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STRATEGY, PLANNING AND REFORM

Report of the Working Group on the Development of a new strategic framework

Introduction

1 The Working Group on the Development of a new strategic framework, chaired by Miss Katy Ware (United Kingdom), met from 24 to 26 July 2017.

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

ALGERIA	LIBERIA
ARGENTINA	MALAYSIA
AUSTRALIA	MARSHALL ISLANDS
BAHAMAS	MEXICO
BANGLADESH	NETHERLANDS
BRAZIL	NIGERIA
CANADA	NORWAY
CHILE	PANAMA
CHINA	PERU
CYPRUS	PHILIPPINES
DENMARK	REPUBLIC OF KOREA
FINLAND	RUSSIAN FEDERATION
FRANCE	SINGAPORE
GERMANY	SOUTH AFRICA
GREECE	SPAIN
INDIA	SWEDEN
INDONESIA	UNITED KINGDOM
IRAN (ISLAMIC REPUBLIC OF)	UNITED STATES
JAPAN	YEMEN

the following intergovernmental organization in consultative status:

EUROPEAN COMMISSION

and the following non-governmental organizations in consultative status:

INTERNATIONAL CHAMBER OF SHIPPING (ICS)
INTERNATIONAL ASSOCIATION OF CLASSIFICATION SOCIETIES (IACS)
INTERNATIONAL BUNKER INDUSTRY ASSOCIATION (IBIA)

Terms of reference

3 Taking into account the comments and decisions made in Plenary, the Working Group will consider documents C 118/3/1 and C 118/3/2 as the basis to finalize:

- .1 the Performance Indicators to be included in the Strategic Plan for the Organization for the 2018 to 2023 period and advise on the mechanism for the periodic review of the Performance Indicators;
- .2 the draft Assembly resolution for the adoption of the Strategic Plan for the Organization for the six-year period 2018 to 2023, including the proposed text in paragraph 2 of the annex to document C 118/3/3, and incorporating all the elements of the Strategic Plan;
- .3 the revised document on the Application of the Strategic Plan of the Organization to apply to the new Strategic Framework and the associated draft Assembly resolution, including consideration of the reference to the mission and vision statement as proposed by Panama; and
- .4 submit a report to Council on Thursday, 27 July 2017.

Performance Indicators to be included in the Strategic Plan

4 The Working Group reviewed all Performance Indicators (PIs) and made changes to improve the Performance Indicators, as well as editorial changes. The revised list of Performance Indicators can be found in table 1 on page 9 of annex 1 to this report.

5 In addition, with regard to PIs 1.1 and 1.2, clarifications were provided with regard to the distinction between the findings and observations. As defined in the Procedures for the IMO Member State Audit (resolution A.1067(28), annex, part II), a Finding is "A situation where objective evidence indicates the non-compliance with a mandatory requirement contained in an IMO instrument or in the audit standard", whilst an Observation is "A statement of fact substantiated by objective evidence, relating to a non-mandatory provision of the audit standard".

6 In relation to PI 1.5, the Working Group agreed that the presentation of this PI should include all mandatory instruments, including those yet to enter into force, as well as that each MARPOL annex should be presented separately.

7 In relation to PI 1.7, views were expressed that PI should capture both technical assistance requested by the Member States and the actual assistance delivered, and the Group agreed to add an additional part of that PI, PI 1.7*bis*, in order to capture this information. The Group was of the view that this revision does not constitute adding a new PI.

8 In relation to the Performance Indicators on SD 2, the view was expressed that the currently proposed Performance Indicators do not incorporate the proactive approach described in SD 2. Considering the Performance Indicators related to SD 2, the Working Group recognized that when the Organization develops further mechanisms to integrate new and advancing technologies, additional indicators should be added to capture their contribution.

9 With regard to PI 3.1, the Working Group considered the proposal made by China in plenary to amend the Performance Indicators to report on the CO₂ emissions per tonne-mile. During the discussion, the Group noted the information provided by the Secretariat that, in the past, CO₂ emissions per tonne-mile had been obtained using the data from IMO GHG Studies in 2000, 2009 and 2014, respectively, together with relevant data from UNCTAD. Going forward, the establishment of the IMO fuel oil consumption database under MARPOL Annex VI would provide the latest fuel oil consumption and corresponding CO₂ emissions data on a yearly basis, while on the other hand, the database would only collect data from ships of 5,000 gross tonnage and above and their design deadweight instead of actual cargoes transported. This would make it difficult to present a meaningful calculation on CO₂ emissions per tonne-mile. Consequently, the Working Group agreed to retain the description of PI 3.1.

10 In addition, the Working Group agreed to remove PI 3.3 on sulphur content, as it did not directly relate to climate change, but rather air pollution. Following the debate on its removal, it was suggested that the PI could be moved to SD 6, because the output related to the analysis and monitoring of the sulphur content has been aligned to SD 6. After a closer consideration of the aim of SD 6 and the other Performance Indicators under SD 6, the Working Group finally agreed to delete this Performance Indicator, acknowledging that the data will still be reported to the MEPC.

11 Considering all the Performance Indicators related to SD 3, the Working Group acknowledged the important work currently being undertaken by the MEPC on the GHG roadmap. In this respect, while at present it was not possible to include measures related to the GHG roadmap as Performance Indicators due to the lack of data, the Working Group recognized that measures resulting from this work could be added as Performance Indicators for SD 3, at a future stage.

12 With regard to the Performance Indicators related to SD 4, the Working Group agreed that there was the need to develop appropriate Performance Indicators, which reflect that IMO "should ensure that the use of marine spaces does not disproportionately limit the ability of shipping to support and contribute to the global economy, socioeconomic progress and development", as specified under SD 4.

13 Regarding the Performance Indicators under SD 5, assessing PI 5.1 on the number of Member States with active national maritime transport facilitation committees and PI 5.5 on the number of Member States with national security committees, the Working Group acknowledged that there is no mandatory requirement for those committees and agreed to delete PIs 5.1 and 5.5. In relation to PI 5.4 on the number of Member States with a maritime single window, the Group decided to replace this description with "system for the electronic exchange of information". At the same time, the Working Group acknowledged that at present, there is no mechanism established to collect the related data and recognized that a suitable mechanism should be established by means of a Circular Letter or other electronic means.

14 Considering the Performance Indicators related to SD 6, the Working Group recognized that when the Organization develops further systematic feedback and learning mechanisms, additional indicators should be considered to capture their contribution towards ensuring regulatory effectiveness.

15 With regard to Performance Indicators under SD 7, the Working Group was of the view that there will be a need for further refinement of PI 7.1, which currently captures the attendance of the Member States, IGOs and NGOs in attending meetings, in order to provide an appropriate assessment of the breadth of engagement by Member States. In addition, the Working Group decided to delete PI 7.7 related to ratio of female to male staff in the professional and higher categories, noting that this information will continue to be provided to

the Council. In relation to PI 7.8, the Working Group agreed to retain it as proposed. However, it was recognized that there was a need to develop more appropriate Performance Indicators to assess the financial health of the Organization in the future.

Mechanism for the periodic review of the Performance Indicators

16 The Working Group also discussed possible mechanism for the periodic review of the Performance Indicators. First, it was acknowledged that there was a need for a distinction between the review of the defined PIs and the reporting of the actual Performance Indicator data. The review of the defined Performance Indicators concerns the process agreed in the plenary with regard to the proposal in document C 118/3/3 and does not need to be further considered by the Working Group.

17 The Working Group has been tasked to advise the Council on the reporting of the Performance Indicators by the Secretariat, meaning the actual analysis and assessment of the reported data. In this respect, the Working Group considered two aspects, first the periodicity of reporting and second the format of reporting.

18 With regard to the periodicity of reporting, the Working Group noted that data on each Performance Indicator could be available at different periods. However, this fact should not necessarily dictate the periodicity of reporting. In order to collect a sufficient amount of data on the majority of PIs, that would allow to establish the baseline and, in the future, identify trends, the Working Group agreed that a biennial reporting cycle would be most suitable to inform the deliberations on the inclusion of new outputs to the Strategic Plan. In addition, a final report would have to be presented towards the end of the cycle of the current Strategic Plan, preferably at the end of year 5. This report would form the basis for the development of a new Strategic Plan, informing the Organization about achievements in relation to the SDs, as well as to contribute to the identification of trends, development and challenges.

19 Considering the format of the reporting on PIs, the Working Group agreed that the report would incorporate the analysis of the data in a graphical form, including, where appropriate, explanations on the respective data sources, as well as a more detailed narrative on Performance Indicators. In addition, the establishing of a database to facilitate capturing and reporting on PIs was considered. It was acknowledged, however, that this proposal should be assessed taking into account implications on the workload for the Secretariat.

Draft Assembly Resolution on the Strategic Plan

20 The Working Group considered the draft Assembly resolution on the Strategic Plan for the Organization for the six-year period 2018 to 2023. First, the Working Group added the text included in paragraph 2 of the annex of document C 118/3/3 and added the specification suggested by the Cook Islands. Further, the Working Group agreed to delete paragraph 11, as it was considered redundant.

21 The complete Strategic Plan for the Organization for the 2018 to 2023 period, including the finalized Performance Indicators, as well as the list of outputs, as approved by the plenary, along with the associated draft Assembly resolution, is set out in annex 1.

Revised document on the Application of the Strategic Plan and corresponding draft Assembly resolution

22 With regard to the document on the Application of the Strategic Plan and the associated draft resolution, the Working Group agreed on the draft Assembly resolution as proposed in document C 118/3/2.

