



AD HOC COUNCIL WORKING GROUP ON  
THE ORGANIZATION'S STRATEGIC  
PLAN

8th session

Agenda item 3

CWGSP 8/3  
7 August 2008  
ENGLISH ONLY

## GUIDELINES OF THE APPLICATION OF THE STRATEGIC AND HIGH-LEVEL ACTION PLANS: REPORT OF THE CORRESPONDENCE GROUP

Note by the Secretariat

### SUMMARY

<b><i>Executive summary:</i></b>	This document contains the report of the Correspondence Group that was established for the development of the Guidelines on the application of the Strategic Plan and the High-level Action Plan
<b><i>Strategic direction:</i></b>	4
<b><i>High-level action:</i></b>	4.5.1
<b><i>Planned output:</i></b>	4.5.1.1
<b><i>Action to be taken:</i></b>	Paragraph 7.1
<b><i>Related documents:</i></b>	C 100/3(a); C 100/3(b); C 100/15(b); C 100/WP.3; MSC 84/21; MSC 84/22/20; MSC 84/WP.10; MSC 84/24; MSC 84/INF.15; MEPC 57/21; MEPC 58/20; CWGSP 8/2; C/ES.24/3(a); C/ES.24/3(b); C/ES.24/6; C/ES.24/10/1; C/ES.24/12(e); CWGSP 7/4; CWGSP 7/7 and MSC 83/WP.10

## 1 GENERAL

### Introduction

1.1 At its twenty-fifth session the Assembly adopted resolution A.990(25), the High-level Action Plan of the Organization and Priorities for the 2008-2009 biennium. Operational paragraph 4 of the resolution requests the Council, on a priority basis and through its *ad hoc* Working Group on the Organization's Strategic Plan, to develop guidelines for all IMO organs on the application of the Strategic Plan and the High-level Action Plan, including guidance for the assessment of work programme items and for the format and content of reports on work carried out by the respective bodies of the Organization. Operational paragraph 5 of resolution A.990(25) requests the Council and the Committees to review and revise the Guidelines for the organization and method of their work in the light of the guidelines developed by the Council on the application of the Strategic Plan and the High-level Action Plan.

For reasons of economy, this document is printed in a limited number. Delegates are kindly asked to bring their copies to meetings and not to request additional copies.

1.2 At its twenty-fourth extraordinary session the Council approved the establishment of a Correspondence Group for the development of Guidelines on the application of the Strategic Plan and the High-level Action Plan.

### **Terms of Reference of the Correspondence Group**

1.3 In accordance with the above-mentioned Council decision at C/ES.24, the terms of reference of the Correspondence Group are to:

- .1 develop, taking into account the views of the Council and the meeting of Chairmen, the Guidelines on the application of the Strategic Plan and the High-level Action Plan, which should include guidance for the assessment of work programme items and for the format and content of reports on work carried out by the respective organs of the Organization;
- .2 consider any consequential modifications to the guidelines on the organization and method of work of the various IMO organs; and
- .3 submit its report to the eighth session of the *Ad Hoc* Council Working Group on the Organization's Strategic Plan (CWGSP 8) in September 2008, so as to review and finalize the Guidelines for consideration and approval by the Council at its one hundred and first session in November 2008.

### **Participation in the Correspondence Group**

1.4 Representatives of the following Member Governments participated in the Correspondence Group:

AUSTRALIA	MEXICO
BAHAMAS	NETHERLANDS
BELGIUM	PANAMA
BRAZIL	POLAND
CHILE	SINGAPORE
DENMARK	SOUTH AFRICA
FRANCE	SPAIN
GREECE	SWEDEN
ITALY	TURKEY
JAPAN	UNITED KINGDOM
KENYA	UNITED STATES
MARSHALL ISLANDS	

1.5 In accordance with the views of the meeting of Chairmen on 8 October 2007 all the Chairmen of the Committees and Sub-Committees participated in the Correspondence Group. Information was also received from the IMO Secretariat.

### **Organization and method of work**

1.6 The Correspondence Group started its work on 1 January 2008, and worked in accordance with the existing guidelines for Correspondence Groups. The Group's coordinator (the Netherlands) circulated a number of documents and systematically processed and analyzed the Group's responses to such documents.

1.7 The following working documents, all prepared by the coordinator, have been circulated to the Correspondence Group:

- CG-GAP/1: Start-up document for the Correspondence Group;
- CG-GAP/2: Responses to document CG-GAP/1;
- CG-GAP/3: Analysis of responses to document CG-GAP/1;
- CG-GAP/4: Abstract of JIU report 2007/7 (background document);
- CG-GAP/5: The HLAP 2008-2009 unravelled (including four annexes);
- CG-GAP/6: Handling new work programme items;
- CG-GAP/7 (+ Add.1): Responses to document CG-GAP/5;
- CG-GAP/8: Responses to document CG-GAP/6;
- CG-GAP/9: Draft provisional guidelines for new work programme items.

1.8 In the course of its work, the Correspondence Group took into account the background information provided in the following reference documents:

- Strategic Plan for the Organization for the six-year period 2008-2013 (resolution A.989(25));
- High-level Action Plan of the Organization and priorities for the 2008-2009 biennium (resolution A.990(25));
- Report of the seventh session of the *ad hoc* Council Working Group on the Organization's Strategic Plan; CWGSP 7 (C/ES.24/3(a));
- Report of the second session of the Council Working Group on Risk Review, Management and Reporting; CWGRM 2 (C/ES.24/3(b));
- Programme budget for the twenty-fifth financial period 2008-2009 (C/ES.24/6);
- Report of the meeting on work methods of the Committees of the Organization (C/ES.24/10/1);
- Joint Inspection Unit; Report on the Review of Management and Administration in the International Maritime Organization; JIU/REP 2007/7 (C/ES.24/12(e));
- Review of outputs produced during the biennium 2006-2007 (CWGSP 7/4);
- Assessment of proposals for new work programme items against the Strategic Plan and the High-Level Action Plan (CWGSP 7/7);
- Report of the 2007 Chairmen's meeting; 8 October 2007 (MSC 83/WP.10).

1.9 The Correspondence Group acknowledged that, for the time being, the JIU report on management and administration in IMO (JIU/REP 2007/7) should only be noted and should be further considered, as appropriate, after C 100 in June 2008 had examined that report and the Secretary-General's response thereto (see paragraph 5.5).

## **Presentations**

1.10 Presentations on the current status of development in the Correspondence Group were given in the margin of the third session of the Council Risk Review, Management and Reporting Working Group (CWGRM 3; April 2008) and at the 2008 Chairmen's Meeting on 16 June 2008<sup>1</sup>.

## **2 SCOPE AND OBJECTIVES OF THE GUIDELINES**

2.1 The Correspondence Group agreed that it would be essential to start the development of guidelines on the application of the Strategic Plan and the High-level Action Plan from a clear and commonly shared set of principles defining the scope and objectives of the guidelines.

---

<sup>1</sup> See documents MSC 84/WP.10 and MEPC 58/20.

The Group agreed on the following list that was offered as a starting point for discussion on such principles.

- 2.2 The Correspondence Group agreed that the Guidelines to be developed should:
- .1 strengthen the planning and reporting processes in general (i.e. by linking agenda setting, work programme prioritization and reporting to the Strategic and High-level Action Plans);
  - .2 strengthen the linkage between the work programme (planned outputs) and the resources required to deliver the outputs;
  - .3 facilitate the Council and the Committees in controlling and monitoring the Organization's work;
  - .4 promote a greater understanding and assimilation of the interconnections between the Strategic and High-level Action Plans and the planned biennial outcomes;
  - .5 promote a new culture and discipline in adherence to the planning procedures and guidelines;
  - .6 promote objectivity, clarity and realistic priorities and timeframes in the establishment of work programmes;
  - .7 establish responsibilities and promote involvement of the Chairmen, the Secretariat and the Member States in the planning and reporting processes;
  - .8 provide a framework for and/or guidance on:
    - (a) control and management of planning processes;
    - (b) responsibility and accountability;
    - (c) format and content of reports on work carried out;
    - (d) establishment of priorities and assessment of new work programme items;
    - (e) revision of the guidelines on the organization and methods of work; and
    - (f) identification of risks associated with organizational status and effectiveness;and
  - .9 address the concerns and respond to the recommendations in JIU report 2007/7<sup>2</sup>, in particular the recommendations concerning:
    - (a) improvement of the efficiency of committees, subcommittees and working groups;
    - (b) transition to a result-based management structure and culture;
    - (c) application of performance indicators in the planning and budget process;
    - (d) improvement of the Organization's planning and monitoring capacity;
    - (e) provision of adequate resources for (additional) mandates/tasks; and
    - (f) development of mechanisms for evaluation and needs assessments of programmes.

---

<sup>2</sup> See paragraph 1.9.

2.3 The Correspondence Group provisionally agreed the following framework (table of contents) for the Guidelines:

- Introduction – Definitions – Scope/objectives – Application;
- Objectives and general description of strategic planning processes;
- Management and control – Responsibilities and accountability;
- Guidance on specific planning issues, processes and procedures (i.e. for agenda setting, work programme prioritization and reporting);
- Format and content of reports.

### **Responses to document CG-GAP/1**

2.4 A summarized overview of the Group's comments and views on the scope and objectives of the Guidelines is given in annex 1.

## **3 VERTICAL ALIGNMENT**

### **Introduction**

3.1 The general comments and views on the scope and objectives of the Guidelines (as summarized in annex 1) showed a great variety of opinions on the further development of the guidelines on the application of the Strategic Plan (SP) and the High-level Action Plan (HLAP). A provisional conclusion that was drawn from the comments indicated three major common denominators:

- .1 the importance of “vertical alignment” in the application of the SP and HLAP, in order to enhance the administrative management and to promote a more result-oriented culture within the Organization;
- .2 the need to develop a more robust and fundamental procedural framework for the assessment of proposals for new work programme items (and for the continuous assessment of existing ones), in order to address difficulties resulting from the application of the present assessment procedure (such as insufficient allocation of priorities and setting of non-realistic timescales, resulting in overburdening of the Sub-Committees and in the establishment of too many additional groups); and
- .3 the need for greater transparency and understanding, while at the same time avoiding additional bureaucracy and inflexibility.

3.2 With a view to further develop the idea of “vertical alignment” working document CG-GAP/5 was prepared, aiming at translating that idea into administrative management arrangements for the (strategic) planning and reporting cycle. The document included provisional ideas on such arrangements, followed by a set of concrete questions.

### **Administrative management arrangements; tiered approach**

3.3 A strict planning/steering and reporting cycle should form a cornerstone – if not the backbone – of the Guidelines. In order to unravel this cycle the present HLAP was stripped down by a tiered approach following the general steering and reporting flows within the Organization. These flows have been outlined in annex 2.

