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STRATEGY, PLANNING AND REFORM

Review and reform of the Organization

Note by the Secretary-General

SUMMARY

<i>Executive summary:</i>	This document provides an update on progress with the review and reform mechanism established by the Secretary-General
<i>Strategic direction:</i>	4
<i>High-level action:</i>	4.0.1, 4.0.2, 4.0.3, 4.0.5
<i>Planned output:</i>	4.0.1.2, 4.0.1.4, 4.0.1.5, 4.0.2.1, 4.0.2.4, 4.0.2.8
<i>Action to be taken:</i>	Paragraph 17
<i>Related documents:</i>	C 109/D, C 109/4(d), C 109/4(e), C 109/3/1; C 108/3/3, C 108/5(e), C 108/5(f); MSC 92/22; MEPC 65/12/3; C 110/3/1, C 110/4(e) and C 110/6

Background

1 The Council, at its 108th and 109th sessions, received information on the review and reform initiative established by the Secretary-General. This document provides an overview and update on progress to date by the relevant groups in the five key areas of budget and expenditure; human resources and office structure; meeting support arrangements; technical co-operation; and information technology. More detailed proposals on some of these issues are provided in other documents under this agenda item.

Budget and expenditure

2 The group on budget and expenditure has concentrated on issues related to the budgetary implications of filling of posts left vacant under the stringent cost-saving measures adopted in the first year of the 2012-2013 biennium. As a result of the review, the Secretary-General has decided to limit the recruitment only to the core vacant positions and thus is going to propose an abolition of 41 posts (comprising 33 regular budget posts and 8 Trading fund posts) in the staff complement for the next biennium, together with downward reclassifications of another 33 posts. The budgetary implications of the proposal are reflected in document C 110/6.

Human resources and office structure

3 Based on proposals developed by the group on human resources and office structure a six-month trial of flexible working arrangements for staff members has been introduced, supplementing the previous provision for staggered hours, part-time work for family reasons and working from home for medical reasons. If proven to be successful, the arrangements will be made permanent through an appropriate amendment to the staff rules.

4 The group has developed a new staff mobility programme, aimed at creating a more flexible and responsive Organization while facilitating the transfer of knowledge and skills and maintaining institutional memory. The mobility programme also provides opportunities for career enhancement and development. In line with this, vacancy announcements now follow a two-step approach: a vacancy notice is initially issued only internally, with a short deadline and, if no suitable internal candidates are identified, the vacancy is announced externally, by circular letter and posting on the IMO public website, with a longer deadline. Additionally, short-term opportunities are announced within the Organization, to provide exposure and training opportunities for staff.

5 The group also developed a comprehensive proposal on the review of the performance management mechanism. This includes an incentive and recognition scheme; automating the appraisal process; and making the appraisal more meaningful through competency-based assessments and direct link to training programmes. Furthermore, the proposal includes mechanisms to deal with superior and under-performance. This proposal is still under consideration.

6 The group further submitted a new merit promotion programme aiming at expanding the recognition mechanisms for continuous/sustained good performance of staff. Not only would this create a credible, documented and objective process for dealing with promotions, it also aims to enhance staff morale, motivation and productivity.

7 Finally, the group continues to examine other aspects of career development, including the development of succession plans; a skills inventory database and a career mapping process. It is also the intention of the group to examine more cost-effective HR policies, including office structure and other strategies to increase the efficiency of the Secretariat.

Meeting support arrangements

8 The main outcome from the group on meeting support arrangements has, following consideration by C 108, been presented to both MEPC 63 (MEPC 65/13/2) and MSC 92 (MSC 92/22) for consideration of the implications and practicability of a revised sub-committee structure. The outcome of such consideration is presented in document C 110/3/1. The group's proposals on prioritization were considered by an ad hoc Council Working Group, the outcome of which is reported in document C 110/3. The proposals on the conduct and evaluation of a trial for a revised reporting format and procedures, taking advantage of the use of enhanced audio equipment and other related proposals, will be submitted to the Council's next full session (C 112).