23 The Working Group also considered Panama's proposal that the development of the vision statement should be specified in section 5 of the draft document on the Application of the Strategic Plan of the Organization, covering the Strategic Planning Process (annex to the draft Assembly resolution, document C 118/3/2). The Working Group agreed that paragraph 5.1, together with the Strategic Planning Outline set out in diagram 1 of annex 1 to the Application document already includes all components of the Strategic Plan, including the vision statement. Therefore, it would provide a clear direction on the strategic planning process and no further details were needed in the document. However, in order to present the strategic planning process in a clear manner, the Working Group decided to remove the box outlining the current Strategic Directions from diagram 1 of annex 1 of the document.

24 The finalized document on the Application of the Strategic Plan of the Organization, along with the associated draft Assembly resolution, can be found in annex 2.

Action requested of the Council

25 The Council is invited to consider the outcome of the Working Group and, in particular, to approve:

- .1 the proposed complete Strategic Plan for the Organization for the 2018-2023 period, in annex 1, including the Performance Indicators and the list of outputs together with the associated draft Assembly resolution and forward them to the thirtieth regular session of the Assembly for adoption;
- .2 the document on the Application of the Strategic Plan of the Organization, together with the associated draft Assembly resolution, in annex 2, and forward them to the thirtieth regular session of the Assembly for adoption; and
- .3 the report in general.

ANNEX 1

[DRAFT] RESOLUTION

**STRATEGIC PLAN FOR THE ORGANIZATION
FOR THE SIX-YEAR PERIOD 2018 to 2023**

THE ASSEMBLY,

RECALLING the Convention on the International Maritime Organization, in particular, part 1, Article 1(a), and part II, Articles 2(a) and (c) thereof,

RECALLING ALSO the directives contained in resolution A.500(XII) concerning coordination of the work of the committees by the Council, taking into account the views of the committees on priorities and their responsibilities for substantive technical and legal matters,

RECALLING FURTHER resolutions:

- A.900(21) on *Objectives of the Organization in the 2000s*; and
- A.909(22) on *Policy making in IMO – setting the Organization's policies and objectives*,

and the relevant guidelines of the Council and the committees on the organization and method of their work,

RECALLING IN PARTICULAR the adoption, at its twenty-ninth session, of resolution A.1097(29) on *Strategic Plan for the Organization (for the six-year period 2016 to 2021)*, including the direction given to the Council therein to develop a new strategic framework to replace the current Strategic Plan by the 2018-2019 biennium,

BEING COMMITTED to ensuring the fulfilment of the Organization's aims and objectives in a uniform manner on a global basis and to setting clear priorities for the purpose of achieving them,

TAKING INTO ACCOUNT the benefits that the Strategic Directions and the Sustainable Development Goals will provide to international shipping and the development of Member States' national maritime strategies.

[HAVING CONSIDERED the recommendations of the Council at its 118th session,]

1 APPROVES the Strategic Plan for the Organization for the six-year period 2018 to 2023, as set out in the attached annex, comprising:

- (a) a Mission Statement;
- (b) the Vision Statement;
- (c) the Overarching Principles for the Organization's Strategic Plan 2018-2023;
- (d) the Strategic Directions for the Organization;
- (e) the Performance Indicators for assessing the Organization's performance against the Strategic Directions; and
- (f) the list of outputs that are planned to be delivered by the Organization over the 2018-2019 biennium.

2 REQUESTS that all IMO organs ensure full observance of resolution A.XXXX(30) on the *Application of the Strategic Plan of the Organization*, which provides a uniform basis for the application of the Strategic Plan throughout the Organization, and for the strengthening of existing working practices through the provision of enhanced planning and management procedures that are simple, manageable, proportional, transparent and balanced;

3 REQUESTS ALSO the Council, the Maritime Safety Committee, the Legal Committee, the Marine Environment Protection Committee, the Technical Cooperation Committee and the Facilitation Committee, when reporting on their work to the Assembly at its thirty-first regular session and to the Council at its sessions during the 2018-2019 biennium, to ensure that they report progress towards fulfilling the Organization's Mission using the framework of the Strategic Plan;

4 REQUESTS FURTHER the Council and the Secretary-General, as appropriate, to monitor progress and analyse, as necessary, any mechanisms required to review and update progress made under the Strategic Plan, taking into account resolution A.XXXX(30) on the *Application of the Strategic Plan of the Organization*;

5 INVITES Member States, the Secretariat and other stakeholders to provide the necessary data to ensure that progress towards the achievement of the Strategic Plan can be adequately assessed and reported on;

6 DIRECTS the chairs, vice-chairs and secretaries of the Council, committees and sub-committees to ensure a consistent and rigorous application of resolution A.XXXX(30) on the *Application of the Strategic Plan of the Organization* and the Guidelines on the organization and method of work of the respective committees and their subsidiary bodies;

7 ENCOURAGES the Council, the committees and the Secretariat, when considering proposals for new outputs, to ensure, in accordance with resolution A.XXXX(30) on the *Application of the Strategic Plan of the Organization* and the guidelines on the organization and method of their work, as appropriate, that the issues to be addressed are those which fall within the Mission of the Organization;

8 REQUESTS the committees and the Secretariat, as appropriate, and in accordance with resolution A.XXXX(30) on the *Application of the Strategic Plan of the Organization*, to submit to the Council for endorsement of any new outputs that they may approve during the 2018-2019 biennium for inclusion in the list of outputs for that biennium;

9 AUTHORIZES the Council to endorse such new outputs and to incorporate them into the list of outputs for the 2018-2019 biennium, as set out in the annex to the present resolution, and to bring for consideration of the Assembly any proposed amendments to the Strategic Plan;

10 DECIDES that the Strategic Directions are established for the six-year period 2018-2023 and, for the Council to bring to the attention of the Assembly proposed amendments to the Strategic Plan on which it has had an agreement, including the biennial update of outputs in a consolidated manner;

~~11 REITERATES ITS REQUEST to the Council and all the committees, when making recommendations for their biennial agendas during the Strategic Plan period, to bear in mind the desirability of not scheduling more than one diplomatic conference in each year, save in exceptional circumstances;~~

~~11~~ 11 REVOKES resolution A.1097(29) and A.1098(29).

ANNEX

STRATEGIC PLAN FOR THE ORGANIZATION FOR THE SIX-YEAR PERIOD 2018-2023

MISSION STATEMENT

1 The mission of the International Maritime Organization (IMO), as a United Nations specialized agency, is to promote safe, secure, environmentally sound, efficient and sustainable shipping through cooperation. This will be accomplished by adopting the highest practicable standards of maritime safety and security, efficiency of navigation and prevention and control of pollution from ships, as well as through consideration of the related legal matters and effective implementation of IMO instruments, with a view to their universal and uniform application.

VISION STATEMENT

- 2 The vision for the International Maritime Organization for the period 2018-2023 is:
- .1 IMO will uphold its leadership role as the global regulator of shipping, promote greater recognition of the sector's importance and enable the advancement of shipping, whilst addressing the challenges of continued developments in technology and world trade; and the need to meet the 2030 Agenda for Sustainable Development.
 - .2 To achieve this, IMO will focus on review, development and implementation of and compliance with IMO instruments in its pursuit to proactively identify, analyse and address emerging issues and support Member States in their implementation of the 2030 Agenda for Sustainable Development.

OVERARCHING PRINCIPLES FOR THE ORGANIZATION'S STRATEGIC PLAN 2018-2023

3 The Strategic Plan identifies the Strategic Directions on which particular focus will be placed in the 2018-2023 period. IMO's organs will continue their work to fulfil the purposes of the Organization, as per Article 1 of the IMO Convention, whilst sustaining the system of global maritime legislation and ensuring the level playing field for all States involved in international shipping. In doing so, IMO will uphold its leadership role in ensuring a balance for international shipping between the needs for economic development, facilitation of international trade, safety, security and environmental protection. IMO will ensure that the views of all stakeholders are taken into account in its decision-making processes and continue to pay particular attention to the needs of developing countries, especially those of Small Island Developing States and Least Developed Countries.

4 The safety and security of life at sea; protection of the environment; and the world's trade depend on the competence and professionalism of the personnel employed or engaged in the maritime sector, who need to have the relevant skills and understanding to ensure that IMO instruments are effectively reviewed, developed, implemented, applied and enforced.

5 The expansion of the global fleet and the acceleration in the development of new and advancing technologies increase the demands on the seafarers. IMO will take into account the human element in the review, development and implementation of new and existing requirements, including skills; education and training; human capabilities, limitations and needs.

6 IMO, throughout its work, will take into account the needs and wellbeing of the seafarers and, in doing so, will always attach the utmost importance to education and training, as well as the promotion of gender equality and the empowerment of women.

7 As a specialized agency of the United Nations, IMO has an important role to play in achieving the 2030 Agenda for Sustainable Development (2030 Agenda). The adoption of the 2030 Agenda, including its 17 Sustainable Development Goals (SDGs) and 169 targets, marks a historic agreement among the 193 United Nations Member States to forge a sustainable pathway of action for people, the planet and prosperity.

8 Shipping is an essential element of sustainable economic growth as it is the most environmentally sound mode of transport with the lowest carbon footprint per unit of cargo transported. Along with other transport modes, shipping is an important enabler for a substantial number of SDGs.

9 IMO is fully committed to achieving the 2030 Agenda and the SDGs, including aligning its programmes and initiatives to support Member States. The Organization, its Member States, civil society and the maritime industry will continue working together to strengthen the path towards sustainable development.

10 IMO will also maintain and where relevant strengthen its collaboration with other bodies in the United Nations system as well as parties at global, regional and national level.

11 The Organization will continually demonstrate to its stakeholders that IMO is delivering on its objectives successfully and effectively. Through stakeholder outreach, the Organization will promote its work as essential to ensure a safe, secure, environmentally sound and sustainable shipping sector.