3.4 In the course of stripping down the HLAP four formats (“tiers”) were fabricated, as follows<sup>3</sup>:

*Tier 1 represented a basic translation of the HLAP 2008-2009, focusing on the high-level actions and their related planned outputs for the biennium. The original HLAP-format was somewhat restructured in order to clearly identify the responsible or involved organs of the Organization, down to Committee level.*

*Tier 2 represented a breakdown of tier 1 (planned outputs only) by responsible and/or involved organs. Where more than one organ is responsible or involved the planned output was included in the format for each of such organ.*

*It was concluded that the separate parts of this tier may be considered as the “work programme 2008-2009” for the organ concerned.*

*The formats for the MSC and the MEPC included the Sub-Committee(s) involved for each single planned output. As such, tier 2 would form the basis, in principle, for setting the agendas of the Sub-Committees.*

*Tier 3 represented the translation of tier 2 to the level of the individual Sub-Committees. In those cases where more than one Sub-Committee is involved in realizing the planned output, such planned output was only assigned to the leading (coordinating) Sub-Committee, with a reference to the other Sub-Committee(s) involved.*

It was concluded that the separate parts of tier 3 may be considered as the specific “work programmes 2008-2009” for the Sub-Committees, and that the format used in this tier provided a good basis for the “return loop”, i.e. progress reporting (see tier 4).

*Tier 4 represented the translation of tier 3 into practical reporting sheets for the Sub-Committees. As such, the format represented the first tier in the reporting loop of the total cycle. The idea was to use the format for brief (SMART) summary reports on progress for every single planned output.*

3.5 Tier 4 concerns reporting from the Sub-Committees to their parent bodies, i.e. MSC and MEPC. Further translations in a tier 5 (reports from Committees to the Council), a tier 6 (reports from the SG/Secretariat to the Council) and a tier 7 (reports from the Council to the Assembly) may follow the same design and structure, and may practically be build up from the “lower” tiers.

### **Analysis and findings**

3.6 The exercise of stripping down the HLAP 2008-2009 offered the opportunity to further analyse it. This resulted in the following findings:

- .1 the appearance of quite a number of apparent “multiple entries”. Such multiple entries may very well be justified, since certain planned outputs may be instrumental to more than one high-level action. In most cases this is reflected by cross-references in the HLAP. However, there may very well be more of such multiple entries, but not always recognizable as such. In order to avoid confusion it would be practical to clearly identify all multiple entries;

---

<sup>3</sup> The four formats were circulated as (bulky) attachments to document CG-GAP/5.

- .2 the appearance of quite a number of “vague expressions” and various “levels of abstraction” in the formulation of high-level actions and planned outputs, ranging from guidelines on very specific subjects to barely specified amendments of Conventions. The Guidelines on the application of the SP and HLAP should further encourage the use of “SMART” formulations;
- .3 quite a number of work programme items appeared in the present work programmes of the Sub-Committees that found *no* corresponding planned output in the HLAP, or at least not a *recognizable* output. In order to complete the picture a table was added in the format of tier 3, listing such “uncovered” work programme items for each individual Sub-Committee;
- .4 conversely, a relative large number of planned outputs appeared that were *not* covered by either a (recognizable) corresponding work programme item and/or a corresponding item on the provisional draft agenda for the forthcoming session;
- .5 a noticeable number of work programme items still appeared to wear the label “*continuous*”. Paragraph 2.19 of the Guidelines on the organization and method of work of the MSC and the MEPC and their subsidiary bodies (MSC-MEPC.1/Circ.1) discourages subsidiary bodies from proposing continuous and umbrella items for inclusion in their work programmes and agendas. In view of the aim to promote more “SMARTness” in the Organization the inclusion of such items in work programmes should be further discouraged. In specific cases where such is inevitable, efforts should be made to identify interim outputs for the biennium;
- .6 another inconsistency concerned the so-called “cross-cutting” WP items, i.e. the items where more than one Sub-Committee is involved, with usually one Sub-Committee named as coordinator. The registration of such items in the work programmes appeared far from consistent; and
- .7 the target completion dates (TCD) as established in the present work programmes of the Sub-Committees were added in the format for tier 4. Apart from the “continuous” items (see the observation under 3.6.5) the majority of TCDs fall within the current biennium, only a few extend to 2010. However, TCDs for quite a number of items have been determined by the number of sessions needed for completion of the task.

3.7 It was concluded that most of the findings in paragraph 3.6 should be considered as “growing pains” and/or as easily explainable<sup>4</sup>. But the Guidelines should further encourage consistent and disciplined administrative management of the planning and reporting cycle, in order to promote strict “vertical alignment”. The Guidelines should also clearly recognize and emphasize the common responsibilities of the Member States and the Secretariat for consistency and discipline, while they may in this respect specify a “guardian role” for the management of the (Sub-) Committees (i.e. Chairman, Vice-Chairman and Secretary).

### **Responses to document CG-GAP/5**

3.8 A summarized overview of the Group’s comments and views on the issue of “vertical alignment” and administrative management arrangements is given in annex 3.

---

<sup>4</sup> See paragraphs 3.13 and 5.3 on the follow-up of the findings in paragraph 3.6.

## **Tentative conclusions**

3.9 From the comments received on working document CG-GAP/5 it was tentatively concluded that the respondents considered the stepped/tiered approach a proper translation of the idea of “vertical alignment”. The respondents also considered the proposed formats an adequate tool for the administrative management of the planning/steering and reporting cycle in the framework of the Strategic Plan and the High-level Action Plan. A majority expressed concerns over the complexity of the tiered approach and over the potential burden of keeping the administration up to date. Flexibility, manageability, proportionality, transparency and balance should therefore be recognized as important preconditions to any administrative management arrangements to be set up.

3.10 Another tentative conclusion that was drawn from the responses to document CG-GAP/5 is that there was broad agreement over the following principles, provided that the preconditions mentioned in paragraph 3.9 are met:

- .1 planned outputs included in the HLAP should form the basis for the biennial work programmes and the agendas of the Committees and Sub-Committees;
- .2 the work programmes and the agendas of the Committees and Sub-Committees should in principle only contain planned outputs that are explicitly laid down in the HLAP;
- .3 the work programmes and the agendas of the Sub-Committees should be fixed for the (full) current biennium;
- .4 new items (“unplanned outputs”) should only be included after a full and thorough assessment of proposals for such new – unplanned – items by the responsible Committee;
- .5 the present work programme formats for the Sub-Committees could be phased out, to be replaced by the formats under tier 3;
- .6 documents submitted to a (Sub-) Committee under a specific agenda item should clearly and substantively demonstrate the direct relation between the proposals therein and the planned output to be accomplished under that agenda item;
- .7 planned outputs should not extend beyond the current biennium; for work programme items with a TCD beyond the current biennium the HLAP should specify the planned (interim) output at the end of the biennium;
- .8 work programmes should not include TCDs or time frames specified by a certain number of sessions; and
- .9 continuous work programme items should be further discouraged, since they are inconsistent with the philosophy behind the SP and HLAP; in specific cases where such is inevitable, efforts should be made to specify interim outputs for the biennium.

3.11 From the comments received on the suggestion in document CG-GAP/5, that reporting of Sub-Committees to the Committees could be (considerably) simplified and streamlined by using the format for reports under tier 4, it became clear that this issue needed further consideration.



Many respondents were of the view that reports of Sub-Committees contain important information about what happened at a meeting. Reporting in the format of tier 4 should therefore be additional to rather than replacing present reporting arrangements.

3.12 Respondents to CG-GAP/5 were further in broad agreement that the Guidelines on the application of the Strategic Plan and the High-level Action Plan should:

- .1 recognize and emphasize the common responsibilities of the Member States and the Secretariat for consistency and discipline in the administrative management of the planning and reporting cycle;
- .2 specify and establish the “guardian role” of the management of the (Sub-) Committees (i.e. Chairman, Vice-Chairman and Secretary) in regard of the administrative management of the planning and reporting cycle; and
- .3 address the organization and management of the planning and reporting cycle only in general terms, thereby establishing the general principles and conditions for the reinforcement of the administrative management; consequential and specific amendments to their Guidelines on the organization and method of work should be left to the Committees.

3.13 Finally, the respondents broadly agreed that there was reason to address present inconsistencies as observed in paragraph 3.6, in order to as far as much dovetail the “uncovered” items identified in the present work programmes (i.e. work programme items not covered by the HLAP) into the current HLAP. It was concluded that any appropriate action to be taken on this issue would be further considered after the forthcoming Committee meetings (MEPC 57 and MSC 84), and after possible subsequent discussion at the Meeting of Chairmen to be held on 10 May 2008<sup>5</sup>.

## **4 NEW WORK PROGRAMME ITEMS**

### **Introduction**

4.1 The assessment of proposals for new work programme items (WPI) is one of the key issues to be addressed in the Guidelines for the application of the Strategic Plan and the High-level Action Plan. This is recognized in operative paragraph 4 of resolution A.990(25), which requests the Council, on a priority basis and through its *Ad hoc* Working Group on the Organization’s Strategic Plan, to develop guidelines for all IMO organs on the application of the Strategic Plan and the High-level Action Plan, *including guidance for the assessment of work programme items* and for the format and content of reports on work carried out by the respective bodies of the Organization. Consequently, this is also recognized in the Terms of Reference for the Correspondence Group, which is to develop the Guidelines on the application of the Strategic Plan and the High-level Action Plan, which should include *guidance for the assessment of work programme items* and for the format and content of reports on work carried out by the respective organs of the Organization.

4.2 The importance of the issue was further confirmed in the Correspondence Group’s responses to the start-up document (CG-GAP/1), many of which acknowledged the need to strengthen existing procedures for the assessment of new WPIs, and/or to improve implementation of and adherence to the existing procedures. More in general, the responses

---

<sup>5</sup> See paragraph 5.3 on the follow-up of the findings in paragraph 3.6 and on the conclusion in paragraph 3.13.

underlined the need to develop a more robust and fundamental procedural framework for the assessment of proposals for new WPIs (and for the continuous assessment of existing ones), in order to address difficulties resulting from the application of the present assessment procedure (such as insufficient allocation of priorities and setting of non-realistic timescales, resulting in overburdening of the Sub-Committees and in the establishment of too many additional groups).

4.3 Subsequently, working document CG-GAP/6 was prepared aiming to provide a basis for further discussion on the handling of new WPIs within the framework of the Strategic Plan and the High-level Action Plan. The document described the existing procedure for the assessment of proposals for new WPIs in MSC-MEPC.1/Circ.1, as well as a proposed new assessment procedure (CWGSP 7/7) and the outcome of the consideration of that proposal by CWGSP 7 and by the meeting of Chairmen held during MSC 83. The document further recapitulated earlier comments and decisions on the issue of new WPIs, while it opened further discussion by raising a number of questions, which in particular addressed the following aspects of the issue:

- .1 the definition of “new work programme item” (see paragraph 4.4);
- .2 the need for (additional) requirements for the submission of proposals for new work programme items;
- .3 the need for (additional) requirements for the (pre-)assessment of proposals for new work programme items;
- .4 the need for (additional) requirements for the prioritization of new work programme items;
- .5 the need for (additional) requirements for the implementation of guidelines and procedures;
- .6 the need for (additional) requirements for the adherence to guidelines and procedures; and
- .7 the need for possible other (additional) requirements.

