

ASSEMBLY  
29th session  
Agenda item 8

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## STRATEGY, PLANNING AND REFORM

### Note by the Secretary-General

#### SUMMARY

*Executive summary:* This document invites the Assembly to adopt three resolutions: (1) an updated Strategic Plan for the Organization for the six-year period 2016 to 2021; (2) an updated High-level Action Plan of the Organization and priorities for the 2016-2017 biennium; and (3) the Application of the Strategic Plan and the High-level Action Plan of the Organization

*Strategic direction:* 4

*High-level action:* 4.0.3

*Planned output:* 4.0.3.1

*Action to be taken:* Paragraph 5

*Related documents:* C/ES.28/3, C/ES.28/3/2, C/ES.28/3/3, C/ES.28/3/4 and C/ES.28/D

#### Introduction

1 At its twenty-eighth extraordinary session, the Council considered the draft texts of the Assembly resolutions on the Strategic Plan for the Organization for the six-year period 2016 to 2021, the High-level Action Plan of the Organization and priorities for the 2016-2017 biennium; and the Application of the Strategic Plan and the High-level Action Plan of the Organization.

2 The Council approved the Strategic Plan for the Organization (for the six-year period 2016-2021), given in annex 1.

3 The Council approved the High-level Action Plan of the Organization and priorities for the 2016-2017 biennium, given in annex 2.

4 The Council further approved the draft Assembly resolution on the *Application of the Strategic Plan and the High-level Action Plan of the Organization*, given in annex 3.

**Action requested of the Assembly**

- 5 The Assembly is invited to:
- .1 note the information provided in this document;
  - .2 adopt the Strategic Plan for the Organization (for the six-year period 2016 to 2021), together with the associated draft Assembly resolution;
  - .3 adopt the High-level Action Plan of the Organization and priorities for the 2016-2017 biennium, together with the associated draft Assembly resolution; and
  - .4 adopt the draft Assembly resolution on the *Application of the Strategic Plan and High-level Action Plan of the Organization*.

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**ANNEX 1**

**DRAFT ASSEMBLY RESOLUTION**

**STRATEGIC PLAN FOR THE ORGANIZATION  
(FOR THE SIX-YEAR PERIOD 2016 to 2021)**

THE ASSEMBLY,

RECALLING part I of the Convention on the International Maritime Organization, in particular Article 1(a) thereof,

RECALLING ALSO part II of the Convention, in particular Articles 2(a) and (c) thereof,

RECALLING FURTHER resolutions:

- A.900(21) on *Objectives of the Organization in the 2000s*;
- A.901(21) on *IMO and technical co-operation in the 2000s*; and
- A.909(22) on *Policy making in IMO – setting the Organization's policies and objectives*,

RECALLING IN PARTICULAR the directions given, at its twenty-second session, to the Council to prepare the Organization's strategic plan outlining the Organization's broad direction and strategic objectives; and the adoption, at its twenty-eighth session, of resolution A.1060(28) on *Strategic Plan for the Organization (for the six-year period 2014 to 2019)*, including the direction given to the Council therein to review the Plan every biennium,

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

BEING AWARE of the Council's decision to develop a new Strategic Framework for the Organization for implementation in the 2018-2019 biennium,

HAVING CONSIDERED the recommendations of the Council at its twenty-eighth extraordinary session,

1 APPROVES the Strategic Plan for the Organization for the six-year period 2016 to 2021, as set out in the attached annex, comprising:

- (a) a mission statement;
- (b) the trends, developments and challenges in the shipping and maritime world that the Organization is anticipated to face over the aforementioned period; and
- (c) the strategic directions for the Organization, based on emerging trends, developments and challenges;

2 REQUESTS the Council and the Secretary-General, as appropriate, to monitor progress and analyse, as necessary, any mechanisms required to review and update progress made under the Strategic Plan, taking into account the High-level Action Plan developed by the Organization and the document on the *Application of the Strategic Plan and the High-level Action Plan of the Organization*;

3 REQUESTS the Council to develop a new strategic framework to replace the current Plan by the 2018-2019 biennium;

4 DECIDES to review, at its thirtieth regular session, the Organization's progress against the Plan on the basis of a Council report;

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

6 REVOKES resolution A.1060(28).

## ANNEX

### **STRATEGIC PLAN FOR THE ORGANIZATION (FOR THE SIX-YEAR PERIOD 2016 TO 2021)**

This, the Organization's Strategic Plan, covers the six-year period 2016 to 2021. It comprises three sections:

- .1 a mission statement;
- .2 trends and developments in the shipping and maritime world and the related challenges for the Organization; and
- .3 the strategic directions that the Organization wishes to take over the period.

#### **1 MISSION STATEMENT**

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

#### **2 TRENDS, DEVELOPMENTS AND CHALLENGES**

2.1 In its work to achieve its mission in an ever-changing world, the Organization faces many challenges. The Organization's strategic directions have been developed in the context of trends and developments in today's shipping industry, as enumerated below.