STRATEGIC DIRECTIONS

12 As IMO continues to carry out its work, the following Strategic Directions set out the areas of particular focus for the 2018-2023 period.

SD 1: Improve implementation

13 IMO has almost 60 years of experience, developing more than 50 international treaties, together with the related standards, guidelines and other texts. Only through the entry into force of those instruments and the effective, efficient and consistent implementation and enforcement of their provisions can the full benefits from this extensive body of international law be realized. To that end, the current situation demands that IMO place increased focus on implementation of IMO instruments as well as promotion of the entry into force of instruments.

14 IMO's crucial role in the creation of a level playing field for its Members can only be achieved through effective and uniform implementation of IMO's instruments, their enforcement by the States parties to them, and full compliance by the States concerned and the shipping industry.

15 IMO will provide States and the industry with the information they need to better identify and understand barriers to implementation, and will consider ways to eliminate them, including through the analysis of the findings from the Member State Audit Scheme and/or data from other sources. IMO will promote the exchange of best practices amongst all stakeholders.

16 To achieve the goal of uniform implementation IMO will continue to develop and execute projects to provide targeted capacity building and technical cooperation that fosters, promotes and supports implementation efforts, especially those of the developing countries, and will continue to pay particular attention to the needs of Small Island Developing States and Least Developed Countries.

SD 2: Integrate new and advancing technologies in the regulatory framework

17 As technological development accelerates, new and advancing technologies will significantly affect shipping, creating a more interconnected and efficient industry more closely integrated with the global supply chain. New and advancing technologies have already brought about changes, at all levels, in the way ships are designed, constructed, equipped and operated, and has had equal impact on personnel, both on board and on shore. Such technologies may also provide access to a large amount of data associated with shipping.

18 Since technological advances present opportunities as well as challenges, their introduction needs to be considered carefully in order for them to be accommodated appropriately into the regulatory framework of the Organization. This involves balancing the benefits derived from new and advancing technologies against safety and security concerns, the impact on the environment and on international trade facilitation, the potential costs to the industry, and finally their impact on personnel, both on board and ashore.

19 IMO's regulatory framework will be continuously adapted to the challenges and global developments facing the shipping industry in order to ensure safety, security and environmental protection. The Organization will strive towards a legal framework that accommodates new and advancing technologies and approaches by being technology neutral through the development of IMO instruments and performance standards without preference or hindrance of one technology over another.

SD 3: Respond to climate change

20 With the adoption of the 2030 Agenda and the Paris Agreement at COP 21, climate change has been recognized as one of the greatest challenges of our time, a phenomenon whose consequences has negative impacts on the planet and which can undermine the ability of all countries to achieve sustainable development.

21 Although shipping is one of the most energy-efficient modes of transportation and has already increased its energy efficiency and reduced emissions, the shipping industry continues to pursue strategies to reduce emissions worldwide. Having already developed global regulations on energy efficiency for ships, the Organization will continue to consider further measures to ensure that international shipping continues to bear its responsibility in addressing climate change.

22 In its role as the global regulator of international shipping, IMO will develop appropriate solutions to reduce the shipping industry's contribution to air pollution and its impact on climate change. With the shipping industry's support, IMO will develop a comprehensive IMO strategy on reduction of GHG emissions from ships which will be ambitious and realistic.

SD 4: Engage in ocean governance

23 The use of the world's oceans is intensifying as a result of the continuing increase in the exploration and use of marine resources and opportunities they provide, as well as, the pressure to preserve marine spaces for users other than the industry.

24 To ensure the sustainable development of activities in the marine space, such activities have to be balanced with the capacity of the oceans to remain healthy and diverse in the long term.

25 In the discussion on ocean governance and development of activities in the marine space, IMO, actively working in collaboration with other relevant bodies, should ensure that the use of marine spaces does not disproportionately limit the ability of shipping to support and contribute to the global economy, socioeconomic progress and development, and assist in the delivery of related aspects of the SDGs.

SD 5: Enhance global facilitation and security of international trade

26 Shipping moves around 80%¹ of world trade, making it an integral part of the global economy and supply chain. The prevention of disruption to international shipping is therefore in the interest of all. Continued effort is needed to ensure that ships move from port to port without undue delay arising from arrival and departure formalities to provide for safe transportation and effective facilitation of international trade, and to ensure that appropriate security measures are in place on all international voyages.

27 Threats such as piracy and armed robbery against ships could disrupt international trade, threaten lives, and increase the burden on maritime transport. Furthermore, to ensure the security of the maritime transport network, including vital shipping lanes, the IMO will continue to raise awareness of IMO measures for security and to encourage a cooperative approach among Member States and stakeholders.

28 Shipping operations are increasingly dependent on electronics and digital technologies and as such are exposed to cyber risks. The Organization will continue to monitor the issue and encourage a cooperative approach among Member States and stakeholders.

29 Electronic transmission of relevant information, such as, but not limited to, documents and certificates, simplifies communications between ships, ports and authorities and reduces administrative burden for those on board and ashore. The challenge is to ensure that information is transmitted securely in universally accepted form and is verifiable. To take full advantage of the electronic exchange of information, closer cooperation is needed between authorities and the industry at the national and, in certain instances, regional levels.

30 To achieve this, IMO will seek further international consensus on reducing, simplifying and standardizing the information required. It will develop global solutions that reduce the burdens by facilitating electronic information exchange which balance the needs of authorities ashore with the interest of the shipping industry.

SD 6: Ensure regulatory effectiveness

31 IMO's main role as the global regulator of safe, secure and environmentally sound shipping requires it to ensure that a universally adopted, effective, international regulatory framework is in place and implemented consistently, embracing and integrating new and advancing technologies, without causing unnecessary burdens.

32 The current approach and practices draw on IMO's extensive experience in developing and adopting standards for international shipping. Reviewing them makes it possible to identify improvements, enhance the effectiveness of the existing IMO instruments and better assess the need for new regulations which take into account the impacts and

¹ UNCTAD (2015). Review of Maritime Transport 2015.

benefits of proposed measures. The process of capturing and analysing information on the implementation of existing IMO instruments should build on the Member State Audit Scheme and its outcomes, in conjunction with in-depth analysis of data.

33 IMO's instruments must continue to be globally implemented and applicable, and will continue to ensure a level playing field. Information should be systematically fed back into the regulatory processes of the Organization to allow it to make informed decisions for reviewing existing regulations and developing new ones.

SD 7: Ensure organizational effectiveness

34 To successfully achieve the Organization's vision and respond to current and future challenges, IMO will improve its working practices, where needed, and foster broader participation by Member States in its work and decision-making, including through the use of appropriate technologies. To effectively facilitate its work and improve knowledge sharing, the Organization will consider means of strengthening its technical and analytical capabilities to collect, manage, analyse and report on relevant information and data.

35 IMO will continue to introduce and implement best practices in its activities, delivering efficient and effective processes to deal with the ever-changing work of the Organization, thereby ensuring that Member States, donors and other partners receive the best value for the resources they provide.

36 The motivated and skilled staff who lie at the heart of the Organization's success are essential to its ability to respond effectively to changing demands. IMO will ensure that the Secretariat continues to be equipped with the required competencies and structured appropriately to support the work of the Organization.

37 IMO will continue to manage and utilize its financial resources effectively. In this regard, the continued commitment of Member States in the provision of financial resources that meet the Organization's expenditures and to continually provide, together with other donors, adequate sources of funding for the Organization's activities. In its technical cooperation work, IMO will endeavour to establish new and further develop existing long-term strategic donor relationships and to optimize other sources of funding.

TABLE 1 – PERFORMANCE INDICATORS

SD	PI Index	PI Name
SD 1 Improve implementation	PI 1.1	# of references in audit findings per instrument (article and regulation)
	PI 1.2	% of audit findings and observations with corrective actions implemented according to the target completion dates
	PI 1.3	% of deficiencies and detentions per ship type
	PI 1.4	# of deficiencies per category of deficiency
	PI 1.5	# of Member States that have ratified <u>each IMO instrument, including those yet to enter into force</u> that entered into force within the last years or have not entered into force yet
	PI 1.6	% of the world merchant shipping (tonnage) covered by <u>each those IMO instruments, including those yet to enter into force</u> that have entered into force recently or have not yet entered into force
	PI 1.7	# % of Member States utilizing <u>requesting</u> technical cooperation to implement corrective actions to address audit findings and observations
	<u>PI 1.7bis</u>	<u># of Member States receiving technical cooperation to implement corrective actions to address audit findings and observations</u>
SD 2 Integrate new and advancing technologies in the regulatory framework	PI 2.1	# of submission proposals submitted to IMO by Member States to incorporate new and advancing technologies into the regulatory framework
	PI 2.2	# of outputs to include new and advancing technologies (as specified in PI 2.1) on the agenda of IMO organs
	PI 2.3	# of amendments <u>adopted</u> to incorporate new and advancing technologies into the regulatory framework
SD 3 Respond to climate change	PI 3.1	# tonnes of CO ₂ emissions from international shipping
	PI 3.2	% of improvement in attained EEDI against reference line per ship type
	PI 3.3	average sulphur content (% by mass) of residual and distillate fuel oils supplied for use on board of ships
	PI 3.4	US\$ expenditure on funding of technical cooperation activities and major projects related to air pollution and climate change <u>energy efficiency and reduced emissions</u>
SD 4 Engage in ocean governance	PI 4.1	# of Special Areas <u>designated</u> under MARPOL, including ECAs
	PI 4.2	# of Particularly Sensitive Sea Areas (PSSAs) <u>designated</u>
	PI 4.3	# of meetings on Ocean Governance at which the Organization was represented