4.4 Document CG-GAP/6 considered that it would be important to determine a common position on the definition of “new work programme item”. The agreed principle in paragraph 3.10.2 implicates:

- .1 that only proposals for new (i.e. unplanned) outputs should be considered to be proposals for *new* work programme items, to be submitted to and assessed by the appropriate Committee (parent body); and
- .2 that any proposal that may reasonably contribute to the delivery of already planned outputs should *not* be considered to be a new work programme item; such proposals may as such be submitted to the appropriate Committee or Sub-Committee, and would not require further assessment.

This definition, as well as the consequential assessment procedure, would be only workable under the conditions of very precisely and SMARTly formulated planned outputs and likewise very precisely written proposals. Only under such conditions Committees or Sub-Committees would be able to make a clear distinction between proposals for *new* outputs (4.4.1) and proposals contributing to already *planned* outputs (4.4.2) without lengthy discussions.

## **Responses to document CG-GAP/6**

4.5 A summarized overview of the Group's comments and views on the issue of new work programme items is given in annex 4.

### **Provisional draft guidelines on new work programme items**

4.6 Annex 5 to this report presents a draft section on new work programme items, as it may be included in the provisional draft Guidelines on the application of the Strategic Plan and the High-level Action Plan<sup>6</sup>. The draft section has been developed on the foundation of the provisions on new work programme items in the present Guidelines on the organization and method of work of the MSC and the MEPC and their subsidiary bodies (MSC-MEPC.1/Circ.1, paragraphs 2.9 to 2.30). It takes into account the general aim and specific proposals on the assessment of new work programme items as submitted to the seventh meeting of the *Ad Hoc* Council Working Group on the Strategic Plan (document CWGSP 7/7, submitted by Australia, the Netherlands, Singapore, Sweden and the United Kingdom), while it intends to capture many of the earlier Correspondence Group's comments and suggestions as they have been consolidated in annex 4.

4.7 It should be noted that some of the provisions in annex 5 need further initial consideration before they may be developed into a proper provisional draft guideline. Those provisions have been identified by square brackets.

4.8 Appendix 1 to annex 5 provides a general explanation of the draft provisional Guidelines in annex 5, basically by rough references to the origins of the individual paragraphs in the draft section on new work programme items.

4.9 Appendix 2 to annex 5 presents a flow diagram depicting the assessment procedure described in annex 5.

## **5 RELATED DEVELOPMENTS**

### **Developments concerning the Strategic Plan and High-level Action Plan**

5.1 The Correspondence Group noted the information set out in document C 100/3(a) on developments concerning the Strategic and High-level Action Plans of the Organization. The Group further noted the information set out in document MSC 84/22/20 on relevant actions by A 25 and C/ES.24 on matters relating to the Strategic and High-level Action Plans.

### **Guidelines on the Organization and Method of Work**

5.2 The Correspondence Group noted the approval by MEPC 57 and MSC 84 of the proposed draft amendments to the Committee's guidelines on the Organization and Method of Work. The Group further noted the subsequent circulation of MSC-MEPC.1/Circ.2, which incorporates the approved amendments and supersedes the existing Guidelines.

---

<sup>6</sup> The provisional draft guidelines on new work programme items were circulated to the Correspondence Group by document CG-GAP/9, dated 23 June 2008.

## 2008 Chairmen's Meeting

5.3 The Correspondence Group noted the report of the 2008 Chairmen's Meeting (MSC 84/WP.10 and MEPC 58/20). The Group further noted the subsequent decisions taken by MSC 84 under its agenda items 21 (Application of the Committee's Guidelines) and 22 (Work Programme), in particular the decision taken by the Maritime Safety Committee that the present table of planned output contained in resolution A.990(25) should be reviewed by all Sub-Committee Chairmen together with respective Secretaries to recover any missing work programme items of the Sub-Committees and improve the accuracy of the table (MSC 84/24, paragraph 22.81 and MSC 84/INF.15).

## Risk Management Framework

5.4 The Correspondence Group noted the Council's approval of the Risk Management Framework as prepared by the Council Risk Review, Management and Reporting Working Group (C 100/3(a)). The Group also noted the linkages between the Risk Management Framework and the Strategic Plan and the High-level Action Plan established in the Framework.

## Joint Inspection Unit Report JIU 2007/7

5.5 The Correspondence Group noted the information set out in document C 100/15(b) on the report of the Joint Inspection Unit entitled "Review of management and administration in the International Maritime Organization", including the Secretary-General's comments thereon. The Group further noted the Council's decision to refer recommendations 1 (on reducing the number and duration of meetings, enforcing guidelines and reducing the volume of documentation) and 7 (on the need for the development of a mechanism for regular self-evaluation and needs assessment of programmes) to the *Ad Hoc* Working Group on the Strategic Plan for its further consideration.

5.6 On this point, the *Ad Hoc* Working Group may wish to recommend to the Council, as a result of its consideration of the issues referred to it by the Joint Inspection Unit (see also document CWGSP 8/2), that the substance of the JIU recommendations be incorporated, eventually and if desirable, in the guidelines on the application of the Strategic Plan and High-level Action Plan, and that this might also take into account other issues, which are possibly equally fundamental to the Guidelines, emanating from the Secretary-General's further consideration and implementation of JIU recommendation 5<sup>7</sup>.

## 6 FURTHER WORK

6.1 In view of its Terms of Reference, from the agreed scope, objectives and framework of the Guidelines and from other agreed principles in this report, it is the view of the Correspondence Group that further work on the guidelines on the application of the Strategic Plan and the High-level Action Plan would have to include:

- .1 further consideration of the format and content of reports (see paragraph 3.11);
- .2 consideration of the planning and reporting cycle (see paragraph 2.3);

---

<sup>7</sup> JIU recommendation 5: The Secretary-General should ensure that, starting from the financial period 2010-2011, an adequate direct linkage between input/resources and output/results at the programme, subprogramme and work programme level is established in order to further improve the Organization's planning and monitoring capacity.

- .3 further consideration of principles for the assessment and prioritization of proposals for new work programme items (see section 4 and annexes 4 and 5);
- .4 consideration of related principles for agenda management (see paragraph 2.3);
- .5 consideration of the issue of “reasonable workload” (see footnote 8);
- .6 further consideration of the linkage with the Risk Management Framework (see paragraph 5.4);
- .7 further drafting of the guidelines on the application of the Strategic Plan and the High-level Action Plan (see paragraph 1.3.1); and
- .8 consideration of any consequential modifications to the guidelines on the Organization and Method of Work of the various IMO organs (see paragraph 1.3.2).

## **7 ACTION REQUESTED OF THE WORKING GROUP**

7.1 The *Ad Hoc* Working Group on the Organization’s Strategic Plan is invited to note the Correspondence Group’s report in general and to:

- .1 endorse the Correspondence Group’s views on the scope, objectives and framework of the guidelines on the application of the Strategic Plan and High-level Action Plan (paragraphs 2.1 to 2.3);
- .2 endorse the Correspondence Group’s tentative conclusions on “vertical alignment” and administrative management arrangements in the framework of the Strategic Plan and the High-level Action Plan (paragraphs 3.9 to 3.13);
- .3 consider the provisional draft guidelines on new work programme items (paragraphs 4.6 to 4.9 and annex 5);
- .4 note the Correspondence Group’s views on the further work needed for the development of guidelines on the application of the Strategic Plan and the High-level Action Plan (paragraph 6.1);
- .5 finalize the Guidelines on the application of the Strategic Plan and the High-level Action Plan for consideration and approval by the Council at its one hundred and first session in November 2008 (paragraph 1.3); and
- .6 consider to recommend to the Council that the substance of the relevant JIU recommendations be incorporated in the guidelines on the Strategic Plan and the High-level Action Plan (paragraph 5.6).

\*\*\*



## ANNEX 1

**GENERAL COMMENTS AND VIEWS ON THE SCOPE AND OBJECTIVES  
OF THE GUIDELINES ON THE APPLICATION OF THE STRATEGIC PLAN  
AND THE HIGH-LEVEL ACTION PLAN**

(SUMMARY OF RESPONSES TO DOCUMENT CG-GAP/1)

*Australia*

- The identification of the subjects to be considered by the guidelines is extensive and pertinent; the nine points cover off the major issues that need to be addressed and the work now will be to ensure that we get the balance right in trying to achieve their ultimate aim;
- The current processes for assessing new work programme items is generally starting to drown the Committees and IMO with work; ensure that any refinement of the process allows for capturing the key issues to be addressed without making the process overly bureaucratic.

*Bahamas*

- The guidelines should ensure that the work of the various bodies complies not only with the decisions of the two senior bodies but also with the recommendations of the UN/JIU;
- Work programmes should be assessed in a more thorough way and proposed new work programme items should be subject to a more rigorous scrutiny than at present; the timescales set for dealing with them should be realistic in terms of the amount of time required for their completion;
- There is a need for clearer instructions to the Committees on how to deal with new proposals and particularly the way in which items should be transferred to S/C's;
- No country should submit proposals for new work programme items unless they consider the matters dealt with to be important; any criteria for prioritizing or deciding on timescales need to be realistic, precise and clear; the submitting country should know what will happen to the item and what the possibility is of it being dealt with in the timescale which they consider the matter requires.

*Italy*

- The guidelines should establish a sound, balanced set of procedures aimed at enhancing the sharing of new ideas, in a framework of as much simplicity and clarity as possible;
- The guidelines should not be too prescriptive, since this could result in obstacles to the submission and evaluation of new work programme items, and to the development of debates, which are the traditional added value of every IMO strategy.

*Singapore*

- Involvement and views of the Committee Chairmen and the Secretariat are crucial to the development of the guidelines.

*Sweden*

- The guidelines should give guidance on the practical use of planning documents;
- The guidelines should align the work of the IMO with its steering documents;
- The guidelines should point out the following needs: (a) for Council to fulfil its obligation in respect of controlling and steering the work; (b) for Committees to increase the transparency in the planning process;
- Committee Chairmen and members of the Secretariat should take an active part in the work

*United Kingdom*

- The guidelines should ensure that IMO is effective, the key control being the approval proposals for new work programme items;
- The focus should be on better implementation of existing principles when considering proposals for new work programme items.

*United States*

- There is a clear need for vertical alignment;
- Laying out the framework is critical to the success.

*Chairman BLG*

- The present Guidelines on the organization and method of work should be strengthened to ensure thorough and careful examination and allocation of priorities and target completion dates for new work programme items, to avoid overloading the Committees and Sub-Committees;
- A mechanism should be established to monitor strict implementation of the proposed new strengthened procedures.