##### **Globalization and sustainable development**

2.2 Today's globalized world is characterized by freer movement of people, goods, services and information. It is a more interconnected world, in which the actions taken in one place have implications elsewhere. Globalization has also given rise to new players in the maritime arena. For instance, through a process of consolidation shipping conglomerates and alliances, as well as global terminal operators, wield increasing influence on global trade, the maritime transport sector and shipping matters at large. At the same time, there has also been increased interaction between IMO and other intergovernmental organizations, as well as non-State actors such as industry and special interest groups, in response to the need for a more comprehensive and inclusive approach to shipping matters.

2.3 The United Nations has adopted a new development agenda "Transforming our World: The 2030 Agenda for Sustainable Development". Seventeen (17) Sustainable Development Goals (SDGs) have also been adopted, as part of this new agenda. Maritime transportation is fundamental to world trade and access to global markets and therefore maritime transportation is a key component in achieving sustainable development and in balancing the three dimensions of sustainable development: the economic, environmental and social dimensions.

*The challenge for IMO is to:*

- .1 be proactive in identifying trends and developments affecting shipping;*
- .2 uphold a comprehensive and inclusive approach to shipping matters;*
- .3 provide an effective and efficient response to shipping trends, developments and incidents and, in so doing, stave off regional or unilateral tendencies that conflict with the Organization's regulatory framework; and*
- .4 involve the whole of the IMO membership in the development, formulation, adoption and implementation of policy.*

### **Heightened maritime safety concerns**

2.4 Enhancing maritime safety by ensuring that each link in the chain of responsibility fully meets its obligations is a priority for the maritime community as a whole. IMO builds upon a system of shared responsibilities, where flag, port and coastal States, shipowners, recognized organizations and other stakeholders all have an important role to play to ensure implementation and enforcement of global rules and raising the standards of shipping. Access to information, transparency and an inclusive approach in developing measures for the uniform and effective implementation of IMO instruments are also critical success factors in enhancing maritime safety.

*The challenge for IMO is to continue to enhance technical, operational and safety management standards and to eliminate shipping that fails to meet and maintain these standards at all times. A further challenge is to identify and evaluate factors influencing safety culture and to turn them into practical and effective mechanisms for further developing a quality and safety culture throughout the maritime community.*

### **Heightened maritime security concerns**

2.5 IMO Member States and intergovernmental and non-governmental organizations have collectively introduced measures in the maritime transport sector designed to enhance maritime and port security, prevent and suppress unlawful acts against the safety of maritime navigation and protect against disruptions to global trade, including those to vital shipping lanes. Following the adoption of amendments to SOLAS introducing the International Ship and Port Facility Security Code, the measures must be implemented effectively in order to enhance global maritime security. At the same time, security measures must not unduly affect the efficiency of shipping and port operations, the more so in an interconnected world which is so highly dependent on seaborne trade.

*The challenge for IMO is to continue to promote the effective implementation of security measures and to instill security consciousness in ship and port facility operations, at the same time ensuring that the right balance is struck in trade facilitation and that the flow of seaborne trade continues to be smooth and efficient.*

### **Heightened concerns about piracy and armed robbery against ships**

2.6 Piracy and armed robbery against ships remain a real and ever-present danger to those who use the seas for peaceful purposes. The increase in the number, ferocity and geographical scope of incidents of piracy and armed robbery against ships, too often resulting in death, injury or the kidnapping of seafarers, has compelled the United Nations, regional

bodies, Governments acting collectively or individually, military forces, shipping companies, ship operators and ships' crew, to work together in order to rid the world of the threat posed by piracy. IMO has continued to develop guidance to Member States and the shipping industry on measures to deter or prevent piracy attacks from being successful, and to investigate offences. Recognizing that, although piracy manifests itself at sea, the roots of the problem are to be found ashore, IMO has also promoted the development of regional initiatives to develop States' capacity to address piracy collectively.

*The challenge for IMO is to continue to develop and promote implementation of IMO guidance; encourage adherence to industry-developed Best Management Practices, so that, when venturing into piracy-infested areas, ships take all the recommended self-protection measures which are applicable; ensure that such measures are kept current, appropriate and proportionate to the actual threat; and promote the effective orchestration and coordination of global efforts to address piracy and armed robbery against ships.*

### **Heightened environmental consciousness**

2.7 The enhancement of a sustainable environmental policy for the shipping industry remains a high-profile matter. The heightened concern about the impact of global shipping activities on the environment has given further impetus to efforts by the Organization to increase awareness, promote corporate social responsibility by the shipping industry and develop sustainable and environmentally conscious means of minimizing the negative impacts from shipping, such as those aimed at reducing atmospheric pollution; addressing climate change through enhanced energy efficiency for ships and other measures; ensuring the preservation of ecosystems and biodiversity; and preventing the introduction of polluting substances from ships into the marine environment. Concern for the environment has also extended to concerns over the safest and most effective measures for the recycling of ships, which IMO is also addressing.