	PI 4.4	US\$ expenditure on technical cooperation activities and capacity-building related to Ocean Governance
SD 5 Enhance global facilitation and security of international trade	PI 5.1	% of Member States with active national maritime transport facilitation committees
	PI 5.2	# of Member States, who are <u>Contracting</u> Parties to the FAL Convention, submitting notifications pursuant to Article VIII of the FAL convention
	PI 5.3	# /% of Member States issuing electronic certificates
	PI 5.4	# /% of Member States with a maritime single window <u>a system for the electronic exchange of information</u>
	PI 5.5	% of Member States with national security committees
	PI 5.6	# of piracy incidents per geographical area of incident <u>reported to IMO</u>
	PI 5.7	# of stowaway incidents reported <u>to IMO</u>
	PI 5.8	US\$ expenditure on technical cooperation activities and capacity-building allocated to facilitation matters
	PI 5.9	US\$ expenditure on technical cooperation activities and capacity-building allocated to security matters
SD 6 Ensure regulatory effectiveness	PI 6.1	# of specific requirements of the relevant IMO instruments recommended for review based on audit findings
	PI 6.2	# of unified interpretations of provisions per instrument, <u>approved by IMO</u>
	PI 6.3	# of <u>amendments per mandatory</u> instruments with amendments within {four} years of entry into force
SD 7 Ensure organizational effectiveness	PI 7.1	# and % of Member States/ IGOs and NGOs attending IMO meetings by meeting
	PI 7.2	% of [strategic] outputs completed by the <u>original</u> target completion date
	PI 7.3	% of technical cooperation and capacity-building activities with effective results <u>for the receiving Member States</u>
	PI 7.4	% of technical cooperation and capacity-building activities with <u>high long-term</u> impact <u>for the receiving Member States</u>
	PI 7.5	% of the reporting requirements that can be met by electronic means in place
	PI 7.6	% of vacant posts in general and professional/higher categories
	PI 7.7	Ratio of female to male staff in the professional and higher categories
	PI 7.8	% of assessments received from Member States (collection rate)
	PI 7.9	% of biennial ITCP programme funded
	PI 7.10	<u>% contribution of Trading Fund surplus to the ITCP</u>
	PI 7.10 bis	% of extra budgetary <u>additional external</u> contributions to the budget (<u>non ITCP</u>)
	PI 7.11	% of contributions provided by top five donors <u>substantial donations</u>

TABLE 2 – LIST OF OUPUTS FOR THE 2018-2019 BIENNIUM

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
SD 1 Improve Implementation	1.1	Capacity-building aspects of the IMO Audit Scheme reflected in and implemented through the Integrated Technical Cooperation Programme (ITCP)	Continuous	TCC		
	1.2	Input on identifying emerging needs of developing countries, in particular SIDS and LDCs to be included in the ITCP	Continuous	TCC	MSC / MEPC / FAL / LEG	
	1.3	Validated model training courses	Continuous	MSC	HTW	
	1.4	Analysis of consolidated audit summary reports	Annual	Assembly	MSC / MEPC / LEG / TCC / III	Council
	1.5	Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code)	Annual	MSC / MEPC	III	
	1.6	Monitoring of ITCP programme implemented on the enhancement of maritime training capacities, including middle and senior management levels	Annual	TCC		
	1.7	Identify thematic priorities within the area of maritime safety and security, marine environmental protection, facilitation of maritime traffic and maritime legislation	Annual	TCC	MSC / MEPC / FAL / LEG	
	1.8	Analysis and consideration of reports on National Maritime Transport Policy development and Country Maritime Profiles	Annual	TCC		
	1.9	Report on activities within the ITCP related to the OPRC Convention and the OPRC HNS Protocol	Annual	TCC	MEPC	

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
	1.10	Report on ITCP programme on support to SIDS and LDCs for their special shipping needs	Annual	TCC		
	1.11	Revised Guidelines for the application of MARPOL Annex I requirements to FPSOs and FSUs	2019	MEPC	PPR	
	1.12	Review of the <i>2015 Guidelines for Exhaust Gas Cleaning Systems</i> (resolution MEPC.259(68))	2019	MEPC	PPR	
	1.13	Guide on practical methods for the implementation of the OPRC Convention and the OPRC-HNS Protocol	2019	MEPC	PPR	
	1.14	Revised guidance on ballast water sampling and analysis	2019	MEPC	PPR	III
	1.15	Revised guidance on methodologies that may be used for enumerating viable organisms	2019	MEPC	PPR	
	1.16	Updated IMO Dispersant Guidelines (part IV)	2019	MEPC	PPR	
	1.17	Consistent implementation of regulation 14.1.3 of MARPOL Annex VI	2019	MEPC	PPR	
	1.18	Measures to ensure quality of fuel oil for use on board ships	2019	MEPC		
	1.19	Approve ITCP for 2020-2021	2019	TCC		
	1.20	Uniform implementation of paragraph 6.1.1.3 of the LSA Code	2018	MSC	SSE	
	1.21	Guidance for STCW Code, section B-I/23	2018	MSC	HTW	
	1.22	Comprehensive review of the 1995 STCW-F Convention	2018	MSC	HTW	
	1.23	Revision of the Guidelines on Fatigue	2018	MSC	HTW	
	1.24	Revision of certification requirements for SCR systems under the NO _x Technical Code 2008	2018	MEPC	PPR	
	<u>1.25</u>	<u>Guidelines for the discharge of exhaust gas recirculation bleed-off water</u>	<u>2018</u>	<u>MEPC</u>	<u>PPR</u>	

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
SD 2 Integrate new and advancing technologies in the regulatory framework	2.1	Response to matters related to the Radiocommunication ITU R Study Group and ITU World Radiocommunication Conference	Annual	MSC	NCSR	
	2.2	Approved Ballast Water Management systems which make use of Active Substances, taking into account recommendations of the GESAMP-BWWG	Annual	MEPC		
	2.3	Amendments to the IGF Code and development of guidelines for low-flashpoint fuels	2019	MSC	HTW / PPR / SDC / SSE	CCC
	2.4	Mandatory instrument and/or provisions addressing safety standards for the carriage of more than 12 industrial personnel on board vessels engaged on international voyages (2020)	2019	MSC	SDC	
	2.5	Safety objectives and functional requirements of the Guidelines on alternative design and arrangements for SOLAS chapters II-1 and III	2019	MSC	SSE	
	2.6	Finalization of second generation intact stability criteria	2019	MSC	SDC	
	2.7	Regulatory scoping exercise for the use of Maritime Autonomous Surface Ships (MASS) (2020)	2019	MSC		
	2.8	Development of guidelines for cold ironing of ships and of amendments to SOLAS chapters II-1 and II-2, if necessary (2020)	2019	MSC	SDC / III	SSE
	2.9	Application of the "Indian Regional Navigation Satellite System (IRNSS)" in the maritime field and development of performance standards for shipborne IRNSS receiver equipment	2019	MSC	NCSR	

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
	2.10	Revision of SOLAS chapters III and IV for Modernization of the GMDSS, including related and consequential amendments to other existing instruments (2021)	2019	MSC	HTW / SSE	NCSR
	2.11	Develop guidance on definition and harmonization of the format and structure of Maritime Service Portfolios (MSPs)	2019	MSC	NCSR	
	2.12	Guidelines on standardized modes of operation, S-mode	2019	MSC		NCSR
	2.13	Review of the IBTS Guidelines and amendments to the IOPP Certificate and Oil Record Book	2019	MEPC	PPR	
	2.14	Amendments to regulation 14 of MARPOL Annex VI to require a dedicated sampling point for fuel oil	2019	MEPC	SSE	PPR
	2.15	Revised <i>Performance Standards for EPIRBs operating on 406 MHz</i> (resolution A.810(19)) to include Cospas-Sarsat MEOSAR and second-generation beacons	2018	MSC	NCSR	
	2.16	Guidelines for the harmonized display of navigation information received via communications equipment	2018	MSC	NCSR	
	2.17	Consideration of development of goal-based ship construction standards for all ship types	2018	MSC / MEPC		
	2.18	Standards for shipboard gasification of waste systems and associated amendments to regulation 16 of MARPOL Annex VI	2018	MEPC	PPR	
	2.19	Consideration of an initial proposal to amend annex 1 to the AFS Convention to include controls on cybutryne	2018	MEPC	PPR	

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
SD 3 Respond to Climate Change	3.1	Treatment of ozone-depleting substances used by ships	Annual	MEPC		
	3.2	Further development of mechanisms needed to achieve the limitation or reduction of CO ₂ emissions from international shipping	Annual	MEPC		
	3.3	Impact on the Arctic of emissions of Black Carbon from international shipping	2019	MEPC	PPR	
	3.4	Promotion of technical cooperation and transfer of technology relating to the improvement of energy efficiency of ships	2019	MEPC		
	3.5	Revision of Guidelines concerning EEDI and SEEMP	2019	MEPC		
	3.6	EEDI reviews required under regulation 21.6 of MARPOL Annex VI	2019	MEPC		
	3.7	Further technical and operational measures for enhancing the energy efficiency of international shipping	2019	MEPC		
SD 4 Engage in Ocean Governance	4.1	Designated Special Areas and PSSAs and their associated protective measures	Continuous	MEPC	NCSR	
	4.2	Input to the ITCP on emerging issues relating to sustainable development and achievement of the SDGs	2019	TCC	MSC / FAL / LEG / MEPC	
SD 5 Enhance global facilitation and security of international trade	5.1	Application of single-window concept	Continuous	FAL		
	5.2	Guidelines and guidance on the implementation and interpretation of SOLAS chapter XI-2 and the ISPS Code	Annual	MSC		
	5.3	Consideration and analysis of reports on piracy and armed robbery against ships	Annual	MSC		