*Chairman DSC*

- It is important to establish the differences between the scope of the Guidelines on the application of the Strategic Plan and the High-level Action Plan and the Guidelines on the organization and method of work; the links between them should be considered, especially on the issues related to new work programme items;
- The guidelines need to be clear and easily understandable by Sub-Committees;
- The guidelines should be a tool for Committees to foster, and not to hinder progress;
- The guidelines should not be bureaucratic; Committees should be able to address important safety issues swiftly without being hindered by too many administrative procedures;
- Concerns over new responsibilities and the work the guidelines may generate for Chairmen; more work given to Chairmen may discourage delegates to take the chair;
- Establishment of the guidelines can be an opportunity to consider how in the planning and reporting processes the Chairman and the Vice-Chairman may share responsibilities.

*Chairman FP*

- The High-level Action Plan should contain a fourth and a fifth column indicating the Sub-Committees' involvement in planned outputs;
- An adequate application of the High-level Action Plan should consider all relevant "users";
- The guidelines should contain relevant guidance to its users (Secretariat, Member States, Committees, Sub-Committees).

*Chairman SLF*

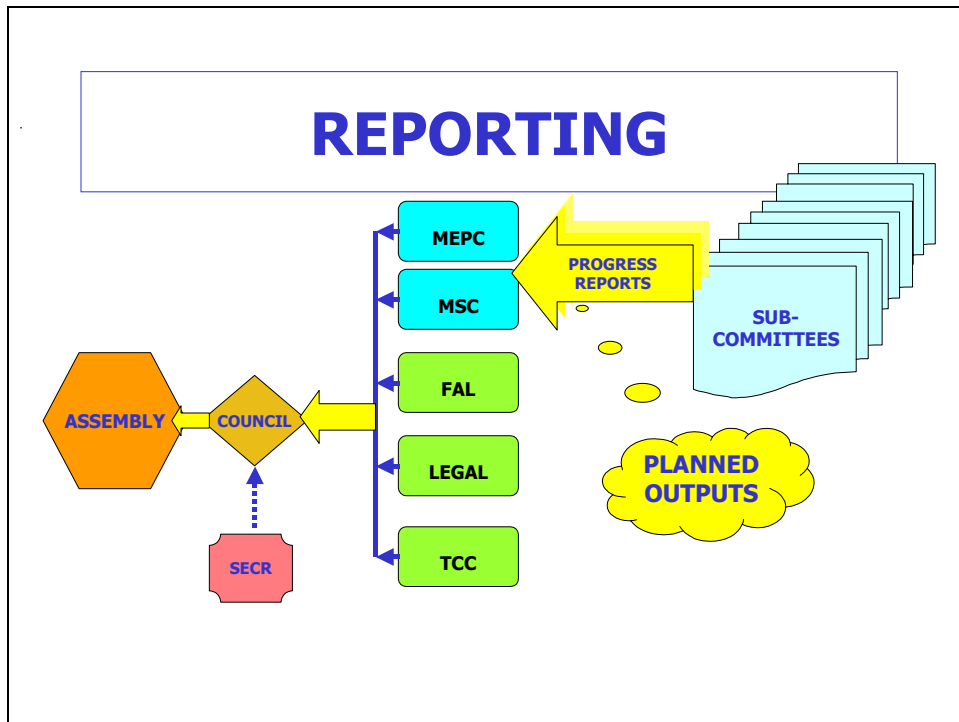
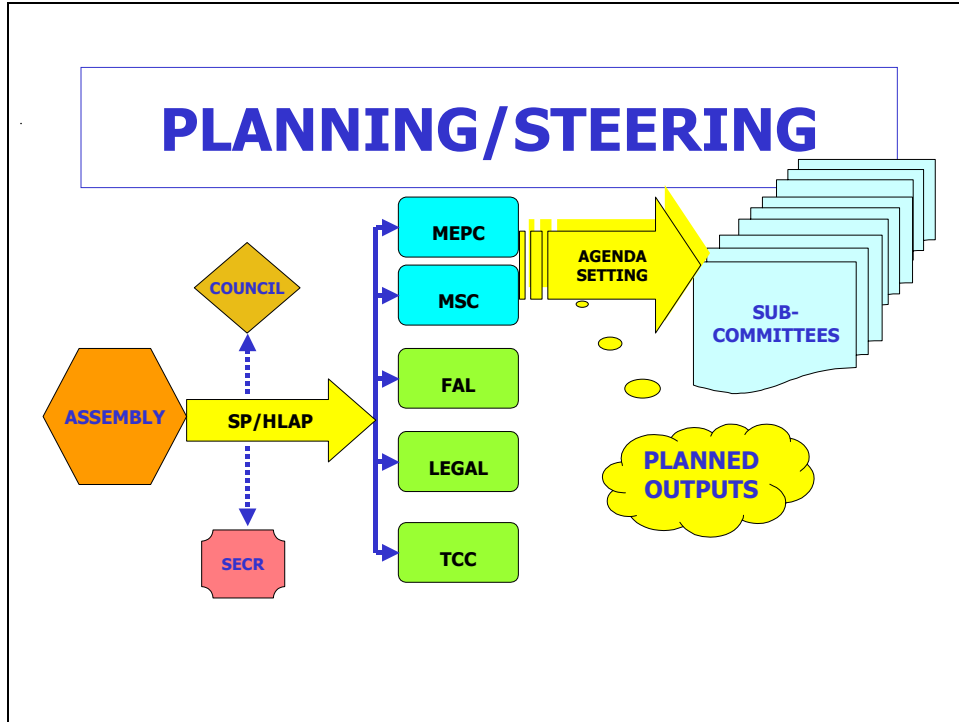
- The guidelines should, in conjunction with the Guidelines on the organization and method of work, effectively ration the resources of the IMO to ensure that the highest priority items are satisfactorily addressed;
- The guidelines should simultaneously reduce the pressures associated with target completion dates that result in amendments of Conventions and other instruments having to be revisited shortly after their adoption.

\*\*\*



ANNEX 2

STEERING AND REPORTING FLOWS



\*\*\*



## ANNEX 3

**GENERAL COMMENTS AND VIEWS ON “VERTICAL ALIGNMENT”  
AND ADMINISTRATIVE MANAGEMENT ARRANGEMENTS**

(SUMMARY OF RESPONSES TO DOCUMENT CG-GAP/5)

**General comments and observations**

*Bahamas*

- The key to the problems the Organization faces is the number of meetings that have been held and the numerous correspondence groups under way. The number of Correspondence Groups is also increasing: the restriction to ‘*normally not more than three*’ seems now being taken as ‘*at least three*’.
- Resolution A.998(25) states a.o.: “(The Assembly) *Instructs all IMO organs, under the coordination of the Council, to make arrangements, within their work programmes and guidelines on the organization and method of their work, so as to enable as many Member States as possible to participate actively in the work of such organs and their subsidiary bodies*”. This instruction from the Assembly is being ignored within both the Secretariat and the various organs.
- The cost of intersessional meetings to Member States is considerable, both in monetary terms and human resources. Most of the extra work, meetings and correspondence groups, is due to unrealistic timescales being set for work items and a lack of control on the number of new items being allowed onto the work programme.
- There is a totally unreasonable fear that if we don’t act quickly on everything, others will take unilateral or regional action. These parties are only a part of the IMO membership but if their views are to be given the excessive weight which they are at the present time, then we must slow down work on other items until we have the total workload under proper control.
- “Restoring control” is the most important item to be tackled at Council level and thus in the present Correspondence Group.

*Greece*

- Supports the aim to enhance the efficiency and to streamline the works of Committees and Sub-Committees of IMO.
- Considers it useful to take into consideration the recommendations provided by the report 2007 of the Joint Inspection Unit (JIU)(JIU Report 2007/7 – as provided by document CG-GAP/4).
- Believes that proper progress and review mechanisms in relation to the implementation of the Strategic Plan (SP) and High Level Action Plan (HLAP) should be established in order to ensure future planning activities of IMO, a rationale allocation of resources and funds and the ability to prioritize the actions to be taken.
- Supports the concept of the direct linkage of the HLAP planned outputs with the work programmes of each Committee and subsidiary organs.

*Italy*

- Shares the comments and observations expressed by Bahamas on the increasing number of meetings and numerous correspondence and intersessional working groups under way. This situation is worsening on a daily basis, resulting in proven difficulties for the short-manned delegations to face and participate in all the established groups.

#### *Japan*

- Efficiency is important. Development of the guidelines should lead to promotion of efficiency of the work of the Organization. It should contribute to streamlining works of Committees and Sub-Committees and to concentrating their resources on real vital issues. The guidelines to be developed should contribute to promote the efficiency of the work of the Organization.
- Progress of each planned output should be clearly indicated. Each item in the SP and HLAP should be reviewed based on the progress of planned output. If there is no progress or no clear output, continuation of relevant work programme and description in HLAP and SP should be reconsidered.
- Efforts of Committees and Sub-Committees to complete their task within a target completion date should be encouraged. Therefore, it is meaningful to clearly describe the target completion date of each planned outputs somewhere. Tier 3 or tier 4 may be suitable place for this purpose.
- JIU report 2007/7 is worth to be taken into account.

#### *Sweden*

- It has been hard to take the strategic planning process one step further down to where the real work is done; document CG-GAP/5 solves most of the practical issues discussed in the CWGSP.
- Another advantage of the document and the way it presents the planned outputs is that it is very pedagogic, which will make it user-friendlier.
- The lack of mechanisms to keep control of the work done by the Committees and other organs of the Organization has been a concern. The reporting format as suggested in CG-GAP/5 under tier 4 may offer a good control mechanism.

#### *United States*

- A general theme is the conflict between having a highly structured HLAP and processes to define such, and the ability for the IMO to react quickly to changing circumstances when necessary.
- The United States is confident that there is a way to structure the HLAP, to accommodate a well-defined structure that does not inhibit the Organization's flexibility.

#### *Chairman SLF*

- At present the guidelines on the Organization and Method of Work (paragraph 2.1) provide that "*the Committees should function as policy-making bodies and the subsidiary bodies as purely technical bodies*". Hence, in approving new work programme items the role of the Committees has been to determine whether the requirements of the Guidelines have been met and leave the technical discussion to the relevant Sub-Committees. So at the time the work programme item is approved the *outputs* can only be regarded as *possible outputs*, since it remains for the relevant Sub-Committee to have the discussion on whether the nominated outputs are appropriate and justified. It would be inappropriate for such technical discussions to be transferred to the Committees as part of the work programme approval process, particularly when they often have insufficient meeting time to complete their existing work. Sub-Committees generally overlook the need for such discussions (unless there are submissions pointing to such a need) in their haste to use the available time to complete their work. If the Sub-Committees decide against the need for particular outputs then the item would be completed without them.
- The Correspondence Group should be careful of becoming too process-driven and for the outcomes achieved by the Group to detract from the essential work of examining real issues of maritime safety and environmental protection. From the perspective of the

SLF Sub-Committee, much of whose work is of a long-term nature, it appears anomalous that the proposals presented involve fixing agendas for the biennium – so that new items cannot be added – while at the same time concentrating on outputs *within* the biennium.

## **Responses to specific questions**

**1 Would you consider the stepped/tiered approach a proper translation of the idea of “vertical alignment”?**

**2 Would you consider the proposed formats an adequate tool for the administrative management of the planning/steering and reporting cycle in the framework of the SP and the HLAP?**

The responses to the first two questions were broadly in agreement, with the majority expressing concerns over the complexity of the tiered approach and over the potential burden of keeping the administration up to date.