Technical co-operation

9 Following consideration by C 109, the technical cooperation group has taken action in a number of areas (see also document TC 63/3(d)). The group has developed a guide to incorporate key elements of national maritime policy and technical assistance will be provided to developing countries in need of formulating such policies.

10 The group has explored ways and means of improving the design and delivery of technical co-operation activities. It adopted a new mechanism to select priority themes for the Integrated Technical Co-operation Programme (ITCP) which will meet the real capacity-building needs of the recipient countries, as well as maximizing the impact of the available funds. The ITCP for 2014-2015 has been developed accordingly. This new approach will increase IMO's support at national level, while maintaining regional events that focus on raising awareness of new instruments and on the promotion of regional cooperation.

Country Maritime Profiles for developing countries

11 Since TC 62, the Secretariat has organized six regional meetings of the Heads of Maritime Administrations during which the draft country maritime profile (CMP) for developing countries was considered. During these meetings, overwhelming support was demonstrated for the development of the CMPs. As a result, 28 completed CMPs have been received from the pilot countries and identified improvements have been incorporated into a new module of the Global Integrated Shipping Information System (GISIS). This will enable countries to input the data directly, provide storage for information and act as a vehicle for data analysis and retrieval.

Information technology

12 Through informal consultation, the ICT subgroup has continued to make progress on an organizational strategy aimed at ensuring a more flexible and agile Secretariat able to quickly respond to changing requirements in the meetings delivery mechanism and the administrative/logistic support arrangements.

13 The PaperSmart initiative, which was piloted successfully at C 109, has now been extended to all IMO meetings, with resulting cost savings and with IMODOCS now forming the single platform for the dissemination of all pre-, in- and post-session documentation (e.g. submissions, working papers and reports), as well as for all other IMO-generated documentation such as Notes Verbales, circular letters, circulars, etc. In future, certified copies of IMO instruments will be similarly uploaded onto IMODOCS, thus further minimizing paper usage, printing and postal costs and the Organization's carbon footprint. The Secretariat is moving progressively towards the PaperSmart model for its own operations, with most internal meetings now being held without paper. Furthermore, a document management system has been developed with in-house resources and is now at the prototype stage, using a workflow management system. Designed initially for the paperless preparation, review, approval, translation and production of IMO meeting documents, it will eventually automate all other internal Secretariat documentation that requires similar sequential tasks, after experience has been gained from a trial period of some six months.

14 Significant progress has been made on a number of modules under GISIS, in particular through the introduction of an Organizational Planning Module to track performance against the Organization's Strategic and High-level Action Plans; the development of a prototype module on dumping data for the London Convention; enhancements to several other existing modules; and increased data exchange arrangements with external collaborators.

15 Other initiatives undertaken include enhancements to IMO's outreach programme through the Organization's public websites and social media sites; and the introduction of a web-based online registration system for meetings and of audio recordings of such meetings in all six official languages (with indexing and search facilities), both of which significantly reduce the need for written records. Additionally, technologies are being explored to enable

remote, or virtual, participation in meetings (the forthcoming Symposium on the Future of Ship Safety will be used as an experimental trial), which may be rolled out in the future to certain types of IMO meetings (e.g. working groups), thus reducing participation costs for delegations. And, finally, with a view to better targeting and improving the Organization's technical assistance delivery, a web-based module on country maritime profiles has been developed (see paragraph 11).

Review and reform: measures implemented to date

16 The review and reform initiative, preceded by a number of actions to generate efficiency gains in the conduct of IMO meetings, has resulted in the adoption of further new measures and working methods, as illustrated in the annex, aimed at reducing organizational costs and improving delivery.