*The challenge for IMO, in line with the global emphasis on sustainable development, is to continue to:*

- .1 be proactive in identifying shipping activities and incidents that could have an adverse impact on the environment and, therefore, in developing corresponding preventive measures;*
- .2 contribute to international efforts to reduce atmospheric pollution and address climate change;*
- .3 develop effective preparedness and response strategies for shipping incidents in order to mitigate their impact on the environment; and*
- .4 make new ships more environmentally friendly by implementing the "cradle to grave" concept for new ships, whilst further facilitating practicable solutions for the recycling of existing ships.*

### **Promoting the efficiency of shipping**

2.8 With the increase in regulatory measures for safety, security and environmental protection, there is a need to achieve an appropriate balance between the multiple objectives of the Organization – namely, safe, secure and efficient shipping on clean oceans – lest such measures unduly impact on the efficiency of shipping. The development and implementation of measures to promote the efficiency of shipping, through better regulation including the

elimination of unnecessary, disproportionate or obsolete administrative requirements, is essential in order for the shipping industry to continue to serve international maritime transportation and world trade.

*The challenge for IMO is to further promote and develop measures to facilitate shipping, such as through the reduction of obstacles and formalities and the creation of enhanced systems to facilitate seaborne trade, thereby ensuring that the appropriate balance is achieved between safety, security and environmental protection and efficiency of shipping so that the flow of seaborne trade continues to be smooth and efficient.*

### **Shifting emphasis onto people**

2.9 Shortcomings in human performance at all levels in the chain of responsibility are a major cause of incidents. IMO will continue its efforts to address this problem. As IMO strives for full compliance with its instruments, their effectiveness will come under scrutiny with each incident resulting from human error. On the other hand, advances in technology and training provisions will offer new opportunities, which IMO can harness in order to enhance the contribution of the human element to safety, security and environmental protection.

*The challenge for IMO is to continue to place increased emphasis on the contribution of the human element to safer, more secure and environmentally friendly shipping and continuously to improve measures aimed at enhancing human performance in the maritime industry.*

### **People at sea**

2.10 In the context of IMO's fundamental mission to protect the lives of all those at sea, the advent of passenger ships with capacities of several thousands, the increased use of ferries and high-speed craft on international and domestic services to provide essential national, regional and archipelagic links, the growing number of migrants and the situation concerning Unsafe Mixed Migration by sea, the continuing incidence of stowaway cases and of piracy and armed robbery and the continuing loss of seafarers' and fishers' lives at sea have all heightened concerns relating to the safety of human life at sea and the success of search and rescue operations in cases of distress. The safe and secure operation of ships and whether current response capabilities are adequate to deal with emergencies are of particular concern.

*The challenge for IMO is to continue to ensure the adequacy of all systems used in ensuring the safety of life at sea, including those concerned with large concentrations of people, and the implementation of effective measures to address issues of migrants transported by sea, stowaways, and humanitarian aspects of piracy and armed robbery against ships.*

### **The importance of capacity building in ensuring universal and uniform application of IMO instruments**

2.11 The Integrated Technical Cooperation Programme (ITCP) is crucial for assisting developing countries to implement IMO instruments for safer and more secure shipping, enhanced environmental protection and facilitation of international maritime traffic. In addition, the ITCP has made a contribution to assisting developing countries to achieve relevant Millennium Development Goals (MDGs) and will further play a pivotal role in IMO's activities to support the achievement of the recently adopted development agenda, including the Sustainable Development Goals (SDGs). By doing so, the ITCP contributes actively, in accordance with resolution A.901(21), towards the economic, social and environmental dimensions of sustainable development. The importance of the ITCP thus increases further with amendments to existing instruments and the development of new instruments by IMO, in



which the particular needs of, and impact on, small island developing States and least developed countries should be taken into account. The Organization therefore needs to maintain and strengthen its capacity to meet the historical and growing needs of developing countries for technical assistance, in particular by working towards the long-term financial sustainability, efficiency and effectiveness of the ITCP.

*The challenge for IMO is to continue to ensure an equitable and sustainable means of funding for the ITCP, and to improve its delivery, efficiency and effectiveness.*

### **Technology as a major driving force for change in the maritime transport sector**

2.12 Technological developments have created new opportunities, but may include adverse impacts. New opportunities therefore exist that may encourage development of various IMO initiatives, from safety and security to environmental protection and the facilitation of international maritime traffic. Developments in communications and information technology may provide opportunities to develop knowledge management so as to increase transparency and accessibility to information.