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
	5.4	Revised guidance relating to the prevention of piracy and armed robbery to reflect emerging trends and behaviour patterns	Annual	MSC	LEG	
	5.5	Analysis and consideration of reports on the linkages between the Integrated Technical Cooperation Programme (ITCP) and the 2030 Agenda for Sustainable Development, including the Sustainable Development Goals (SDGs)	Annual	TCC		
	5.6	Update the guidelines for setting up a single-window system in maritime transport	2019	FAL		
	5.7	Review and update the Explanatory Manual to the FAL Convention	2019	FAL		
	5.8	Review and revision of the IMO Compendium on Facilitation and Electronic Business	2019	FAL		
	5.9	Developing guidance for authentication, integrity and confidentiality of content for the purpose of exchange of electronic information	2019	FAL		
SD 6 Ensure regulatory effectiveness	6.1	Unified interpretation of provisions of IMO safety, security, and environment-related Conventions	Continuous	MSC / MEPC	III / PPR / CCC / SDC / SSE / NCSR	
	6.2	Developments in GMDSS satellite services	Continuous	MSC	NCSR	
	6.3	Safety and pollution hazards of chemicals and preparation of consequential amendments to the IBC Code	Continuous	MEPC	PPR	
	6.4	Lessons learned and safety issues identified from the analysis of marine safety investigation reports	Annual	MSC / MEPC	III	
	6.5	Identified issues relating to the implementation of IMO instruments from the analysis of PSC data	Annual	MSC / MEPC	III	

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
	6.6	Consideration and analysis of reports and information on persons rescued at sea and stowaways	Annual	MSC / FAL		
	6.7	Consideration and analysis of reports on alleged inadequacy of port reception facilities	Annual	MEPC	III	
	6.8	Monitoring the worldwide average sulphur content of fuel oils supplied for use on board ships	Annual	MEPC		
	6.9	Agreements of cooperation with IGOs and approved consultative status for NGOs	2019	Assembly	Council	
	6.10	Review of MARPOL Annex II requirements that have an impact on cargo residues and tank washings of high viscosity, solidifying and persistent floating products and associated definitions, and preparation of amendments	2019	MEPC	PPR	
	6.11	Development of measures to reduce risks of use and carriage of heavy fuel oil as fuel by ships in Arctic waters	2019	MEPC	PPR	
	6.12	Strategies developed to facilitate entry into force and harmonized interpretation of the HNS Protocol	2019	LEG		
	<u>6.13</u>	<u>Use of electronic record books</u>	<u>2018</u>	<u>MEPC</u>	<u>PPR</u>	
	{6.13	Analysis and consideration of recommendations to reduce administrative burdens in IMO instruments including those identified by the SG-RAR	2017²	Council	III / HTW / PPR / CCG / SDC / SSE / NCSR	MSC / MEPC / FAL / LEG
	{6.14	Consideration of proposals from Member States in relation to practical principles and criteria related to the reduction of administrative burdens	2017³	Council]		

² Completion of output by A-30 expected.

³ Expected to be completed by 2017, pending decision by Council.

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
	6.15	Development of a vision and policy concerning an internationally trusted web-based information portal	2017⁴	Council		
SD 7 Ensure organizational effectiveness	7.1	Endorsed proposals for the development, maintenance and enhancement of information systems and related guidance (GISIS, websites, etc.)	Continuous	Council	MSC / MEPC / FAL / LEG / TCC	
	7.2	Consideration of reports on the management of the financial and human resources	Annual	Council		
	7.3	Analysis and consideration of reports on partnership arrangements for, and implementation of, environmental programmes	Annual	TCC	MEPC	
	7.4	Analysis and consideration of reports on the TC Fund, voluntary trust funds, multi/bilateral funds, cash contributions and in-kind support under the ITCP	Annual	TCC		
	7.5	Analysis and consideration of reports on the implementation of the approved mechanism for sustainable financing of the ITCP	Annual	TCC		
	7.6	Monitoring measures on new and cost-effective measures to deliver technical assistance	Annual	TCC		
	7.7	Approved annual report on ITCP implementation	Annual	TCC		
	7.8	Comprehensive, transparent, deliverable and adopted strategic framework for 2018-2023, including associated guidelines, and results-based budget for 2020-2021	2019	Assembly	Council	
	7.9	Revised guidelines on organization and method to work, as appropriate	2019	Council	MSC / FAL / LEG / TCC / MEPC	

⁴ ~~Completed at C 117.~~

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
	7.10	Analysis and consideration of reports on implementation of Revised resolution A.965(23) on <i>Development and improvement of partnership arrangements for technical co-operation</i>	Annual 2019	TCC		
	<u>7.11</u>	<u>Analysis and consideration of the report on the ITCP Impact Assessment Exercise covering 2016-2019</u>	<u>2019</u>	<u>TCC</u>		
Other Work	OW 1	Amendments to the IAMSAR Manual	Continuous	MSC	NCSR	
	OW 2	Amendments to the ESP Code	Continuous	MSC	SDC	
	OW 3	Amendments to the IMDG Code and supplements	Continuous	MSC	CCC	
	OW 4	Routeing measures and mandatory ship reporting systems	Continuous	MSC	NCSR	
	OW 5	Updates to the LRIT system	Continuous	MSC	NCSR	
	OW 6	Updating of the GMDSS Master Plan and guidelines on MSI (maritime safety information)	Continuous	MSC	NCSR	
	OW 7	Verified goal-based new ship construction standards for tankers and bulk carriers	Continuous	MSC		
	OW 8	Review of FSA studies by the FSA Experts' Group	Continuous	MSC		
	OW 9	Amendments to the IMSBC Code and supplements	Continuous	MSC / MEPC	CCC	
	OW 10	Measures to harmonize port State control (PSC) activities and procedures worldwide	Continuous	MSC / MEPC	HTW / PPR / NCSR	III
	OW 11	Monitoring of South-south cooperation reflected in the ITCP and partnerships	Continuous	TCC		
	OW 12	Reports on the Organization's outreach activities	Annual	Council		
	OW 13	Endorsed proposals for new outputs for the 2018-2019 biennium as accepted by the Committees	Annual	Council	MSC / MEPC / FAL / LEG / TCC	

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
	OW 14	Reports on unlawful practices associated with certificates of competency	Annual	MSC	HTW	
	OW 15	Reports to the MSC on information communicated by STCW Parties	Annual	MSC		
	OW 16	Updated Survey Guidelines under the Harmonized System of Survey and Certification (HSSC)	Annual	MSC / MEPC	III	
	OW 17	Consideration of reports on the application of the joint IMO/ILO Guidelines on the fair treatment of seafarers and consequential further actions as necessary.	Annual	LEG		
	OW 18	Advice and guidance on issues under UNCLOS relevant to the role of the Organization	Annual	LEG		
	OW 19	Consideration of reports of incidents involving dangerous goods or marine pollutants in packaged form on board ships or in port areas	Annual	MSC / MEPC	III	CCC
	OW 20	Provide advice and guidance on issues brought to the Committee in connection with implementation of IMO instruments	Annual	LEG		
	OW 21	Analysis and consideration of reports on strengthened regional associations for women managers in the maritime sector	Annual	TCC		
	OW 22	Provide advice and guidance to support international efforts to ensure effective prosecution of perpetrators (piracy); and to support availability of information on comprehensive national legislation and judicial capacity-building	Annual	LEG		
	OW 23	Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance	2019	Assembly	MSC / MEPC / FAL / LEG / TCC	Council
	OW 24	Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance	2019	Assembly	MSC / MEPC / FAL / LEG / TCC	Council

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
	OW 25	Approved accounts and audited financial reports	2019	Assembly	Council	
	OW 26	Review the Secretariat's Risk Management Exercise for the 2018-2019 biennium	2019	Council		
	OW 27	Amendments to chapter 9 of the FSS Code for fault isolation requirements for cargo ships and passenger ship cabin balconies fitted with individually identifiable fire detector systems 2021 (2020)	2019	MSC	SSE	
	OW 28	Further development of the provision of global maritime SAR services	2019	MSC	NCSR	
	OW 29	Guidelines on harmonized aeronautical and maritime search and rescue procedures, including SAR training matters	2019	MSC	NCSR	
	OW 30	Measures to protect the safety of persons rescued at sea	2019	MSC	III	NCSR
	OW 31	Revised SOLAS regulation II-1/3-8 and associated guidelines (MSC.1/Circ.1175) and new guidelines for safe mooring operations for all ships	2019	MSC	HTW / SSE	SDC
	OW 32	Amendments to SOLAS regulation II-1/8-1 on the availability of passenger ships' electrical power supply in cases of flooding from side raking damage	2019	MSC	SDC	
	OW 33	Finalization of a non-mandatory instrument on regulations for non-convention ships	2019	MSC		
	OW 34	Requirements for onboard lifting appliances and anchor handling winches	2019	MSC	SSE	
	OW 35	Suitability of high manganese austenitic steel for cryogenic service and development of any necessary amendments to the IGC Code and IGF Code	2019	MSC	CCC	
	OW 36	Review SOLAS chapter II-2 and associated codes to minimize the incidence and consequences of fires on ro-ro spaces and special category spaces of new and existing ro-ro passenger ships	2019	MSC	HTW / SDC	SSE