Action requested of the Council

17 The Council is invited to consider the information provided and decide as appropriate.

ANNEX

Efficiency and austerity measures adopted recently

Adopted measure	Approval	Current status	Type of efficiency gain or other benefit
Documentation			
Documents of more than 20 pages should not be translated. Instead, they should include a summary of no more than four pages (to be translated) with the remainder in an annex or annexes (not to be translated).	C 104/D, paragraph 3.3(i)	Implemented through Circular letter No.3087 of 26 July 2010.	Translation, word processing and printing has been reduced, in terms of individual documents, thereby generating savings on staff hours, overtime and transport (principally for translation, word processing, printing), materials (machinery, components, paper) and utilities (heating, electricity). However, the overall volume of submissions has not decreased significantly. The measure complies with the United Nations system's green meetings advice for carbon neutrality.
All documents should use Arial font, size 11.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009.	Printing volumes have been reduced, generating cost savings on paper, machinery and components, and on energy use. Complies with the United Nations system's green meetings advice.
Documents should not be sent to Member States in hard copy, unless explicitly requested.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009. Since then, documents are no longer printed and posted at all. Access to all IMO documentation is now exclusively through IMODOCS, implemented through Circular letter No.3325 of 13 November 2012.	Printing volumes (as above) and postage costs have been reduced. Complies with the United Nations system's green meetings advice.
Background documents (full study reports, etc.) should be attached to an INF cover note and should not be circulated.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009. INF cover notes "annexing" such background documents now simply refer the reader to a	Translation, word processing and printing has been reduced, in terms of individual documents, thereby generating cost and energy savings.

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Documentation			
		<p>website. If such documents still need to be circulated (e.g., because they are not available on a website) this is done in their original language only. Background documents generated by IMO itself continue to be translated, if necessary.</p>	Complies with the United Nations system's green meetings advice.
Pre-session documents should not be made available in hard copy during meetings.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009.	Printing volumes and paper wastage have been reduced. Complies with the United Nations system's green meetings advice.
The distribution of copies of working papers (WPs) to delegations should be limited.	C 104/D, paragraph 3.3(ii)	<p>Implemented through Circular letter No.3087 of 26 July 2010. Two copies of WPs are distributed to each Member State and Associated Member. One copy is distributed to each observer delegation. All WPs are simultaneously uploaded onto IMODOCS.</p>	Printing volumes and paper wastage have been reduced. Complies with the United Nations system's green meetings advice.
The size of meeting reports should be reduced.	C 104/D, paragraph 3.3(v) C 109/D, paragraph 3.11(v)	<p>The measure was agreed in principle by the Council and Committees and a trial system is now being prepared based, <i>inter alia</i>, on the model of Council reports (i.e. a "record of decisions" supported by audio files containing recordings of all meeting discussions).</p> <p>In a related development, the reports of Committees to the Council have been considerably rationalized.</p>	<p>The volume of translation, word processing and printing would be reduced, thereby generating cost and energy savings and facilitating the assimilation of document contents for delegates.</p> <p>Translation, word processing, printing and associated costs have been reduced.</p>
Assembly and Council summary records should be abolished.	C 104/D, paragraph 3.3(vi)	<p>Implemented through Circular letter No.3087 of 26 July 2010. Summary records are no longer produced for the Assembly and Council. Instead, the IMODOCS website now has audio files containing recordings of all meeting discussions.</p>	<p>Précis writing, translation, word processing and printing for summary records have all been eliminated, thereby generating cost and energy savings. Some investment in audio recording infrastructure has been necessary but, in the long term, its cost will be offset by the savings generated.</p>

