as described above. In their regular reports to the Council, the Committees should report on the outcomes of their consideration and assessment of proposals for new work programme items, in order to facilitate the monitoring of the delivery of the current work programme and the planning of the future work programme by the Council.

12 The present paragraph 2.20 of MSC-MEPC.1/Circ.1 establishes a procedure for the preliminary assessment of proposals for new work programme items. The paragraph states that, in order to facilitate consideration by a Committee, the Chairman of the Committee concerned should, with the support of the Secretariat, undertake a preliminary assessment of whether each new work programme item complies with the criteria for general acceptance (paragraph 2.10 of the Circular) and assign preliminary priorities to new work programme items according to paragraphs 2.14 to 2.16 of the Circular. Since the assessment of proposals under **Categories A and B** includes proper consideration of implications for the present workload and planning and for the possible establishment of priorities, the Committee Chairman concerned should consult the Chairmen of the Sub-Committee(s) involved in the proposed new work programme item.

Consequential modifications to the Guidelines for the Organization and Method of Work

13 Once accepted, the proposed new assessment criteria and procedures for new work programme items, as specified in paragraphs 6 to 12 above, should be translated and further developed in the Guidelines for the Organization and Method of Work of the Committees and their subsidiary bodies. Annex 2 to this document provides a global, tentative inventory of consequential modifications to MSC-MEPC.1/Circ.1. Similar modifications would apply for the corresponding Guidelines of other Committees.

14 Following modification of the Committees' Guidelines, as outlined in annex 2, proper implementation of the proposals would also require:

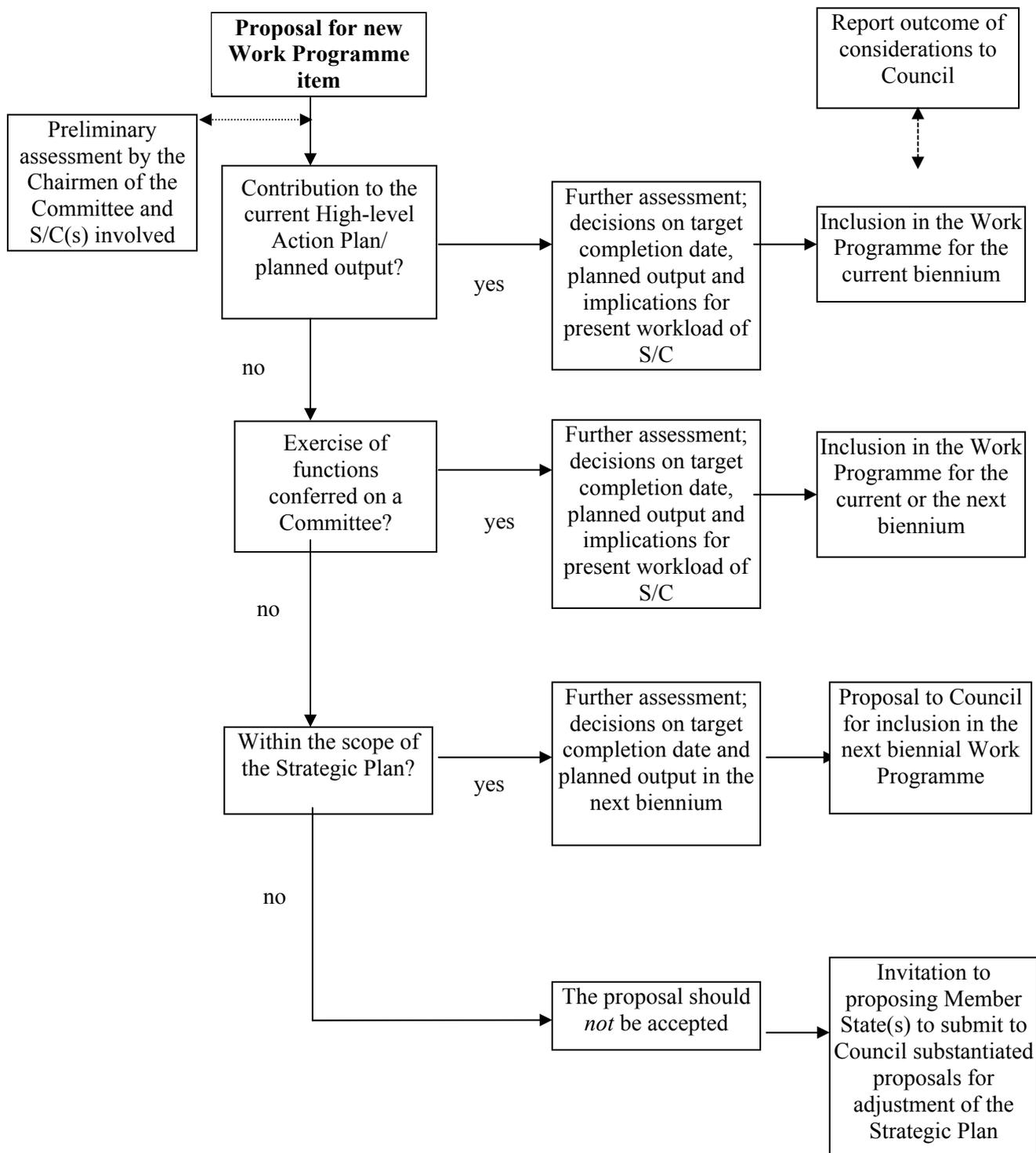
- .1 the review and consequential modification of the format presently used in the preliminary assessment of proposals for new work programme items, in order to take account of the basic questions related to the Strategic Plan and the High-level Action Plan (paragraphs 6 to 10 above); and
- .2 the review and consequential modification of the formats presently used for the establishment of the Work Programmes for Sub-committees, aligning these formats methodically with the principles of the Strategic Plan and the High-level Action Plan, in order to make those formats instrumental in the strategic planning process of the Organization.