*The challenge for IMO is to continue to:*

- .1 ensure that the technological developments adopted are conducive, as applicable, to enhancing maritime safety, security, protection of the environment and facilitation of international maritime traffic, and take into account the need for their global application;*
- .2 ensure the proper application of information technology within the Organization and provide enhanced access to that information for the shipping industry and others; and*
- .3 ensure that new equipment for use on board ships is designed and manufactured with the needs, skills and abilities of all users in mind.*

## **3 STRATEGIC DIRECTIONS**

### **Introduction**

3.1 The strategic directions (SDs) for enabling IMO to achieve its mission objectives in the years ahead can be considered under three broad categories:

- .1 enhancing the status and effectiveness of the Organization (SDs 1, 2, 3 and 4);
- .2 developing and maintaining a comprehensive framework for safe, secure, efficient and environmentally sound shipping (SDs 5, 6, 7, 8, 9, 10 and 14); and
- .3 enhancing the profile of shipping and instilling a quality culture and environmental conscience within the shipping community (SDs 11, 12, and 13).

SD 1 IMO is the primary international forum for technical matters of all kinds affecting international shipping and legal matters related thereto. An inclusive and comprehensive approach to such matters will be a hallmark of IMO. IMO will actively promote its role as the primary international forum on matters within its competence and ensure and strengthen the

linkage between safe, secure, efficient and environmentally friendly maritime transportation, the development of global trade, the world economy, and the realization of new UN development agenda and the Sustainable Development Goals (SDGs). In order to maintain that primacy, it will:

- .1 further develop its role in maritime affairs vis-à-vis other intergovernmental and international organizations, so as to be able to deal effectively and comprehensively with complex cross-agency issues;
  - .2 actively engage the various stakeholders to ensure a more inclusive approach to decision making; and
  - .3 actively seek to reap synergies and avoid duplicating efforts made by other United Nations agencies in shipping matters.
- SD 2 IMO will foster global compliance with its instruments governing international shipping and will strive for their uniform implementation by Member States.
- SD 3 With a view to enhancing its contribution to sustainable development, IMO will strengthen its maritime capacity-building programmes and will focus on:
- .1 developing capacity-building partnerships with governments, organizations and industry;
  - .2 ensuring the long-term sustainability of the ITCP;
  - .3 contributing to the realization of the relevant Sustainable Development Goals (SDGs), including through the development of major projects targeting emerging issues;
  - .4 meeting the needs of its developing Member States; and
  - .5 further improving the delivery, utilization, efficiency and effectiveness of its technical assistance and cooperation programmes.
- SD 4 Internally, IMO should be able to respond effectively and efficiently to emerging trends, developments and challenges. It will strive for excellence in governance and management. Besides the Strategic Plan, it will maintain a risk management framework. The Council will provide visionary leadership, committees will be optimally structured and will be supported by an effective and efficient Secretariat. Within approved biennial appropriations and in accordance with a detailed Business Plan, the Secretariat will be endowed with sufficient resources and expertise to realize the Organization's work plans, and the Organization will make effective use of information and communication technology in management and administration.
- SD 5 IMO's highest priority will be the safety of human life at sea. In particular, greater emphasis will be accorded to:
- .1 ensuring that all systems related to enhancing the safety of human life at sea are adequate, including those concerned with large concentrations of people;
  - .2 enhancing technical, operational and safety management standards;

- .3 eliminating shipping that fails to meet and maintain these standards on a continuous basis; and
  - .4 increasing the emphasis on the role of the human element in safe shipping.
- SD 6 IMO will seek to enhance the security of the maritime transport network, including vital shipping lanes, and to reduce piracy and armed robbery against ships, as well as the frequency of stowaway incidents, by:
- .1 promoting a comprehensive and cooperative approach, both among Member States within the Organization and between IMO and other intergovernmental and non-governmental organizations;
  - .2 raising awareness of IMO security measures and promoting their effective implementation;
  - .3 raising awareness of IMO measures against piracy and armed robbery against ships and promoting their effective implementation;
  - .4 increasing the emphasis on the role of the human element and safeguarding the human rights of seafarers in secure shipping; and
  - .5 increasing the emphasis on safety and security of seafarers.
- SD 7 IMO will focus on reducing and eliminating adverse impacts from shipping on the environment by:
- .1 identifying and addressing possible adverse impacts;
  - .2 developing and facilitating the implementation of effective measures for mitigating and responding to the impact on the environment caused by shipping incidents and operational pollution from ships;
  - .3 contributing to international efforts to reduce atmospheric pollution and address climate change; and
  - .4 increasing the emphasis on the role of the human element in environmentally sound shipping.
- SD 8 IMO will seek to ensure that measures to promote safe, secure and environmentally sound shipping do not unduly affect the efficiency of shipping. It will also constantly review such measures to ensure their adequacy, effectiveness and relevance, using the best available tools, thereby securing better regulation without unnecessary or disproportionate administrative requirements.
- SD 9 IMO will pay special attention to the shipping needs of small island developing States (SIDS) and the least developed countries (LDCs).
- SD 10 IMO will apply goal-based standards for maritime safety and environmental protection.