Adopted measure	Approval	Current status	Type of efficiency gain or other benefit
Documentation			
The IMODOCS server capacity at Headquarters should be further enhanced to facilitate downloading of documentation.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letters No.2855 of 3 March 2008 and No.2995 of 5 October 2009. Investments have been, and continue to be made, to improve access to and use of IMODOCS.	Improved access by delegations and the Secretariat to pre-, in- and post-session documentation.
Meeting decisions should be cross-referenced in other documents in order to reduce translation and printing costs.	C 108/D, paragraph 5(e).3 C 109/D, paragraph 3.11(iv)	The measure aims at eliminating duplications across documents, through, for example: not listing delegations in reports but only in INF.1 documents; including a section on "actions required by other bodies" in the reports of meetings; and placing background information on previous discussions in the annotated agenda only.	Reduced preparation, translation and production costs.
Conduct of meetings and organization and method of work			
Electronic means, rather than printed materials, should be used for pre-meeting (and follow-up) communications.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009. This has now become standard practice in respect of pre- and post-session communications. Since then, even the delegate registration process has been made electronic.	Reduction in materials and human resources required. Complies with the United Nations system's green meetings advice.
Pens/paper should be provided to delegations once only at the beginning of a meeting.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009. This has now become standard practice.	Reduction in material and human resources required. Complies with the United Nations system's green meetings advice.
Double-sided printing and photocopying, and minimal use of colour copies, should be strictly enforced.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009. This has become standard practice.	Reduction in material resources required as well as in printing/energy costs. Complies with the United Nations system's green meetings advice.
Increased use of laptops by delegations and the loan of laptops to delegates should be promoted in order to introduce paperless meetings.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009. For the most part, the measure has been overtaken by developments, as most delegations now bring their own laptops, tablets or other devices.	The requirement for documentation to be made available during meetings (i.e. pre-session documents and WPs) has been virtually eliminated through the "PaperSmart" model. Some investment in wi-fi infrastructure has

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Documentation			
		Additionally, the "PaperSmart" concept (see the annex to document C 109/1/1) has taken firm root at IMO, with C 109 having been used successfully as a trial and through related enhancements to IMODOCS facilities. The model is now used for all IMO meetings, other than the Assembly.	been necessary but, in the long-term, its cost will be offset by the savings generated through the PaperSmart' model. Complies with the United Nations system's green meetings advice.
Delegations should be encouraged to bring a USB memory stick to all meetings so that they can be provided with all material, and to avoid printing.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009. The measure has been overtaken by developments (see the preceding item).	See the preceding item.
Time limits for interventions should be established.		Implemented through Circular letter No.2995 of 5 October 2009. While the measure was not approved for general application, the 27 th Assembly had time limits imposed on speeches.	Improved use of meeting time, thereby facilitating wider discussion, decision-making and accomplishment of work.
Existing, revised or new rules and guidelines as regards document size, format, deadlines, etc., should be strictly enforced.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009. This has now become standard practice for the Secretariat in the preparation of meeting documentation.	Strict compliance reduces documentation, translation and printing costs. The Assembly and Council have called permanently for strict compliance with existing guidelines so as to ensure delivery of the work programme.
Timescales for completion of work should be realistic.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009. On-going.	Decreased pressure on delegations and Secretariat in handling simultaneously large numbers of items. Improved work programming through the High-level Action Plan and performance monitoring.
The Guidelines on the application of the Strategic Plan and the High-level Action Plan of the Organization (resolution A.1013(26)) (hereinafter "the GAP") should be strictly enforced.	C 102/D, paragraph 3(a).2(iv)	Implemented through Circular letter No.2995 of 5 October 2009. On-going through: improved application of the GAP by Chairmen before, during and after meetings; improvements to the GAP themselves; and uploading of a succinct	Strengthened management of the work of IMO organs, resulting in the limitation of agenda items and the establishment of realistic timescales, which, in turn would limit the need for working/correspondence groups and intersessional meetings.