Reference to SDs, if applicable	Output number	Description	Target completion year	Parent organ(s)	Associated organ(s)	Coordinating organ(s)
	OW 37	Revised SOLAS regulations II-1/13 and II-1/13-1 and other related regulations for new ships	2019	MSC	SDC	SSE
	OW 38	Guidelines for wing-in-ground craft	2019	MSC	SDC	
	OW 39	Amendments to MSC.1/Circ.1315	2019	MSC	SSE	
	OW 40	Safety measures for non-SOLAS ships operating in polar waters (2021)	2019	MSC	[SDC]	
	OW 41	Review SOLAS chapter II-1, parts B-2 to B-4, to ensure consistency with parts B and B-1 with regard to watertight integrity (2020)	2019	MSC	SDC	
	OW 42	Amendments to the CSS Code with regard to weather-dependent lashing	2019	MSC	CCC	
	OW 43	Consequential work related to the new Code for ships operating in polar waters	2019	MSC/ MEPC	NCSR / PPR / SSE	SDC
	OW 44	IMO's contribution to addressing Unsafe Mixed Migration by Sea	2019	MSC / FAL / LEG		
	OW 45	Consider reports on the issue of financial security in case of abandonment of seafarers, and shipowners' responsibilities in respect of contractual claims for personal injury to or death of seafarers, in light of the progress of the amendments to ILO MLC 2006	2019	LEG		
	OW 46	Computerized stability support for the master in case of flooding for existing passenger ships	2018	MSC	SDC	
	OW 47	Develop new requirements for ventilation of survival crafts	2018	MSC	SSE	
	OW 48	Amendments to the FSS Code for CO ₂ pipelines in under-deck passageways	2018	MSC	SSE	
	OW 49	Review the Model Agreement for the authorization of recognized organizations acting on behalf of the Administration	2018	MSC/MEPC	III	

ANNEX 2

[DRAFT] RESOLUTION

APPLICATION OF THE STRATEGIC PLAN OF THE ORGANIZATION

THE ASSEMBLY,

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

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

RECALLING FURTHER resolution A.XXXX(30), by which it approved the *Strategic Plan for the Organization for the six-year period 2018-2023*, including the list of outputs for the 2018-2019 biennium,

RECALLING IN PARTICULAR its adoption of resolution A.1099(29) on *Application of the Strategic Plan and the High-level Action Plan of the Organization* and its request to the Council to keep the document under review,

REAFFIRMING:

- that the Organization's Strategic Plan contains Strategic Directions enabling IMO to achieve its mission; and
- that the list of outputs has been developed to provide the linkage between the Organization's Strategic Directions, the work of the various IMO organs and the biennial budget,

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

[HAVING CONSIDERED the recommendations of the Council, at its 118th session, for the adoption of the document on the Application of the Strategic Plan],

1 APPROVES the document on *Application of the Strategic Plan of the Organization*, as set out in the annex to the present resolution;

2 REQUESTS the Council and the committees to review and revise, during the 2018-2019 biennium, the guidelines for the organization and method of their work, taking account of the document on the *Application of the Strategic Plan of the Organization*, as appropriate;

3 REQUESTS the Secretary-General to review and adjust the present processes and work methods within the Secretariat in the light of the document on the *Application of the Strategic Plan of the Organization*; and to develop practical means with the aim of facilitating and supporting the implementation of the document throughout the Organization;

4 DIRECTS the Council to keep the annexed document under review;

5 REVOKES resolution A.1099(29).

ANNEX

APPLICATION OF THE STRATEGIC PLAN OF THE ORGANIZATION

1 INTRODUCTION

1.1 The Strategic Plan for the Organization for the period 2018-2023, which has been adopted by the Assembly, is based on the trends, developments and challenges identified. The Strategic Plan sets out:

- .1 the Mission Statement;
- .2 the Vision Statement;
- .3 the Overarching Principles which should be taken into account in all of the Organization's work;
- .4 the Strategic Directions for 2018-2023;
- .5 the Performance Indicators for measuring the Organization's performance against the Strategic Directions; and
- .6 the list of outputs that are planned to be delivered by the Organization over a two-year period.

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

2 DEFINITIONS

2.1 For the purposes of this document, the following definitions will apply:

- .1 "IMO organs": the Council and committees of the Organization specified in Article 11 of the IMO Convention, including their subsidiary bodies;
- .2 "Output": an item to be delivered by one or more IMO organs during the current biennium or accepted for a subsequent biennium;
- .3 "Agenda": a list of outputs for discussion at a particular meeting;
- .4 "Biennial agenda": a list of outputs to be delivered by an IMO organ during a biennium; and
- .5 "Post-biennial agenda": a list of outputs accepted by the Council or committees in one biennium that are to be delivered or initiated in the next biennium.

3 PURPOSE, AIM AND OBJECTIVES

3.1 The purpose of this document is to provide a uniform basis for the application of the Strategic Plan throughout the Organization.

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

3.3 The document is therefore formulated to achieve the following objectives:

- .1 to align and strengthen the planning and reporting processes by linking agenda setting and reporting clearly to the Strategic Plan;
- .2 to strengthen the linkage between outputs on the biennial agenda and the resources required to deliver the outputs;
- .3 to facilitate the efforts of the Council and the committees in controlling and monitoring the Organization's work;
- .4 to promote discipline in adherence to the planning procedures and guidelines;
- .5 to promote objectivity, clarity and realistic time frames in the establishment of biennial agendas by the IMO organs;
- .6 to ensure maximum possible participation by all Member States and by organizations with observer status in all of the Organization's work; and
- .7 to establish responsibilities and promote involvement in the planning and reporting processes.

3.4 Nothing in this document shall prohibit the Organization from taking immediate action on urgent matters if the risk of not acting will adversely affect the Organization's ability to meet its purposes.

4 APPLICATION

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

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

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

5 STRATEGIC PLANNING PROCESS

5.1 Every six years the Organization's Strategic Plan should be completely redeveloped based on an inclusive process to identify the trends, developments and challenges. Within the six years, the Organization should make any necessary adjustments to the Strategic Plan to ensure its continued relevance in responding to major events and developments, as necessary.

5.2 The list of outputs attached to the Strategic Plan should be updated every biennium to reflect the expected work by the IMO organs to be carried out in the subsequent biennium.

5.3 All IMO organs shall at all times be conscious of the status and purpose of the Strategic Plan, as well as of the strict linkages between the list of outputs and the budget for the corresponding biennium.

Developing the list of outputs

5.4 The Council and the committees shall identify, in a timely manner, the outputs to be included in the list of outputs for the next biennium and the Secretariat should develop its Business Plan, as such identification provides a basis for making an estimate of the budget required for that biennium.

5.5 In the process of constructing the list of outputs for the next biennium, the following should be included: a) continuous and annual outputs within the current list of outputs, b) outputs that have not been completed and c) outputs from the post-biennial agenda should also be included, subject to resource availability. Any other proposals for new outputs may be included following their assessment in accordance with this document.

5.6 Decisions on the list of outputs for the next biennium shall be guided by the Strategic Directions in the Strategic Plan and shall take due account of:

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

5.7 Adoption by the Assembly of the list of outputs and the corresponding results-based budget for the biennium denotes that the Assembly was satisfied that there is a reasonable match between the two and that the available resources and the meetings programme should result in the delivery of the outputs planned.

5.8 Outputs may be revised during the biennium by the Council or relevant committee, taking into account the provisions of paragraph 5.6[, if subsequently endorsed by the Council].

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

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

6 MANAGEMENT AND CONTROL

6.1 Management and control of the planning of, and reporting on the implementation of, the Strategic Plan are critical elements for measuring the Plan's effectiveness and transparency. Consequently, it is important that proper management and control mechanisms are in place to ensure that:

- .1 biennial agendas and agendas are both clearly linked to the Strategic Plan including the list of outputs;
- .2 the objectives of the Strategic Plan can be met within the resource constraints of the Organization and its membership;

- .3 the Organization's response to changes in the environment within which it operates is consistent with the Strategic Plan; and
- .4 monitoring and reporting are such that progress on biennial agendas is explicitly linked to progress on the delivery of outputs.

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

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

6.3 In order to maintain a balance between effective control and the need for flexibility in addressing urgent and unexpected challenges within the Organization's mandate, any decision to include a new output in the current list of outputs, in accordance with section 8, is subject to the endorsement of the Council, prior to the initiation of work on such outputs.

6.4 In order to ensure transparent and efficient monitoring and reporting on the status of outputs, all reports shall be prepared in accordance with section 9 of this document. The Secretariat should also report to the Council on the status of its Business Plan.

7 RESPONSIBILITIES

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

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

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

8 OUTPUTS

General

8.1 The Council or a committee, in determining the acceptance of an output and its inclusion on their biennial or post-biennial agendas, shall at all times be guided by the Strategic Plan, and shall in particular take due account of:

- .1 the specific necessity for an output to be started during the current biennium;⁵
- .2 the potential impact that the inclusion of an output on the biennial agenda may have in the timely delivery of outputs during the biennium;
- .3 the potential impact that the inclusion of an output may have on the workload of the IMO organs involved;
- .4 the personnel and budgetary resources available;
- .5 the potential adverse impacts on the ability of the Organization to meet its objectives if a decision is made not to accept a proposal for inclusion of an output in the biennial or post-biennial agendas; and
- .6 the potential impact that the inclusion of an output may have on small island developing States (SIDS) and the least developed countries (LDCs).

Submission of proposals for outputs

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

8.3 The committees may receive the results from a Formal Safety Assessment (FSA) study carried out in accordance with the FSA Guidelines. The criteria in paragraphs 8.1.1 to 8.1.6 also apply to the outcomes of an FSA study that may be regarded by the committees as proposals for outputs.

Preliminary assessment of proposals for outputs

8.4 In order to facilitate consideration of proposals for outputs by the Council or a committee, the relevant chair should undertake a preliminary assessment of such proposals. The Chair should, for that purpose, be supported by the Vice-Chair and the Secretariat and should consult the Chair of any subsidiary body concerned.