*Italy* underlined its concerns about the streamline gap in the planning/steering and reporting cycle whenever the Sub-Committees must take up an urgent action. Will they be able to communicate a proposal at the right time? Even so, as for the first question, there could be the risk of jeopardizing the efficiency of the Organization. An additional concern for *Italy* is the lack of control mechanism of the documents and all the works done by the Committees and other organs of the Organization. Probably, the reporting format under tier 4 could provide an adequate control instrument.

*Chairman DE*, while generally in agreement, raised the questions (a) who will be responsible for these kind of documents, (b) how a Sub-Committee proposing something urgent to its parent body would be able to communicate a specific proposal, and (c) how to quickly amend the agenda of a or more Sub-Committees if this is politically necessary?

**3 Would you agree with the following views?**

**3a Planned outputs included in the HLAP should form the basis for the biennial work programmes and the agendas of the Committees and Sub-Committees;**

The Correspondence Group agreed in general, but flexibility is needed.

**3b The work programmes and the agendas of the Committees and Sub-Committees should in principle only contain planned outputs that are explicitly laid down in the HLAP;**

The Correspondence Group agreed in general, but flexibility is needed.

*Chairman COMSAR* was of the opinion that the cycle that exists between the Committees and Sub-Committees should not be altered since it interferes directly in the work being done among Sub-Committees and may cause delays.

*Chairman SLF* disagreed, since in his view this principle is too inflexible for IMO to be able to meet the expectations of industry and the community.

**3c The work programmes and the agendas of the Sub-Committees should be fixed for the (full) current biennium;**

The Correspondence Group agreed in general, but flexibility is needed.

*Greece* agreed, provided a proper review mechanism that will allow a periodical update of the work programmes, if necessary.

*Chairman BLG* observed that it might be difficult to fix work programme and agenda items two years in advance.

*Chairman COMSAR* and *Chairman FP* disagreed. The HLAP is updated at biennium base and the Committees meet three or more times during that period. Establishing planned outputs is a feedback cycle. They are mainly sourced in the new WP items approved by the Committees. Therefore, as far as those new WP are in line with the high level actions foreseen for the HLAP, their inclusion in Subcommittee's WP need not be delayed.

*Chairman DE* expressed concerns over the length of time before a specific matter is considered in a Sub-Committee and observed that there is very little acceptance to delay the start of additional agenda items.

*Chairman SLF* disagreed, since in his view this principle is too inflexible for IMO to be able to meet the expectations of industry and the community.

**3d. New items (“unplanned outputs”) should only be included after a full and thorough assessment of proposals for such new – unplanned – items by the responsible Committee;**

The Correspondence Group agreed in general.

*Sweden* raised the question whether the Committees should be authorized to include new items in the HLAP, or that such decisions should be (formally) left to the Council.

*Chairman DE* observed that currently the Committee decides on a Sub-Committees work programme, which is usually much larger than the agenda. At the end of the Sub-Committee meeting plenary discusses the draft agenda for the next meeting, including additional (planned) items that should be taken up at the next session. *Chairman DE* is not aware of a methodology that would be less subjective in expertise to make such a proposal without the involvement of the plenary Sub-Committee and concludes to be not yet ready to agree to this proposal.

*Chairman FP* observed that a new WP item is a States Member's decision in the Committee and the planned output (States Member's decision in the Assembly) includes them. Therefore in all cases the assessment made by the Committee should carefully follow the Organization Guidelines. I agree that more exhaustive guidelines should be prepared for the new WP assessment.

*Chairman SLF* suggested that a thorough assessment would in many cases involve technical matters for which the Sub-Committee(s) is/are the appropriate bodies. At the time the work programme item is approved the outputs can only be regarded as possible outputs, since it remains for the relevant Sub-Committee to have the discussion on whether the nominated outputs are appropriate and justified.

**3e The present work programme formats for the Sub-Committees could be phased out, to be replaced by the formats under tier 3;**

The Correspondence Group agreed in general.

*Chairman SLF* suggested that this principle might need to be considered further, taking account of his points made above.

**3f Documents submitted to a (Sub-) Committee under a specific agenda item should clearly and substantively demonstrate the direct relation between the proposals therein and the planned output to be accomplished under that agenda item;**

The Correspondence Group agreed in general.

**3g Planned outputs should not extend beyond the current biennium; for work programme items with a TCD beyond the current biennium the HLAP should specify the planned (interim) output at the end of the biennium;**

The Correspondence Group agreed in general, provided that the end goal and timescale for completion remain clear and realistic.

**3h Work programmes should not include TCDs or time frames specified by a certain number of sessions;**

The Correspondence Group agreed in general, provided that the timescale for completion is clearly defined and takes account of the present workload of the Sub-Committee(s) involved.

*Chairman DE* expressed doubts, stating that even if the proposed number of sessions in a work programme is not realistic, it helps in planning the organization of future meetings.

**3i Continuous work programme items should be further discouraged, since they are inconsistent with the philosophy behind the SP and HLAP; in specific cases where such is inevitable, efforts should be made to specify interim outputs for the biennium;**

The Correspondence Group agreed in general.

*Sweden* preferred the term “permanent” to “continuous”.

**3j Reporting of Sub-Committees to the Committees could be (considerably) simplified and streamlined by using the format for reports under tier 4.**

This principle received a mixed response. On the one hand there was broad agreement that reports of Sub-Committees to Committees could be simplified. On the other hand respondents pointed out that reports of Sub-Committees contain important and necessary information about what happened at meetings, information that should not be lost. Therefore it was suggested that reporting in the format of tier 4 should be additional to rather than in place of present arrangements.

**4 The Guidelines on the application of the SP and the HLAP should:**

**4a Recognize and emphasize the common responsibilities of the Member States and the Secretariat for consistency and discipline in the administrative management of the planning and reporting cycle;**

The Correspondence Group agreed in general.

*Greece* believed that common efforts should be implemented in close cooperation between Member States and the Secretariat in order to respect the procedural framework of the planning and reporting cycle.

**4b Specify and establish the “guardian role” of the management of the (Sub-) Committees (i.e. Chairman, Vice-Chairman and Secretary) in regard of the administrative management of the planning and reporting cycle;**

The Correspondence Group agreed in general.

*Chairman SLF* pointed out that further provisions should take account of the part-time nature of the roles of those concerned.

**4c Address the organization and management of the planning and reporting cycle only in general terms, thereby establishing the general principles and conditions for the reinforcement of the administrative management; consequential and specific amendments to their Guidelines on the organization and method of work should be left to the Committees.**

The Correspondence Group agreed in general.

*Bahamas* suggested that the Council, possibly through the CWGSP, should work with the Secretariat and the Chairmen of the various bodies to achieve a common approach and clear and precise guidelines. It is particularly important that the criteria for acceptance of WPIs, the methods of determining priority and the ways of setting any timescales should be common and approved by the Council.

**5 Do you have further observations on the general idea of “vertical alignment” and/or further suggestions for the reinforcement of administrative management under the SP and HLAP?**

*Greece* underlined that the added value of the guidelines on the application of SP and HLAP is to ensure their proper implementation. In this context, *Greece* considers that the improvement of their performance reviews should be addressed. It is *Greece*'s view that references regarding methods to *monitor* and *evaluate* the plans should be included, in order not only to ensure their proper implementation but also to improve future planning activities. The requirement to build in regular reviews of status of the implementation of the plans, including progress toward each of the overall strategic directions, is proposed for further elaboration.

*Sweden* tabled the following observations:

1. Sweden agreed with the principle that the work programmes and the agendas of the Committees and Sub-Committees should in principle only contain planned outputs that are



explicitly laid down in the HLAP (3b above), but proposed to add an element of “agenda management” on the whole, in order to avoid decisions on a greater number of planned outputs than a Committee or a Sub-Committee can reasonably cope with.<sup>8</sup>

2. Sweden wondered how to treat new subjects that never have been treated by the Organization before, for example as happened with biofouling at MEPC. The present guidelines on the Organization and Method of Work require that proponents will have to go to the relevant Committee and ask for a new WPI. According to the principle suggested in document CG-GAP/5 they should rather go to the Committee and ask for a new high-level action and a planned output to be put forward to the Committee. If a Member State should want to minimize this time can it then go straight to Council and ask the Council to add a new item?
3. In relation to 4b above Sweden pointed at possible new mechanisms to ensure a consistent and proper “guardian role” at Committee and Sub-Committee level. One of the problems observed since the introduction of the new planning process is that the strategic planning items are taken up very late on the respective agendas, which basically means that there is no time for discussion and definitely no time for prioritization. Sweden proposed to introduce an informal assessment group that could have a look at this during the meeting and come up with a recommendation to the Committee. Such an assessment group could look at the planned outputs as well as new at WPIs, in order to get a complete picture of the workload for the Committees and Sub-Committees. Sweden suggested that the Vice-Chairman of the meeting could chair such an assessment group, with participation of the relevant Sub-Committee Chairmen and the Secretariat.

*Chairman DE* agreed that the proposals very well cover the direction “top down”, but that also attention should be given to the direction “bottom to top”.

*Chairman FP* proposed to discuss the following issues:

1. A simple automatic priority assignment system for new work programme items. For example, change the current “low/high priority” classification and establish a priority by “turn”, i.e. according to their inclusion date with a strict exceptions scheme for urgent matters agreed by the Committees;
2. When the Committee agrees a new work programme item, it could be useful to give a clearer instruction on the foreseen Sub-Committee output. There are many occasions where the WP’s title is not clear enough to know if amendments, guidelines or other outputs are expected by the Committees;
3. The management of “cross cutting” work programme items is a distortion source for the HLAP and efforts should be made to improve it:
  - The WP priority among the involved Sub-Committees should be harmonized. A high level of priority in one Sub-Committee should be in accordance with a similar level in the rest of the Sub-Committees involved;

---

<sup>8</sup> This observation by Sweden points at an important issue, which was also raised in various comments to document CG-GAP/1. The obvious key question here is what can be seen and how to determine “a reasonable workload” for a Committee or Sub-Committee. This issue would need further consideration by the Correspondence Group.

- The Sub-Committee coordinator role should be stressed and clarified. Annex 2 to document CG-GAP/5 is self-explanatory. Some delegations make use of these gaps raising a late discussion at Committee level with consequent delay;
- It should be clarified when a new work programme item is to be included in different Sub-Committee's work programmes and what the role is of the Sub-Committees involved.

**6 Would you agree that there is reason to somehow – provisionally but rapidly – address the present inconsistencies<sup>9</sup>, in order to as far as much dovetail the “leftovers” identified in the present work programmes (i.e. WP items not covered by the HLAP) into the current HLAP?**

The Correspondence Group agreed in general.

*Bahamas* added that the construction of guidelines should be at least of equal if not higher priority.

*Sweden* suggested that the relevant Committees should first give their views.