- SD 11 IMO, in partnership with other stakeholders, will seek to raise the profile of the safety, security and environmental records of shipping in the eyes of civil society by:
- .1 actively publicizing the vital importance of shipping as a safe, secure and environmentally sound mode of transport for goods and people as well as a promoter and enabler of sustainable development, and underlining the role of the Organization in that regard; and
  - .2 consequently further enhancing its public outreach programmes.
- SD 12 IMO will take the lead in enhancing the quality culture of shipping by:
- .1 encouraging the utilization of the best available techniques not entailing excessive costs, in all aspects of shipping;
  - .2 encouraging proper management of ships;
  - .3 promoting and enhancing the availability of, and access to, information – including casualty information – relating to ship safety, security and the environment (i.e. transparency);
  - .4 ensuring that all stakeholders understand and accept their responsibilities regarding safe, secure and environmentally sound shipping by developing a "chain of responsibility concept" among them; and
  - .5 identifying, correlating and evaluating the factors, including human interaction on board ships, that influence safety, security and environmental culture, and developing practical and effective mechanisms to address them.
- SD 13 IMO will seek to enhance environmental conscience within the shipping community.
- SD 14 IMO will seek to ensure better regulation through a systematic approach and that its instruments are free from administrative requirements that are disproportionate, obsolete or unnecessary. The Organization will continue its efforts to reduce administrative burdens in IMO instruments, without compromising safety, security and the protection of the environment.

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## ANNEX 2

### DRAFT ASSEMBLY RESOLUTION

#### HIGH-LEVEL ACTION PLAN OF THE ORGANIZATION AND PRIORITIES FOR THE 2016-2017 BIENNIUM

THE ASSEMBLY,

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

RECALLING ALSO the directives contained in resolutions:

- A.777(18) on Work methods and organization of work in Committees and their subsidiary bodies;
- A.900(21) on Objectives of the Organization in the 2000s;
- A.901(21) on IMO and technical co-operation in the 2000s; and
- A.909(22) on Policy making in IMO – setting the Organization's policies and objectives,

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

HAVING ADOPTED resolution A.xxxx(29) providing the updated Strategic Plan for the Organization for the six-year period 2016 to 2021,

HAVING CONSIDERED the recommendations of the Council, at its twenty-eighth extraordinary session, for the adoption of an updated High-level Action Plan and related priorities for the 2016-2017 biennium, together with an associated results-based budget including the Secretariat's Business Plan, both of which have been prepared on the basis of the Strategic Plan and inputs from the Maritime Safety Committee, the Legal Committee, the Marine Environment Protection Committee, the Technical Cooperation Committee, the Facilitation Committee and the Secretariat,

1 APPROVES the High-level Action Plan of the Organization and priorities for the 2016-2017 biennium, as set out in the annex to the present resolution;

2 REQUESTS the Council, the Maritime Safety Committee, the Legal Committee, the Marine Environment Protection Committee, the Technical Cooperation Committee and the Facilitation Committee, when reporting on their work to the Assembly at its thirtieth regular session and to the Council at its sessions during the 2016-2017 biennium, to ensure that they report progress towards fulfilling the Organization's aims and objectives using the framework of the strategic directions, high-level actions and planned biennial outputs;

3 DIRECTS the Council, the committees and the Secretariat, when considering proposals for new outputs, to ensure, in accordance with resolution A.xxxx(29) containing the document on the application of the Strategic Plan and the High-level Action Plan of the Organization and the guidelines on the organization and method of their work, as appropriate, that the issues to be addressed are those which fall within the scope of the Strategic Plan and the High-level Action Plan;

4 ALSO REQUESTS the committees and the Secretariat, as appropriate and in accordance with resolution A.xxxx(29), to submit to the Council for endorsement any new outputs that they may approve during the 2016-2017 biennium for inclusion in the High-level Action Plan for that biennium;

5 AUTHORIZES the Council to endorse such new outputs and to incorporate them into the High-level Action Plan and priorities for the 2016-2017 biennium, as set out in the annex to the present resolution;

6 REQUESTS all IMO organs to ensure full observance of the document contained in resolution A.xxxx(29), which provides a uniform basis for the application of the Strategic Plan and the High-level Action Plan throughout the Organization, and for the strengthening of existing working practices through the provision of enhanced planning and management procedures that are flexible, manageable, proportional, transparent and balanced;

7 UNDERLINES the specific responsibilities of the chairmen, vice-chairmen and secretaries of the Council, committees and sub-committees to ensure a consistent and rigorous application of resolution A.xxxx(29) and the Guidelines on the organization and method of work of the respective committees and their subsidiary bodies;