⁵ The normal action will be for outputs, if accepted, to be placed on the post-biennial agenda, and only in exceptional circumstances will outputs be added to the biennial agenda and current list of outputs.

8.5 The outcome of the preliminary assessment should be submitted to the Council or a committee concerned for approval, and should include the appraisal by the Chair of:

- .1 whether the proposal complies with the requirements for the submission of proposals for outputs, as specified in annex 3;
- .2 whether the proposal complies with the criteria specified in paragraph 8.6;
- .3 whether the demonstrated need of the proposal requires its inclusion on the biennial agenda; and, if so
- .4 whether the agenda of the IMO organ can absorb the work associated with the output.

Assessment of proposals for outputs

8.6 Before deciding to accept a proposal for a new output, the Council or committee concerned shall carry out an assessment of the proposal against the following criteria:

- .1 Is the subject addressed by the proposal considered to be within the scope of IMO's mission?
- .2 Does the proposal involve the exercise of functions conferred upon a committee by or under any international convention or related instrument?
- .3 Has a need for the output been justified and documented?
- .4 Has an analysis been provided that justifies and documents the practicality, feasibility and proportionality of the proposed output?
- .5 Has the analysis of the issue sufficiently addressed the cost to the maritime industry as well as the relevant legislative and administrative burdens?⁶
- .6 Are the benefits (e.g. enhanced maritime safety, maritime security, protection of the marine environment or facilitation of maritime traffic) that are expected to be derived from the inclusion of the proposed output clearly stated?
- .7 Do adequate industry standards exist or are they being developed?
- .8 Has the proposed output been properly specified in SMART terms (specific, measurable, achievable, realistic, time-bound)?
- .9 Does the completed checklist contained in annex 5 of this document demonstrate that the human element has been sufficiently addressed?
- .10 If inclusion of the output in the current biennium is proposed, is this action properly justified?

⁶ Refer to the checklist in annex 4, which should be completed by all proponents of outputs and attached to their proposals for consideration by the Council and committees. The Council and committees may also use the checklist in annex 4 before adopting new, or amending existing, mandatory instruments, in order to satisfy themselves that administrative requirements have been minimized to the greatest extent possible.

- .11 Would a decision to reject or postpone the commencement of the work in relation to the proposal pose an unreasonable risk to the Organization's overall mission?

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

Decision on acceptance and inclusion of outputs

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

- .1 the proposal is not within the scope of the mission of the Organization and should not, therefore, be accepted for inclusion;
- .2 the need has not been sufficiently demonstrated and therefore the output should not be included;
- .3 for outputs for which extensive work is required, such as the revision of conventions or the preparation of codes, the chair of the associated body, or the coordinating body if applicable, should be invited, with the support of the Secretariat, to prepare a comprehensive and coherent plan of work in order to inform the Council or relevant committee of the full impact of the proposed output before it finalizes its decision on the output;
- .4 the urgency of the proposed action did not justify inclusion within the current biennium, and therefore accept the output for inclusion in the next biennium;
- .5 the implications for the present workload of the Organization are unacceptable within the current biennium, and therefore accept the output for inclusion in the next biennium; or
- .6 the demonstrated need for the output is such that it should be included, together with a target date for completion, in the biennial agenda, provided it is satisfied that the implications for the workload and planning are acceptable.

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

8.9 Following a decision by the Council or a committee to include an output in its biennial or post-biennial agenda, it shall decide whether the output contributes to the delivery of a Strategic Direction. Outputs that are not directly related to the Strategic Directions can be accepted as "Other Work".

8.10 Following a decision by the Council or a committee to include an output in its post-biennial agenda, it shall include the output, and the time scale for completion, in its proposals for the list of outputs of the next biennium.

Decision on inclusion in the biennial agenda of subsidiary bodies

8.11 A decision by the Council or a committee to include an output in the biennial agenda of a subsidiary body shall include clear and detailed instructions for the work to be undertaken by the subsidiary body/bodies concerned, preferably by establishing the terms of reference under which such work should be undertaken.

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

8.12 A decision by the Council or a committee to include an output on the agenda of more than one subsidiary body shall:

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

8.13 For interrelated outputs contributing to the same overall objective, designate the subsidiary body to oversee the consistency of the work on those outputs.

Other principles on outputs

8.14 The committees shall report on their decisions on proposals for outputs in their regular reports to the Council, for endorsement and in order to facilitate the monitoring of the delivery of current biennial agendas and the planning of future work.

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

8.16 Proposals for the inclusion of outputs may be developed and submitted by a subsidiary body when such proposals arise from other outputs already on the agenda of that subsidiary body.

8.17 Proposals for the inclusion of outputs which are submitted by non-governmental organizations shall be co-sponsored by Governments.

8.18 Follow-up action in response to specific requests for action emanating from the Assembly and diplomatic conferences convened by IMO, United Nations conferences and bodies, regional intergovernmental conferences and other international and intergovernmental organizations, etc., shall be evaluated in the light of this document.

8.19 Following a decision by the Council or a committee to include in its biennial or post-biennial agenda an output involving the amendment of mandatory instruments, it must, in keeping with the provisions of resolution A.998(25), initiate the assessment of any capacity building and technical assistance pertaining to that item when work starts on the output, by following the prescribed procedure.

9 FORMAT AND CONTENT OF REPORTS

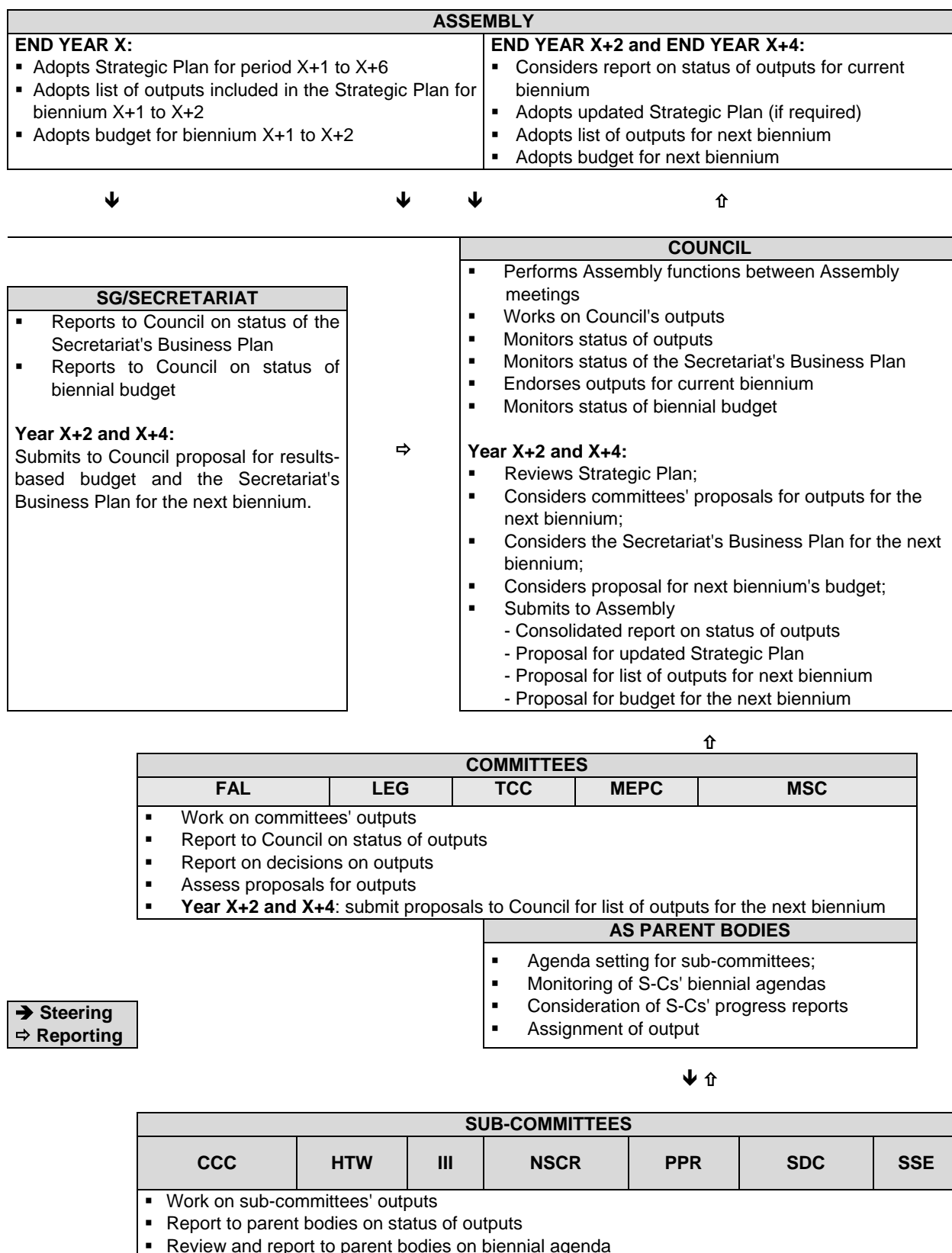
9.1 Reports on the status of outputs included in the list of outputs shall follow format 1 set out in annex 2, and shall constitute or be annexed to the reports of each session of the sub-committees⁷ and committees and the biennial report of the Council to the Assembly. Such reports shall identify new outputs accepted for inclusion in the biennial agendas.

9.2 In preparing its own report, each IMO organ shall incorporate all reports it has received since its previous report on the status of outputs.