Action requested of the Working Group

15 The Working Group is invited to consider the proposals in this document and decide as appropriate.

ANNEX 1

**PROPOSALS FOR NEW WORK PROGRAMME ITEMS:
FLOW DIAGRAM FOR PROPOSED NEW PROCEDURE**



ANNEX 2

**TENTATIVE INVENTORY OF CONSEQUENTIAL MODIFICATIONS TO THE GUIDELINES
ON THE ORGANIZATION AND METHOD OF WORK OF THE MARITIME SAFETY
COMMITTEE AND THE MARINE ENVIRONMENT PROTECTION COMMITTEE AND
THEIR SUBSIDIARY BODIES (MSC-MEPC.1/Circ.1)**

Paragraph	Consequential modifications	Remarks
1.1 to 2.8		Consideration may be given to further strengthening the relevance of the strategic planning process in these paragraphs of the Guidelines
2.9	To be revised in connection with the strategic planning process and the proposed new procedure	Priorities should be established in accordance with the Strategic Plan (SP) and High-level Action Plan (HLAP); see 2.14
2.10	To be revised in connection with the strategic planning process and the proposed new procedure	Considerations related to the SP and HLAP should be placed in front
2.11	To be revised in connection with, and consequential to, 2.10	Requirements for the submission of proposals should be reviewed in connection with paragraphs 2.21 to 2.23
2.12 – 2.13	To be retained	Consideration may be given to further specifying the action that is expected of the Sub-Committee, i.e., to (only) consider the feasibility of the proposal and identify possible alternatives
2.14	To be revised in connection with the strategic planning process and the proposed new procedure	Priorities should be established in accordance with the SP and HLAP. The general idea of assigning high/low priorities on the basis of the criteria in paragraph 2.14 should be reviewed, and may well prove to be obsolete in view of the proposed new procedure
2.15 – 2.16	To be retained	Consideration may be given to criteria or procedures for addressing actions identified as “urgent matters”, as referred to in paragraph 2.15
2.17	To be revised in connection with the strategic planning process and the proposed new procedure	Consideration may be given to criteria or procedures for addressing “initiatives that cannot be foreseen”, as referred to in this paragraph
2.18 – 2.19	To be revised in connection with the strategic planning process and the proposed new procedure	Target completion dates should be consistent with planned outputs in the HLAP
2.20	To be revised in connection with the strategic planning process and the proposed new procedure	Involvement of Chairmen of Sub-Committees (see paragraph 12 of the cover note); modification of preliminary assessment format (see paragraph 14.1 of the cover note)
2.21 – 2.23	To be revised as a consequence of any modifications to paragraphs 2.9 – 2.20	Apart from new requirements following from the proposed new procedure, consideration may be given to additional requirements for the justification of proposals for new work programme items. Such requirements may include: <ul style="list-style-type: none"> • stronger relationship with the SP and HLAP and/or the performance indicators; • formal safety assessment, cost benefit analysis; • other alternatives
3.1 – 3.12 3.13 – 3.15 3.16 – 3.21 3.22 – 3.25	To be revised in connection with the strategic planning process, the proposed new procedure and as a consequence of modifications to paragraphs 2.9 – 2.20	Modification of format used for the establishment of the Sub-Committees’ Work Programmes (see paragraph 14.2 of the cover note)
3.26 – 3.46	Possible changes as a consequence of other modifications	
4.1		Consideration may be given to additional requirements for the summary box in submissions containing proposals for new work programme items ²

² See also paragraph 7.3(a) of document CWGSP 7/4.