*Chairman SLF* agreed that there is a need to balance workload and strategic planning with the need for industry and the community to receive responses to emerging issues, but was of the view that this will require further work as soon as possible. He was not sure that the proposals presently under discussion would provide the requisite balance.

\*\*\*

---

<sup>9</sup> See paragraph 3.6.

## ANNEX 4

## GENERAL COMMENTS AND VIEWS ON NEW WORK PROGRAMME ITEMS

(SUMMARY OF RESPONSES TO DOCUMENT CG-GAP/6<sup>10</sup>)**Views on the definition of “new work programme item”***Sweden*

- Agreed, but suggested that it would require more precisely and SMARTly formulated planned outputs.

*Chairman DE*

- Observed that usually a new WPI is either submitted by a Member State or it is developed from the work a specific Sub-Committee is currently undertaking. The first seems relatively clear. An example for the latter could be that a new carriage requirement was developed which entails the tasking of STW to develop relevant guidelines for training requirements pertaining to such equipment. Thus if the *carriage requirement* was a “planned output” it may be argued whether or not the *training guideline* would have to be considered a new WPI. *Chairman DE* was of the view that, since there was no previous tasking of STW in this matter, it would always have to be considered a new WPI.

**Views on necessary (additional) requirements for the submission of proposals for new work programme items***Sweden*

- Was not sure that there is a need for any big amendment to the present template. The big change needed is a *stricter application* of the requirement.
- Saw a need for a procedural arrangement to cover the question whether or not the proposal is covered by a planned output.

*Chair DE*

- Suggested that necessary new requirements for the submission of new work programme items would be in general the development of criteria for justifying the priority of any proposal. Such priority would have to “grow” larger during the time the item is “waiting” in the work programme but not yet included in the agenda of a Sub-Committee.

**Views on necessary (additional) requirements for the (pre-) assessment of proposals for new work programme items***Australia\**

- Observed that the current process for assessing new work programme items is generally starting to drown the committees and IMO with work and that there is a need to ensure that any refinement of the process allows us to capture the key issues to be addressed without making the process overly bureaucratic to apply.

---

<sup>10</sup> An asterisk marks earlier responses, relevant to the subject of new WPI’s.

*Bahamas\**

- Suggested a few possible criteria for recognizing the relative importance of items which propose Convention amendments, as follows:
  1. The change is proposed because the present provisions do not provide a sufficient level of safety or security or sufficient protection to the environment. The justification within the proposal should in such cases demonstrate in what way the present level of safety, security or protection of the environment is insufficient. The Committee could then form a view as to whether the likely improvement is sufficient to justify the work involved and, if it is, what position should the item have on the scale of priorities.
  2. The change is proposed due to changing technology. In such cases the follow-on questions should be: (a) Does using the existing technology make the ship unsafe? (b) Is the proposal being used as a way for manufacturers to guarantee a market for their products? (c) If present technology does not make the ship unsafe then perhaps the urgency to change the requirements is less. (...)
  3. Is the change a 'nice to have' or necessary one? Many changes seem to fall in the former category and the industry would be no less safe or environmentally friendly if the proposal did not go through. For instance, is it simply to bring the text into line with similar provisions elsewhere, which while desirable is not necessarily urgent?
  4. Is the proposal a new approach to developing safety standards, such as FSA or GBS? In this case, time is needed to ensure that the new concept is thoroughly thought through before changes are introduced. (...)

*Sweden*

- Observed that one of the problems since the introduction of the new planning process is that the strategic planning items are taken up very late on the respective agendas, which basically means that there is no time for discussion and definitely no time for prioritization. Sweden therefore proposed to introduce an *informal assessment group* that could have a look at this during the meeting and come up with a recommendation to the Committee. The group could look at both the planned outputs as well as new work programme items and could then get a whole picture of the coming work for the Committees and Sub-Committees. The Vice-Chairman of the meeting could lead it, maybe with relevant Sub-Committee Chairmen and the Secretariat present.

*Chair DE*

- Suggested that change is needed to structure and prioritize the work in IMO in order to avoid drowning. However, the objective would be to try to develop criteria that are less judgemental than our current ones. It will be necessary to bridge the gap between constant technical development in ever-increasing pace and the need to introduce as few changes to statutory requirements as possible to provide for a transparent and efficient safety standard. This kind of seemingly contradicting objectives can only be established if the requirements become more goal-oriented than traditional safety requirements.

The need to establish some kind of relationship between proposed new work programme items and their expected "added value" should drive the prioritization of proposed new work programme items.

## Views on (additional) requirements for the prioritization of new work programme items

### *Bahamas\**

- Suggested that it is most important that the work programmes are assessed in a more thorough way and that proposed new work items are subject to a more rigorous scrutiny than at present. The timescales set for dealing with them have to be realistic in terms of the amount of time required for their completion. For instance, to say that a proposal will require two sessions to complete is not a satisfactory way of assessing the work required. The number of sessions should be determined by: (a) how much work will be carried out in plenary; (b) whether or not a working group will be needed to deal with the matter in more detail than is possible in the plenary; (c) what the present workload of the Committee or Sub-Committee is; (d) what the plans are for working groups to deal with the current workload; (e) will more than one Sub committee have to deal with it; and so on. Only when this knowledge is available can a realistic timescale for completion be decided.
- Observed that, at the present time, the main Committee tends to pass an item to a S/C without change on the grounds that it requires the views of experts to determine how it should be handled, but when it arrives in the S/C the view is usually taken that the form handed down by the Committee is what the Committee is instructing the S/C to do. This is one of the principal reasons for the unrealistic timescales and the general approach to items taken by the S/Cs. Clearer instructions to the Committees on how to deal with new proposals and particularly the way in which items should be transferred to Sub-Committees are needed.
- Observed also that no country submits proposals for new items unless they consider the matters dealt with to be important. Therefore any criteria for prioritizing or deciding on timescales need to be realistic, precise and clear. They have to be such that the submitting country will know what will happen to the item and what the possibility is of it being dealt with in the timescale which they consider the matter requires.

### *Italy\**

- Shared the principle that the procedures to assess new work programme items should be very clear and transparent. At the same time expressed concerns on the proposed “development of new strengthened procedures”: avoid running the risk of being too prescriptive, as this could result in becoming an obstacle or indeed a meaningless burden to the submission and evaluation of new work programme items, which play an absolute strategic key role in enriching the IMO debates and are functional to a very open dialogue policy.
- Expressed concerns that further strict rules could create additional and formal barriers in the development of debates, which are the traditional added value, the *quid pluris* of every IMO strategy. Target should be to establish a sound, balanced set of procedures aimed at enhancing the sharing of new ideas, in a framework of as much simplicity and clarity as possible.

### *Sweden*

- Observed that, even if the assessment will be in order, it would not really change the burden for the different Sub-Committees, unless at the same time an element of “agenda management” is added to the new guidelines. It is presently very well possible to agree on more planned outputs than a Committee or a Sub-Committee can cope with. This is something to be dealt with, and is a precondition for a successful implementation of the strategic planning process.
- Suggested as a solution the *informal assessment group* (see above). This group could, apart from looking at whether a proposal for a new work programme item fulfils the formal requirements, also look at the agendas for the Sub-Committees as a whole.

*Chair BLG\**

- Observed that Member Governments proposing new work programme items generally request that high priority is given to their proposals. The Committees generally agree to such requests and set target completion dates accordingly. Only few items are allocated low priority. This results in unrealistic timescales and the Committees and their subsidiary bodies struggle to meet the TCD's by forming all sorts of formal and informal groups and by requesting intersessional work. When they are not able to complete the tasks by the deadline set by the Committees they ask for extension.
- While agreeing that some intersessional work and formation of various groups are necessary to make progress, in particular for very important issues, suggested that there is a weakness in the current procedures. The Committees have been trying to follow their guidelines bearing in mind the concerns of developing States and observers. However, the chronic problem has continued.
- Therefore suggested that the Guidelines on the organization and method of work of the Committees are further strengthened to ensure that Committees examine the issue of allocation of priorities and target completion dates for new work programme items very carefully, to avoid overloading the Committees and their subsidiary bodies. A mechanism should be established for Council, Committees and their subsidiary bodies to strictly monitor the implementation of the proposed new strengthened procedures.

*Chair DE*

- Agreed with some of the comments received to this question, in particular the first part of the statement by Bahamas. Observed, however, that without a stringent evaluation of the planned output and the political needs, by allowing for "lessons to be learned", the workload on the Sub-Committees might not become controllable at all.

*Chair SLF\**

- Suggested that the guidelines on the application of the SP and HLAP, in conjunction with the guidelines on Organization and Method of Work of the Committees, will need to effectively ration the resources of the Organization to ensure that the highest priority items are satisfactorily addressed, while simultaneously reducing the pressures associated with target completion dates that have in recent years resulted in far too many Convention amendments and other instruments having to be revisited shortly after their adoption.

**Views on (additional) requirements for the implementation of guidelines/ procedures**

*Sweden*

- Suggested that more emphasis needs to be put on the implementation of the present Guidelines on the organization and method of work, and believed that the new Guidelines will help with that.
- Observed that the need to be transparent without being too prescriptive is important for a successful implementation. The "tiered approach" to the administrative management arrangements may very well support that principle.
- Observed further that another important factor will be that of "defending" the process. IMO is not better than its members. All members will have to guard the principles laid down when looking at issues as new work programme items, work programmes and agendas as well as suggestions for new PO's.

*United Kingdom\**

- Suggested that the key point is to ensure that IMO is effective and that the key control is the approval of new work item proposals. The principles have been established for some time

and although there may be some scope for refinement, focus should be on better implementation of these principles when considering proposals for new work programme items.

*Chair DE*

- Observed that the current criteria for defining priorities for new work programme items allow to “judge” the proposed items priority. Therefore it seems like each and every proposal is put forward as an urgent matter. This is an area where a different approach would be needed.

**Views on possible other (additional) requirements**

*Bahamas*

- Observed that, despite pleas for all new work programme items to be fully justified with appropriate documentation, some of the items approved at MSC 84 had only two lines of justification amounting to no more than ‘*I think it is important so that should be sufficient*’.
- Suggested that there is a need for clear criteria covering the degree and type of justification required. From past experience it can be forecast that when each item reaches its assigned Sub-Committee all aspects of the proposal will be treated as an instruction from the Committee, despite paragraph 2.12 of the Guidelines. In order to bring the workload under control we must have a better way of deciding what priority should be assigned to a new item, whether there is a real need to have the item on the work programme at all and a means of properly assessing the time required to complete it.
- Concludes that everyone seems to be agreed on the ideas that have to be implemented, but that little has been put forward on the criteria which will enable them to be “*not subjective, vague or open to different interpretations*” or that will promote “*objectivity and clarity and should respect realistic timescales*”.

*Sweden*

- Suggested that too few among the delegates have a full picture of the whole system. With a stricter implementation of the strategic plan process as well as the new Guidelines it may become obvious to the delegates that they will have to get this knowledge to get things through. In the past the assessment has not been as strict as would have been preferred, which means that Member States did not really have to consider the strategic documents such as the HLAP.