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

⁷ Should an associated organ not have been requested to consider an output during a session in the biennium, that organ is not required to include the specific output in its biennial agenda for that session.

DIAGRAM 2: STEERING AND REPORTING FLOWS



→ Steering
⇒ Reporting

ANNEX 2

FORMAT 1: BIENNIAL STATUS REPORT

[Name of organ]									
Reference to SD, if applicable	Output number ^a	Description	Target completion year ^b	Parent organ(s)	Associated organ(s)	Coordinating organ	Status of output for Year 1 ^c	Status of output for Year 2 ^c	References ^d
Notes:									
Notes:									

Notes:

- a When individual outputs contain multiple deliverables, the format should report on each individual deliverable.
- b The target completion year should be specified as a year, or indicate that the item is annual or continuous. This should not indicate a number of sessions.
- c The entries under the "Status of output" columns are to be classified as follows:
 - "completed" signifies that the output for the year in question has been duly finalized;
 - "in progress" signifies that work on the output has been progressed, and that finalization is expected in the target completion year;

- "ongoing" signifies that the outputs relate to work of the respective IMO organs that is a permanent or continuous task; and
 - "postponed" signifies that the respective IMO organ has decided to defer the production of relevant outputs to another time (for example, until the receipt of corresponding submissions) and accordingly that the output has been introduced on the post-biennial agenda;
 - "extended" signifies that further work is necessary and that the output will not be finalized as planned; and
 - due to the nature of annual outputs, the status can either be "completed" or "postponed".
- d References should be made to the relevant part of the organ's report on this item.

FORMAT 2: POST-BIENNIAL AGENDAS OF COMMITTEES

[NAME OF COMMITTEE]								
ACCEPTED POST-BIENNIAL OUTPUTS				Parent organ(s)	Associated organ(s)	Coordinating organ	Timescale	Reference
Number	Biennium ^e	Reference to Strategic Direction, if applicable	Description					

Notes:

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

ANNEX 3

**INFORMATION REQUIRED IN SUBMISSION OF PROPOSALS
FOR INCLUSION OF AN OUTPUT**

(Reference: paragraph 8.2)

- 1 **IMO's objectives:** Provide evidence whether and how the proposal:
 - .1 is within the scope of IMO's mission; and
 - .2 contributes to the implementation of the Strategic Directions established in the Strategic Plan, if applicable. Outputs that are not directly related to the Strategic Directions can be accepted as "Other work".
- 2 **Need:** Demonstrate and document:
 - .1 the need for the proposed output in terms of the risks or hazards which are considered necessary to be addressed⁸; and
 - .2 the evidence to support the perceived need.
- 3 **Analysis of the issue:** Provide an analysis of the proposed measure, including an assessment of its practicability, feasibility and proportionality.
- 4 **Analysis of implications:** Provide an analysis of the implications of the proposal, addressing the cost to the maritime industry as well as the relevant legislative and administrative burdens (including the proposed method(s) of fulfilling any resulting administrative requirement).
- 5 **Benefits:** Provide evidence that the benefits vis-à-vis enhanced maritime safety, maritime security or protection of the marine environment expected to be derived from the inclusion of the new item justify the proposed action.
- 6 **Industry standards:** Provide information on whether adequate industry standards exist or are being developed and the intended relationship between such standards and the proposed output.
- 7 **Output:** Specify the intended output in SMART terms (specific, measurable, achievable, realistic, time-bound) including the scope of application. If work on an output is expected to go beyond one biennium, the expected deliverables for each biennium should be detailed.
- 8 **Human element:** Provide the completed checklist contained in MSC-MEPC.7/Circ.1 to demonstrate that the human element has been sufficiently addressed.
- 9 **Urgency:** Provide, with reference to the current Strategic Plan, evidence of:
 - .1 the urgency of the proposed output including any proposal to include the proposed output on the biennial agenda; and
 - .2 the date that the proposed output should be completed.
- 10 **Action required:** Specify the action required by the IMO organ.

⁸ If the proposed output included the development of a new Convention or the amendment of an existing Convention then the principles contained within A.500(XII) and A.998(25) on the demonstration of a "compelling need" should be respected.

ANNEX 4

CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS

This checklist should be used when preparing the analysis of implications required in submissions of proposals for inclusion of outputs. For the purpose of this analysis, the term "administrative requirements" is defined in resolution A.1043(27), i.e. administrative requirements are an obligation arising from future IMO mandatory instruments to provide or retain information or data.

Instructions:

- (A) If the answer to any of the questions below is **YES**, the Member State proposing an output should provide supporting details on whether the requirements are likely to involve start-up and/or ongoing costs. The Member State should also give a brief description of the requirement and, if possible, provide recommendations for further work (e.g. would it be possible to combine the activity with an existing requirement).
- (B) If the proposal for the output does not contain such an activity, answer **NR** (Not required).
- (C) For any administrative requirement, full consideration should be given to electronic means of fulfilling the requirement in order to alleviate administrative burdens.

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

ANNEX 5

CHECKLIST FOR CONSIDERING HUMAN ELEMENT ISSUES BY IMO BODIES⁹

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

⁹ Checklist from MSC-MEPC.7/Circ.1.

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

ANNEX 6

GUIDELINES FOR CONSIDERING AND REVIEWING THE OUTCOMES OF FSA STUDIES

Purpose

1 The purpose of these guidelines is to assist the committees in considering and reviewing the outcomes (i.e. RCOs or other recommendations) of FSA studies. These guidelines provide a bridge between the FSA Guidelines (MSC-MEPC.2/Circ.12) and the document on the Application of the Strategic Plan.

Background

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

3 The document on *the Application of the Strategic Plan of the Organization* contains guidance on how the committees may consider placing new outputs on the biennial agenda of the different bodies.

Guidance for Committees

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

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

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

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

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

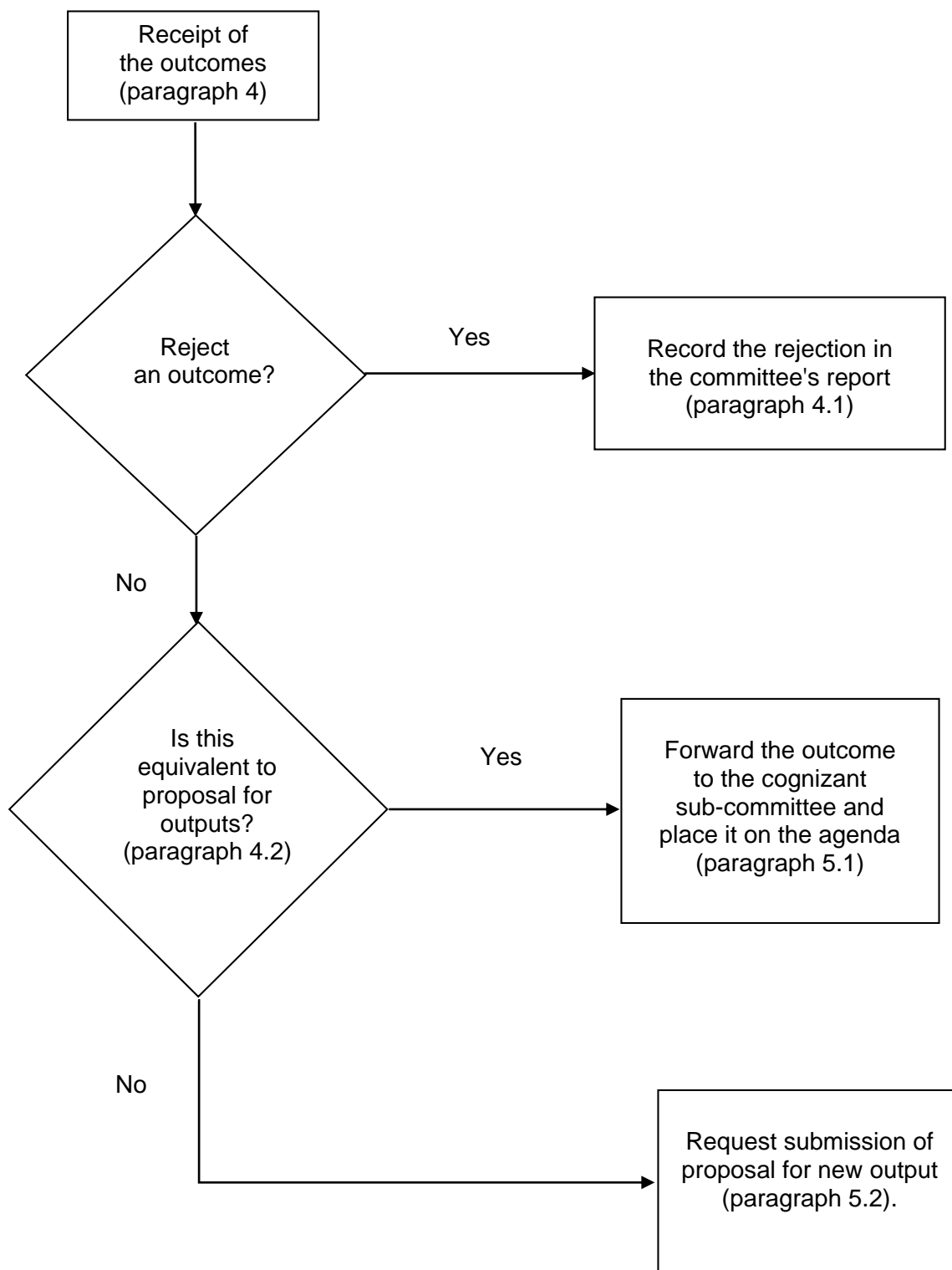


Figure 1 – Flowchart for committees' management of outcomes (i.e. RCOs or other recommendations from an FSA study)