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Documentation			
		introduction to them onto the IMO website.	Improved/streamlined reporting flows. A reduction in the number of meetings would generate cost/energy efficiencies for IMO and travel/per diem costs for delegations.
Work should be prioritized using the Risk Management Framework.	C 102/D, paragraph 3(a).2(iv) C 109/D, paragraphs 3.13 and 3.14	The measure has been examined by the Council and its Risk Review, Management and Reporting Working Group. Work on its implementation continues, alongside issues of prioritization (see documents C 110/3/1 and C 110/3/5).	See the preceding item.
The duration or frequency of certain meetings should be reduced.	C 104/D, paragraph 3.3(xi)	Assembly sessions have been reduced to eight days (trials successfully at A 27). Council sessions vary between four and five days, depending on workload. The three biennial MSC sessions are held on an eight-five-eight day basis, depending on workload. LEG sessions are now held annually. FAL is now held at 18 months intervals.	The volume of interpretation, translation, word processing and printing has been reduced, in terms of individual documents, thereby generating cost and energy savings and facilitating assimilation of document contents for delegates. Improved use of meeting time, facilitating wider discussion, decision-making and accomplishment of work.
The tasks of sub-committees should be examined and topics to be transferred from one to another should be identified in order to reduce the number of meetings, or to amalgamate sub-committees.	C 104/D, paragraph 8.13 C 109/D, paragraphs 3.5 to 3.9	Proposals have been presented to reduce the number of sub-committees from nine to seven (see paragraph 8 of the cover note to the present document).	Rationalization of workload and consequent time frames for completion of work, leading to reduced number of meeting-weeks (potentially four per biennium), participation costs and carbon footprint for IMO and delegations.
Information documents should be taken as noted by the organ to which they are submitted, without introduction or discussion.	C 104/D, paragraph 3.3(xv)	Implemented through Circular letter No.3087 of 26 July 2010. This has now become standard practice.	Improved use of meeting time, facilitating wider discussion, decision-making and accomplishment of work.
The number of sessions of interpretation should be reduced.	C 108/D, paragraph 3.6	In the Council, the Committees and the sub-committees, interpretation is provided only for eight (instead of 10) plenary sessions in a five-day period. The Assembly, MSC and	Interpretation costs contained within approved appropriations.

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Documentation			
		MEPC, however, have interpretation throughout their sessions.	
Raising awareness, and use, of alternative methods			
Delegations' awareness of the need to reduce the budgetary and environmental impact of meetings should be continuously raised.	C 102/D, paragraph 3(a).2(iv)	The PaperSmart concept (see the annex to document C 109/1/1) is now applied to all IMO meetings.	"Green" awareness translates into reduced resources and waste, resulting in cost/energy savings. Complies with the United Nations system's green meetings advice.
Advice should be provided to delegations on how to minimize paper (documents, reports and publications) and offset their carbon footprint.	C 102/D, paragraph 3(a).2(iv)	Implemented principally through the PaperSmart concept (see the annex to document C 109/1/1).	See the preceding item.
Increased use should be made of virtual meetings and videoconferencing (i.e. for correspondence or intersessional groups).	C 102/D, paragraph 3(a).2(iv)	Teleconferencing is now widely used in the Secretariat for interviewing of external candidates, regular inter-agency consultation and remote participation in external meetings. Remote participation for IMO meetings will be trialled at the Symposium on the Future of Ship Safety (June 2013) and may be expanded thereafter.	Reduced costs and carbon footprint for IMO and delegations. Complies with the United Nations system's green meetings advice.
Unplanned outputs should be accepted during a biennium only in exceptional circumstances and their costs should be taken into account.	C 109/D, paragraph 3.11(ii)	Although adopted, the measure is not being applied in practice as several unplanned outputs have been approved during the current biennium.	Strengthened management of the work of IMO organs, with a focus on delivering the biennial and prioritized High-level Action Plan. Possible reduction in costs to IMO and delegations through the non-approval of intersessional meetings to address unplanned outputs.
Secretariat operations¹			
The number of hours worked on report nights should be reduced.	C 106/D, paragraph 3(a).2	All report nights now finish at 1.00 a.m., following a successful 7-month trial period.	Reduced staff costs. Improved health and morale of staff.