8 EMPHASIZES that the high-level actions and related outputs, especially those involving amendments to existing conventions (particularly those which have been in force for a short period), should take fully into account the directives in resolution A.500(XII), and that due attention should be given to the requirement that a well-documented need must be demonstrated for the development and adoption of new or revised standards;

9 REVOKES resolution A.1061(28)

ANNEX

**HIGH-LEVEL ACTION PLAN OF THE ORGANIZATION AND PRIORITIES  
FOR THE 2016-2017 BIENNIUM**

1 The Organization's Strategic Plan for the period 2016 to 2021 (resolution A.xxxx(29)) includes 14 key strategic directions to enable IMO to achieve its mission objectives. In order for the Organization to effectively address those strategic objectives, a High-level Action Plan has been developed which identifies the actions required and provides the linkage between the Organization's strategy and the work of the various IMO organs.

2 The High-level Action Plan thus identifies the high-level actions necessary to achieve the strategic objectives in the Strategic Plan, as well as the priorities for the 2016-2017 biennium in response to those identified actions.

3 The progress of the Organization towards fulfilling its aims and objectives will be monitored against the planned outputs for the biennium.

**TABLE 1 – STRATEGIC DIRECTIONS AND CORRESPONDING HIGH-LEVEL ACTIONS (HLAs)**

No.	Strategic Direction	No.	High-level Action
1	IMO is the primary international forum for technical matters of all kinds affecting international shipping and legal matters related thereto. An inclusive and comprehensive approach to such matters will be a hallmark of IMO. IMO will actively promote its role as the primary international forum on matters within its competence and ensure and strengthen the linkage between safe, secure, efficient and environmentally friendly maritime transportation, the development of global trade and the world economy and the realization of new UN development agenda and the Sustainable Development Goals (SDGs). In order to maintain that primacy, it will:		
1.1	Further develop its role in maritime affairs vis-à-vis other intergovernmental and international organizations, so as to be able to deal effectively and comprehensively with complex cross-agency issues;	1.1.1	Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance
		1.1.2	Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance
1.2	Actively engage the various stakeholders – new and existing – to ensure a more inclusive approach to decision-making	1.2.1	Further encourage the active participation of all stakeholders to achieve the Organization's mission objectives through consultation and liaison
1.3	Actively seek to reap synergies and avoid duplicating efforts made by other UN agencies in shipping matters	1.3.1	Consider issues under the United Nations Law of the Sea Convention (UNCLOS) relevant to the role of the Organization
		1.3.2	Monitor developments within GESAMP and make full use of the knowledge available and gained
		1.3.3	Promote facilitation measures
		1.3.4	Harmonize IMO instruments with other relevant international instruments, as necessary
2	IMO will foster global compliance with its instruments governing international shipping and will strive for their uniform implementation by Member States		



No.	Strategic Direction	No.	High-level Action
2.0	No strategic direction detail	2.0.1	Monitor and improve conventions, etc., and provide interpretation thereof if requested by Member States
		2.0.2	Implement the IMO Member State Audit Scheme
		2.0.3	Encourage the worldwide provision of maritime search and rescue services
3	With a view to enhancing its contribution to sustainable development, IMO will strengthen its maritime capacity-building programmes and will focus on:		
3.1	Developing capacity-building partnerships with governments, organizations and industry	3.1.1	Participate in environmental programmes with UNDP, UNEP, World Bank, etc.
		3.1.2	Establish partnerships with governments, organizations and industry to enhance the delivery of IMO's capacity-building programmes
		3.1.3	Promote and strengthen partnerships with global maritime training institutions and training programmes
3.2	Ensuring the long-term sustainability of the Integrated Technical Cooperation Programme (ITCP)	3.2.1	Mobilize and allocate financial or in-kind resources including the promotion of technical and economic cooperation among developing countries (TCDC and ECDC)
		3.2.2	Implement the approved mechanism to ensure the sustainable financing of the ITCP
3.3	Contributing to the realization of the relevant Sustainable Development Goals (SDGs), including through the development of major projects targeting emerging issues	3.3.1	Maintain, promote and demonstrate the linkage between the ITCP and the Sustainable Development Goals (SDGs)
3.4	Meeting the needs of its developing Member States	3.4.1	Identify the emerging needs of developing States in general and the developmental needs of small island developing states (SIDS) and least developed countries (LDCs) in particular
3.5	Further improving the delivery, utilization, efficiency and effectiveness of its technical assistance and cooperation programmes	3.5.1	Consider, prioritize and implement technical cooperation programmes
		3.5.2	Strengthen the role of women in the maritime sector
		3.5.3	Develop new measures to improve the delivery of technical assistance
		3.5.4	Undertake regular technical cooperation (TC) impact assessments