*Chair DE*

- Referred to comments to the above questions and felt that a totally different system of criteria is needed.

*Chair DSC\**

- Observed that only few participants are aware of the existing guidelines on the Organization and Method of Work and of the concrete implication of the decisions made by the Council on the work of the Sub-Committees. This situation should be born in mind when developing new guidelines on the application of the Strategic Plan. Those new Guidelines need to be clear and easily understandable by any participant to a Sub-Committee if we want to promote understanding of the interconnections between the Strategic and High-level Action Plans and the work of a Sub-Committee.

*Meeting of Chairmen 8 October 2008<sup>11</sup>*

The Meeting concluded that:

- Any criteria developed for the assessment of proposals for new work programme items against the Strategic Plan and the High-level Action Plan should not be subjective, vague or open to different interpretations. The criteria have to promote objectivity and clarity and should respect realistic timeframes;
- Any methodology to be established for the assessment of proposals for new work programme items, in order to be successful in scope, would require the Organization simultaneously to cultivate a new culture and discipline in adherence to the new procedures and guidelines; and
- The proposed new procedure contains at least three levels of involvement: the Chairmen of the Committees and Sub-Committees; the Secretariat; and the Member States. Such a complex system requires a very disciplined assessment, which, if not clearly defined from the beginning, would prove to be very difficult in its implementation. Further consideration of the criteria may be necessary in relation to important long-term work programme items.

\*\*\*

---

<sup>11</sup> See document MSC 83/WP.10.



## ANNEX 5

**PROVISIONAL DRAFT GUIDELINES ON THE APPLICATION OF  
THE STRATEGIC PLAN AND THE HIGH-LEVEL ACTION PLAN**

**1 INTRODUCTION**

1.1 The purpose of these Guidelines is to ....  
(.....)

**XX NEW WORK PROGRAMME ITEMS****General**

XX.1 [Applicability to the [all] Committees] (**specific text to follow**)

XX.2 For the application of this section a “new work programme item” includes any proposal to deliver an output that has *not* already been planned under the current High-level Action Plan. It does *not* include proposals that may demonstrably contribute to:

- .1 The delivery of outputs already planned under the current High-level Action Plan;
- .2 The delivery of outputs already programmed to be delivered in a next biennium.

XX.3 The Committees, in determining inclusion of new work programme items, should at all times be guided by the strategic directions and high-level actions established in the Strategic Plan and the High-level Action Plan for the Organization, and should in particular take due account of:

- .1 The potential impact inclusion of a new item may have on the timely delivery of outputs planned in the current High-level Action Plan;
- .2 The potential impact inclusion of a new item may have on the workload of the Committees and/or their subsidiary bodies and/or the Secretariat;
- .3 The personnel and budgetary resources available.

XX.4 [The Committees should strictly observe these Guidelines. If however certain circumstances require a decision that deviates from the Guidelines, such deviation should be reported to the Council for its endorsement] (**specific text to follow**)

*XX.5 [The Committees may further develop these Guidelines in the Guidelines on the organization and method of their work, in order to address any particular circumstance not addressed by the present Guidelines] (**specific text to follow**)*

**Submission of proposals for inclusion of a new work programme item**

XX.6 To enable the Committees to carry out a proper assessment of proposals for inclusion of new work programme items, submissions containing such proposals should, at a minimum,

contain the information – including demonstration and documentation – specified in the table given in the annex. Where the information thus required cannot be provided, the reasons therefore should be clearly indicated.

### **Pre-assessment of proposals for inclusion of a new work programme item<sup>12</sup>**

XX.7 In order to facilitate consideration of proposals for inclusion of a new work programme item by a Committee, the Chairman of the Committee should undertake a preliminary assessment of such proposals. The Chairman should thereby be supported by the Secretariat and should consult the Chairmen of the subsidiary bodies concerned.

XX.8 The outcome of the preliminary assessment should be submitted to the Committee concerned for approval, and should include the Chairman's appraisal of:

- .1 Whether the proposal complies with the requirements for the submission of proposals for new work programme items, as specified in paragraph XX.6 and in the annex;
- .2 Whether the proposal complies with the criteria specified in paragraph XX.9;
- .3 Whether the demonstrated [urgency][priority] of the proposed new item requires inclusion of the item in the work programme of the current biennium and, if so,
- .4 Whether and to what extent the Committee should take into account:
  - .1 The potential impact inclusion of the new item might have on the timely delivery of outputs planned in the current High-level Action Plan;
  - .2 The potential impact inclusion of the new item might have on the workload of the Committees and/or their subsidiary bodies;
  - .3 The personnel and budgetary resources available.

### **Assessment of proposals for inclusion of a new work programme item**

XX.9 Before deciding to include a new item in their work programme, Committees should carry out a comprehensive and thorough assessment of such proposals. The assessment should at least include a test against the following criteria:

- .1 Regarding the general nature of the proposal:
  - .1 Is the subject addressed by the proposal considered to be within the scope of IMO's objectives and the Strategic Plan for the Organization?
  - .2 Does the proposal contribute to the high-level actions established in the Strategic Plan?

---

<sup>12</sup> The proposed guidelines for (pre-) assessment of proposals for new work programme items should be further considered in the context of the present Rules of Procedure of the Committees (MSC, MEPC, Legal and TCC), which include the following Rule:

*“The Secretary-General shall report to the Committee on the technical, administrative and financial implications of all substantive agenda items submitted to the Committee and, unless the Committee decides otherwise, no such item shall be considered until the Secretary-General's report has been available to the Committee for at least twenty-four hours”.*

- .3 (In case the proposal does *not* demonstrably contribute to the high-level actions established in the Strategic Plan) Does the proposal involve the exercising of functions conferred upon the Committee by or under any international convention or related instrument?
- .2 Regarding the substance of the proposal:
  - .1 Has a need – or in case of proposals calling for new conventions or amendments to existing conventions: a *compelling* need – for the measure been demonstrated and documented?
  - .2 Has an analysis been provided that demonstrates and documents the practicality, feasibility and proportionality of the proposed measure?
  - .3 Has the analysis of the issue sufficiently addressed the cost to the maritime industry as well as the relevant legislative and administrative burdens?
  - .4 Do 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 proposed new item justify such action?
  - .5 Do adequate industry standards exist or are they being developed, thereby reducing the need for action within IMO?
- .3 Regarding the proposed output:
  - .1 Has the intended output been properly specified in SMART terms (specific, measurable, achievable, result-oriented, timely)?
  - .2 Does the proposal properly demonstrate the urgency of the action proposed, and does it plausibly demonstrate that and why the item should be included in the Committee's work programme for the current biennium?

### **Decisions on proposals for inclusion of a new work programme item**

XX.10 Based on its assessment in accordance with paragraph XX.9, having taken due account of the Chairman's appraisal of the proposal, the Committee may decide:

- .1 To include the proposed item, together with a target date for completion, in its work programme for the *current* biennium if and after it has been satisfied that the implications for the present workload and planning may be considered acceptable; or
- .2 To include the proposed item, together with the number of sessions needed for completion, in its work programme for the *next* biennium if the implications for the present workload and planning are considered to be unacceptable. Subsequently, the Committee should include the item, together with the related planned output, in its proposals to the Council for the work programme of the next biennium.

XX.11 Should a Committee decide that the proposal does *not* contribute to the delivery of the high-level actions and planned outputs for the current biennium, and does *not* involve the exercising of functions conferred upon a Committee by or under any international convention or related instrument, it may decide:

- .1 After proper demonstration that the proposal is within the scope of the current Strategic Plan, and after an assessment in accordance with paragraph XX.9, to accept the proposal as a planned output in its work programme for the *next* biennium. Subsequently, the Committee should include the item, together with the related planned output and the number of sessions needed for completion, in its proposals to the Council for the work programme of the next biennium; or
- .2 Upon its conclusion that the proposal is *not* within the scope of the current Strategic Plan and should therefore not be accepted for inclusion, to invite the proponent(s) to submit the proposal to the Council, including a substantiated proposal for adjustment of the Strategic Plan.

**Additional provisions for decisions on proposals for a new work programme item to be included in the work programme(s) of a subsidiary body or bodies.**

XX.12 Upon consideration of a proposal for a new work programme item to be included in the work programme of a subsidiary body, a Committee may decide:

- .1 To agree in principle with the proposal and its inclusion in the work programme, and to leave the detailed consideration of the technical aspects of the proposal and the development of appropriate requirements and/or recommendations to the subsidiary body or bodies concerned; or
- .2 To agree in principle with the proposal, but request the subsidiary body or bodies concerned to consider the proportionality and feasibility of the proposal on a preliminary basis, and to advise the Committee whether in its opinion the new item should or should not be included in the subsidiary body's work programme; or
- .3 To agree in principle with the proposal, but request the subsidiary body or bodies concerned to prepare a comprehensive plan of work in accordance with paragraph XX.15, and to advise the Committee on the efficient organization of the work to be undertaken.

XX.13 A decision of a Committee to include a new item in the work programme of a subsidiary body should include clear and detailed instructions for the work to be undertaken by and the final output expected from a subsidiary body or bodies, preferably by establishing the terms of reference under which such work should be undertaken. Such instructions or terms of reference should specify the (interim) output expected at the end of the current biennium.

XX.14 A decision of a Committee to include a new item in the work of more than one subsidiary body should:

- .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 date decided;

- .3 Ensure that only those subsidiary bodies essential for the completion of the work will be involved, in order to avoid superfluous work and documentation;
- .4 Ensure that the work is included in the work programmes of all subsidiary bodies concerned.

XX.15 For new items involving more than one subsidiary body and for which extensive work is required, such as the revision of conventions or the preparation of codes, the Chairman of the coordinating subsidiary body, in consultation with the Chairmen of the other subsidiary bodies involved and with the support of the Secretariat, may be invited to prepare a comprehensive and coherent plan of work in order to advise the Committee on the efficient organization of the work to be undertaken. Such a plan may include proposals on the following:

- .1 The division of work between the subsidiary bodies involved, taking into account the specific experiences needed;
- .2 The specific contributions and (interim) outputs required from the subsidiary bodies involved, including the timing of such contributions;
- .3 The all-over planning for the work, taking into account the regular programme of meetings;
- .4 The need to establish Correspondence Groups and/or to convene Intersessional meetings;
- .5 The need for additional research to be carried out;
- .6 The identification of critical factors that may influence the timely delivery of the final output;
- .7 Other proposals or observations that the Committee may need to take into account in its consideration of the proposed plan of work.

The Committee may decide to submit a plan of work to the Council, for its consideration and endorsement.

#### **Other provisions regarding new work programme items**

XX.16 The Committees are responsible for the assessment of proposals for inclusion of new work programme items and for the subsequent considerations and decisions, as described in paragraphs XX.7 to XX.15 above, the Committees should report on their decisions on proposals for inclusion of new work programme items in their regular reports to the Council, for its endorsement and in order to facilitate the monitoring by the Council of the delivery of the current work programme and the planning of the future work.