¹ The 'adopted measures' associated with these operations have been in existence for many years, through the Staff Regulations and Staff Rules or relevant administrative circulars, instructions and manuals. Under the Secretary-General's review and reform process, however, a number of such operations were specifically identified as being efficiency measures able to generate increased cost savings.

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Documentation			
Pending a review of future requirements, vacant posts should remain unfilled.		The review was completed in early 2013 with consequent decisions on the number of posts required, vacancies to be filled and posts to be abolished.	Reduced staff costs, and identification of functional needs, mobility opportunities and career progression for staff.
The need for posts should be re-assessed when they become vacant.		This has now become standard practice with a view to identifying opportunities for performing the required functions differently, without necessarily filling the vacant post(s) in question.	Reduced staff costs; mobility opportunities and career progression for staff.
The grades of posts should be re-assessed when they become vacant.		This has always been standard practice with a view to appropriate grading of functions across the Secretariat's structure.	More rational organic structure of the Secretariat sometimes leading to reduced staff costs through the down-grading of posts; career progression for more junior staff.
The possibilities for the re-deployment of posts to areas of need should be assessed, when they become vacant.		On-going, on a case-by-case basis.	Improved workload distribution without thereby increasing staff costs.
The existing policy on retirement (at ages 60 and 62) should be strictly complied with.		On-going, with extensions only on the basis of exceptional compelling need.	Reduced staff costs; opportunity for bringing fresh new talent into the Organization and mobility opportunities and career progression for existing staff.
Member States should be invited to provide APOs and secondees for areas of need.		The Council has approved policies on APOs and secondees which are now being implemented annually.	Workload is shared with improved production of deliverables. APOs and secondees gain knowledge and expertise by working in the Secretariat.
Rules on overtime and compensatory time off should be strictly applied		As a general practice, overtime is now paid only in exceptional circumstances.	Reduced staff costs.
Temporary assistance contracts should be limited.		On-going, on a case-by-case basis.	Reductions in the "other personnel" costs.
Travel costs should be reduced through advance planning/purchasing of tickets.		Booking and purchasing of tickets is now carried out even more in advance than previously.	Reduced travel/per diem costs.

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Documentation			
Videoconferencing facilities should be used instead of physical participation in external meetings.		Wherever possible, these facilities are being increasingly used. Virtually all interviews of candidates for posts at IMO are now conducted through videoconferencing.	See the preceding item.
The use of late night transportation should be reviewed.		A reform of relevant administrative provisions has been undertaken with a view to ensuring better utilization of late night transportation while ensuring staff safety and security.	Reduced costs of late night transportation.
Services and utilities should be market-tested periodically.		A number of market-tests and/or advisory activities have been undertaken recently with respect to utilities, SAP operations, building security, catering services, etc. Tenders were conducted for services procured in the area of human resources, including training providers and companies offering assessment centres.	Improved services and value-for-money as well as cost reductions.
Subscriptions to periodicals should be reviewed.		The number of hard copy technical periodicals and magazines has been reduced, as many are now available online at lower prices.	Reductions in costs.
The Secretariat's consumption of meeting documents should be reduced.		A survey of Secretariat requirements for IMO meeting documents was carried out resulting in most staff now using only electronic versions thereof.	Reductions in document printing/copying and energy costs.
Other matters			
A study on the Organization's long-term financial sustainability should be developed.	Resolution A.1039(27) C 108/D, paragraphs 5(f).1 and 5(f).2	The required study was presented to the Council in document C 109/INF.2 and summarized in document C 109/4(e), with proposals for future biennial budgets to be based on the principle of continuous review and reform, or "mixed zero growth" (see also document C 110/6).	The expected benefit is the assurance of long-term financial sustainability for IMO, while taking account of financial constraints on Member States and without unduly impacting on the Organization's delivery of global standards.