No.	Strategic Direction	No.	High-level Action
4	Internally, IMO should be able to respond effectively and efficiently to emerging trends, developments, and challenges. It will strive for excellence in governance and management. Besides the Strategic Plan, it will maintain a risk management framework. The Council will provide visionary leadership, Committees will be optimally structured and will be supported by an effective and efficient Secretariat. Within approved biennial appropriations and in accordance with a detailed Business Plan, the Secretariat will be endowed with sufficient resources and expertise to realize the Organization's work plans, and the Organization will make effective use of information and communication technology in management and administration		
4.0	No strategic direction detail	4.0.1	Adopt, implement and enhance measures for the effective, efficient and transparent management of the Organization's resources
		4.0.2	Develop, implement, enhance, support and manage information systems in support of a knowledge and information-based Organization
		4.0.3	Identify opportunities to strengthen management culture, reduce risk and introduce best practice through planning, developing and implementing organizational reforms
		4.0.4	Maintain a risk management framework
		4.0.5	Implement and keep under review working methods and processes
5	IMO's highest priority will be the safety of human life at sea. In particular, greater emphasis will be accorded to:		
5.1	Ensuring that all systems related to enhancing the safety of human life at sea are adequate, including those concerned with large concentrations of people	5.1.1	Review the adequacy of passenger ship safety provisions
		5.1.2	Development and review of safe evacuation, survival, recovery and treatment of people following maritime casualties or in case of distress
		5.1.3	Enhance the safety of navigation in vital shipping lanes

No.	Strategic Direction	No.	High-level Action
5.2	Enhancing technical, operational and safety management standards	5.2.1	Keep under review the technical and operational safety aspects of all types of ships, including fishing vessels
		5.2.2	Development and review of training and watchkeeping standards and operational procedures for maritime personnel
		5.2.3	Keep under review standards for safe handling and carriage by sea of solid and liquid cargoes carried in bulk and packaged form
		5.2.4	Keep under review measures to improve navigational safety, including ships' routing, ship reporting and monitoring systems, vessel traffic services, requirements and standards for shipborne navigational aids and systems and long-range identification and tracking (LRIT)
		5.2.5	Monitor and evaluate the operation of the Global Maritime Distress and Safety System (GMDSS)
		5.2.6	Development and implementation of the e-navigation strategy
5.3	Eliminating shipping that fails to meet and maintain these standards on a continuous basis	5.3.1	Keep under review and support flag, port and coastal State implementation for enhancing and monitoring compliance
5.4	Increasing the emphasis on the role of the human element in safe shipping	5.4.1	Develop a strategy for the work related to the role of the human element including the chain of responsibility in maritime safety
6	IMO will seek to enhance the security of the maritime transport network, including vital shipping lanes, and to reduce piracy and armed robbery against ships, as well as the frequency of stowaway incidents, by:		
6.1	Promoting a comprehensive and cooperative approach, both among Member States within the Organization and between IMO and other intergovernmental and non-governmental organizations	6.1.1	Keep under review measures (e.g. ISPS Code) to enhance security for ship and port facilities including the ship/port interface and for shipping lanes of strategic importance
		6.1.2	Keep under review the adequacy of the legal framework to suppress unlawful acts against ships and fixed platforms through the SUA Convention and its Protocol
6.2	Raising awareness of IMO security measures and promoting their effective implementation	6.2.1	Assist developing countries in their introduction and implementation of effective security measures

No.	Strategic Direction	No.	High-level Action
		6.2.2	Promulgate information on prevention and suppression of acts of piracy and armed robbery against ships
		6.2.3	Assist developing countries in their introduction and implementation of effective measures against piracy and armed robbery against ships
		6.2.4	Assist developing regions in their introduction and implementation of effective security measures and measures against piracy and armed robbery against ships
6.3	Raising awareness of IMO measures against piracy and armed robbery against ships and promoting their effective implementation	6.3.1	Actively participate in work of the Joint IMO/ILO Ad Hoc expert working groups on issues related to safeguarding the human rights of seafarers
		6.3.2	Maintain and implement the strategy for the work related to the role of the human element including the chain of responsibility in maritime security
7	IMO will focus on reducing and eliminating adverse impacts from shipping on the environment by:		
7.1	Identifying and addressing possible adverse impacts	7.1.1	Monitor pollution and adverse impact on the marine environment caused by ships
		7.1.2	Keep under review measures to reduce adverse impact on the marine environment caused by ships
		7.1.3	Monitor and keep under review the provision of reception facilities in ports and their adequacy
		7.1.4	Consider the need for the development of measures to prevent and control marine pollution from small craft
7.2	Developing and facilitating the implementation of effective measures for mitigating and responding to the impact on the environment caused by shipping incidents and operational pollution from ships	7.2.1	Keep under review the Guidelines on the identification of places of refuge
		7.2.2	Keep under review the adequacy of the legal framework
		7.2.3	Foster cooperation and mutual assistance between Member States under the provisions of the OPRC Convention and the OPRC-HNS Protocol
7.3		7.3.1	Keep under review IMO measures to reduce atmospheric pollution