XX.17 Proposals for the inclusion of new work programme items should only be submitted to a Committee. The Secretariat should not accept such proposals for circulation to subsidiary body meetings. Subsidiary bodies should not undertake work on new items or expand existing items unless directed or authorized to do so by a Committee.

XX.18 Proposals for the inclusion of new work programme items, submitted by non-governmental organizations, should be co-sponsored by Governments.

XX.19 Follow-up action in response to specific requests for action emanating from the Assembly and diplomatic conferences convened by IMO, UN conferences and bodies, regional intergovernmental conferences and other international and intergovernmental organizations, etc., should be evaluated in the light of these guidelines, unless they are specifically identified as and demonstrated to be urgent matters.

XX.20 The High-level Action Plan may specify certain IMO activities that are dictated by the need to take action on specific areas of maritime safety, maritime security and environmental protection irrespective of any order of priority.

\*\*\*

## ANNEX 6

**INFORMATION REQUIRED IN SUBMISSIONS  
OF PROPOSALS FOR INCLUSION OF A NEW WORK PROGRAMME ITEM**

(REF. DRAFT PROVISIONAL GUIDELINES PARAGRAPH XX.6)

1	<b>IMO's objectives</b>	<p><i>Provide evidence whether and how the proposal:</i></p> <ul style="list-style-type: none"> <li>• <i>is within the scope of IMO's objective;</i></li> <li>• <i>is related to the scope of the Strategic Plan;</i></li> <li>• <i>contributes to the implementation of the high-level actions established in the Strategic Plan.</i></li> </ul>
2	<b>(Compelling) need</b>	<p><i>Demonstrate and document:</i></p> <ul style="list-style-type: none"> <li>• <i>the need for a proposed measure;</i></li> <li>• <i>the compelling need for a proposal for a new convention or an amendment to an existing convention.</i></li> </ul>
3	<b>Analysis of the issue</b>	<p><i>Provide an analysis of the proposed measure, including a plausible demonstration of its practicability, feasibility and proportionality.</i></p> <p><b>[FSA?]</b></p>
4	<b>Analysis of implications</b>	<p><i>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</i></p> <p><b>[IMPACT ASSESSMENT?]</b></p>
5	<b>Benefits</b>	<p><i>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</i></p> <p><b>[CBA?]</b></p>
6	<b>Industry standards</b>	<p><i>Provide evidence that no adequate industry standards exist or are being developed.</i></p>
7	<b>Output</b>	<p><i>Specify the intended output in SMART terms (Specific-Measurable-Achievable-Result oriented-Time specific)</i></p>
8	<b>Priority/urgency</b>	<p><i>Provide, with reference to the current Strategic Plan and High-level Action Plan, evidence on:</i></p> <ul style="list-style-type: none"> <li>• <i>the urgency of the proposed new item</i></li> <li>• <i>the date that the proposed new item should be completed</i></li> <li>• <i>the number of sessions needed for the Committee and its (specified) pertinent subsidiary bodies to complete the work</i></li> </ul>
9	<b>Action required</b>	<p><i>Specify the action required by the Committee</i></p>

## APPENDIX 1

### GENERAL EXPLANATION ON THE DRAFT PROVISIONAL GUIDELINES FOR NEW WORK PROGRAMME ITEMS

Paragraph	Reference (paragraphs)		Observation
	MSC-MEPC.1/Circ.1	CWGSP 7/7	
XX.1	-	-	The provisional Guidelines have basically been derived from MSC-MEPC.1/Circ.1. In principle, the Guidelines should be applicable to <i>all</i> the Committees. This is to be further considered. See also paragraph XX.5
XX.2	-	-	See CG-GAP/6, paragraph 5.1, on the definition for “new work programme item”
XX.3	-	general aim	Paragraph XX.3 underlines the importance of handling new work programme items within the general strategic planning framework
XX.4	2.17	-	This conditional/limited provision for flexibility replaces the open-ended provision in paragraph 2.17 of MSC-MEPC.1/Circ.1
XX.5	-	-	Paragraph XX.5 reflects the accepted principle that consequential and specific amendments to their Guidelines on the organization and method of work should be left to the Committees (see CG-GAP/7, paragraph 3.4.3)
XX.6	2.21, 2.23	-	The intention of specifying the requirements for submission in an annex is to add transparency and to provide additional guidance
XX.7	2.20	12	Paragraph XX.7 should guarantee the involvement of Sub-Committee Chairmen in the (pre-) assessment (see CWGSP 7/7)
XX.8	-	12	Paragraph XX.8 should guarantee both assessment of impacts on the workload and proper priority setting
XX.9	2.10, 2.11	general aim	Paragraph XX.9 combines the present assessment criteria with those suggested in CWGSP 7/7, and should result into a stricter and more strategic assessment process
XX.10	2.14, 2.18	8	Paragraphs XX.10 and XX.11 reflect the decision-making process as described and proposed in document CWGSP 7/7, and are consistent with tentative conclusions drawn from the comments on document CG-GAP/5 (see CG-GAP/7, section 3)
XX.11	-	9, 10	
XX.12	2.12	general aim	Paragraph XX.12 replaces the present “doctrine” in paragraph 2.12 of MSC-MEPC.1/Circ.1, which has proven to create unwanted and/or unworkable situations
XX.13	2.19.1	general aim	Paragraph XX.13 underlines the importance of clear, unambiguous instructions to the Sub-Committees
XX.14	3.5	-	Paragraph XX.14 should promote greater coherence in the work of the Sub-Committees involved (see also CG-GAP/5, paragraph 2.7.4 and annex 2)
XX.15	2.27( ?)	-	Paragraph XX.15 concerns extensive, multi-disciplinary work programme items, and suggests the development of a comprehensive and coherent plan of work for such items
XX.16	-	11	The role of the Council described in this paragraph is consistent with its general role in the strategic planning process
XX.17	2.13	-	MSC-MEPC.1/Circ.1, paragraph 2.13 (modified)
XX.18	2.21, 2.22	-	The present provision in MSC-MEPC.1/Circ.1, paragraphs 2.21 and 2.22, is rather implicit
XX.19	2.15	-	MSC-MEPC.1/Circ.1, paragraph 2.15 (modified final part)
XX.20	2.16	-	MSC-MEPC.1/Circ.1 paragraph 2.16 (first sentence, modified)
Annex	2.23	general aim	See paragraph XX.6 above



## APPENDIX 2

## ASSESSMENT PROCEDURE FOR NEW WORK PROGRAMME ITEMS (FLOW DIAGRAM)

Submission	Pre-assessment	Assessment	Priority assignment
<p>XX.6 To enable the Committees to carry out a proper assessment of proposals for inclusion of new work programme items, submissions containing such proposals should, at a minimum, contain the information – including demonstration and documentation – specified in the table given in the <u>annex</u>. Where the information thus required cannot be provided, the reasons therefore should be clearly indicated.</p> <p>➔Specification in an annex to the Guidelines</p>	<p>XX.7 In order to facilitate consideration of proposals for inclusion of a new work programme item by a Committee, the Chairman of the Committee should undertake a preliminary assessment of such proposals. The Chairman should thereby be supported by the Secretariat and should consult the Chairmen of the subsidiary bodies concerned.</p> <p>XX.8 The outcome of the preliminary assessment should be submitted to the Committee concerned for approval, and should include the Chairman's appraisal of:</p> <ol style="list-style-type: none"> <li>.1 Whether the proposal complies with the requirements for the submission of proposals for new work programme items, as specified in paragraph XX.6 and in the annex;</li> <li>.2 Whether the proposal complies with the criteria specified in paragraph XX.9;</li> <li>.3 Whether the demonstrated urgency of the proposed new item requires inclusion of the item in the work programme of the current biennium and, if so,</li> <li>.4 Whether and to what extent the Committee should take into account: <ol style="list-style-type: none"> <li>.1 The potential impact inclusion of the new item might have on the timely delivery of outputs planned in the current High-level Action Plan;</li> <li>.2 The potential impact inclusion of the new item might have on the workload of the Committees and/or their subsidiary bodies;</li> <li>.3 The personnel and budgetary resources available.</li> </ol> </li> </ol>	<p>XX.9 Before deciding to include a new item in their work programme, Committees should carry out a comprehensive and thorough assessment of such proposals. The assessment should at least include a test against the following criteria:</p> <ol style="list-style-type: none"> <li>.1 Regarding the general nature of the proposal: <ol style="list-style-type: none"> <li>.1 Is the subject within the scope of IMO's objectives and the Strategic Plan for the Organization?</li> <li>.2 Does the proposal contribute to the high-level actions established in the Strategic Plan?</li> <li>.3 Does the proposal involve the exercising of functions conferred upon the Committee by or under any international convention or related instrument?</li> </ol> </li> <li>.2 Regarding the substance of the proposal: <ol style="list-style-type: none"> <li>.1 Has a (compelling) need for the measure been demonstrated and documented?</li> <li>.2 Has an analysis been provided of the practicality, feasibility and proportionality of the proposed measure?</li> <li>.3 Has the analysis sufficiently addressed the cost to the maritime industry as well as the relevant legislative and administrative burdens?</li> <li>.4 Do the benefits <i>vis-à-vis</i> enhanced maritime safety, maritime security or protection of the marine environment justify the action?</li> <li>.5 Do adequate industry standards exist or are they being developed, thereby reducing the need for action within IMO?</li> </ol> </li> <li>.3 Regarding the proposed output: <ol style="list-style-type: none"> <li>.1 Has the intended output been properly specified in SMART terms?</li> <li>.2 Does the proposal properly demonstrate the urgency of the action proposed, and does it plausibly demonstrate that and why the item should be included in the Committee's work programme for the current biennium?</li> </ol> </li> </ol>	<p>XX.10 Based on its assessment in accordance with paragraph XX.9, having taken due account of the Chairman's appraisal of the proposal, the Committee may decide:</p> <ol style="list-style-type: none"> <li>.1 To include the proposed item, together with a target date for completion, in its work programme for the <i>current</i> biennium if and after it has been satisfied that the implications for the present workload and planning may be considered acceptable; or</li> <li>.2 To include the proposed item, together with the number of sessions needed for completion, in its work programme for the <i>next</i> biennium if the implications for the present workload and planning are considered to be unacceptable.</li> </ol> <p>XX.11 Should a Committee decide that the proposal does <i>not</i> contribute to the delivery of the high-level actions and planned outputs for the current biennium, and does <i>not</i> involve the exercising of functions conferred upon a Committee by or under any international convention or related instrument, it may decide:</p> <ol style="list-style-type: none"> <li>.1 After demonstration that the proposal is within the scope of the current Strategic Plan, and after an assessment in accordance with paragraph XX.9, to accept the proposal as a planned output in its work programme for a <i>next</i> biennium; or</li> <li>.2 Upon its conclusion that the proposal is <i>not</i> within the scope of the current Strategic Plan, to invite the proponent(s) to submit the proposal to the Council, including a substantiated proposal for adjustment of the Strategic Plan.</li> </ol>