No.	Strategic Direction	No.	High-level Action
	Contributing to international efforts to reduce atmospheric pollution and address climate change	7.3.2	Continue to develop appropriate measures to address climate change
7.4	Increasing the emphasis on the role of the human element in environmentally sound shipping	7.4.1	Develop a strategy for the work related to the role of the human element including the chain of responsibility in marine environment protection
8	IMO will seek to ensure that measures to promote safe, secure and environmentally sound shipping do not unduly affect the efficiency of shipping. It will also constantly review such measures to ensure their adequacy, effectiveness and relevance, using the best available tools, thereby securing better regulation without unnecessary or disproportionate administrative requirements.		
8.0	No strategic direction detail	8.0.1	Promote wider acceptance of the FAL Convention and adoption of measures contained therein, to assist the FAL Committee's effort and work towards the universal implementation of measures to facilitate international maritime traffic
		8.0.2	Ensure that an appropriate balance is maintained between measures to enhance maritime security and measures to facilitate maritime international traffic
		8.0.3	Encourage the use of information and communication technology to drive continuous improvement and innovation in the facilitation of maritime traffic
9	IMO will pay special attention to the shipping needs of small island developing States (SIDS) and least developed countries (LDCs)		
9.0	No strategic direction detail	9.0.1	Identify and address the special shipping needs of SIDS and LDCs
10	IMO will apply goal-based standards for maritime safety and environmental protection		
10.0	No strategic direction detail	10.0.1	Further develop measures to apply goal-based standards for maritime safety and environmental protection

No.	Strategic Direction	No.	High-level Action
11	IMO, in partnership with other stakeholders, will seek to raise the profile of the safety, security and environmental records of shipping in the eyes of civil society by:		
11.1	Actively publicizing the vital importance of shipping as a safe, secure and environmentally sound mode of transport for goods and people, as well as a promoter and enabler of sustainable development, and underlining the role of the Organization in that regard	11.1.1	Raise awareness of the role of international shipping in world trade and the global economy and the importance of the Organization's role
		11.1.2	Enhance the image of the role of the human element in the context of the shipping industry
11.2	Consequently further enhancing its public outreach programmes	11.2.1	Actively promote and encourage the development of community relations programmes
12	IMO will take the lead in enhancing the quality of shipping by:		
12.1	Encouraging the utilization of the best available techniques not entailing excessive costs, in all aspects of shipping	12.1.1	Use formal safety assessment techniques in the development of technical standards
		12.1.2	Use risk-based tools that take account of costs and the human element in the development of operational standards
12.2	Encouraging proper management of ships	12.2.1	Keep under review the effectiveness of the ISM Code with regard to safety and protection of the marine environment
12.3	Promoting and enhancing the availability of, and access to, information – including casualty information – relating to ship safety, security and the environment (i.e. transparency)	12.3.1	Promote and undertake collection and dissemination of high quality, relevant and timely information to support analyses and decisions, taking into account related issues of finance and governance
12.4	Ensuring that all stakeholders understand and accept their responsibilities regarding safe, secure and environmentally sound shipping by developing a "chain of responsibility" concept among them	12.4.1	Raise awareness of the "chain of responsibility" concept among all stakeholders through organizations that have consultative status
12.5	Identifying, correlating and evaluating the factors, including human interaction on board ships, that influence safety, security and environmental culture, and developing practical and effective mechanisms to address them		No HLA
13	IMO will seek to enhance environmental conscience within the shipping community		

No.	Strategic Direction	No.	High-level Action
13.0	No strategic direction detail	13.0.1	Strengthen awareness of the need for a continuous reduction of the adverse impact of shipping on the environment
		13.0.2	Promote and enhance the availability of, and access to, information relating to environmental protection (i.e. transparency) and, in particular, consider the wider dissemination of information, analyses and decisions, taking account of the financial implications
		13.0.3	Encourage the use in shipping of the best available environmental technology not entailing excessive costs, in line with the goal of sustainable development
14	IMO will seek to ensure better regulation through a systematic approach and that its instruments are free from administrative requirements that are disproportionate, obsolete or unnecessary. The Organization will continue its efforts to reduce administrative burdens in IMO instruments, without compromising safety, security and the protection of the environment.		
14.0	No strategic direction detail	14.0.1	Develop and implement more efficient solutions for those administrative requirements that are necessary, and remove those administrative requirements that are unnecessary, disproportionate or obsolete

**TABLE 2 – HIGH-LEVEL ACTIONS (HLAs) AND RELATED OUTPUTS**

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
1.1.1	Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance	1.1.1.1	Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance	Assembly	MSC / MEPC / FAL / LEG / TCC	Council	2017
		1.1.1.2	Consideration of reports on the application of the joint IMO/ILO Guidelines on the fair treatment of seafarers and consequential further actions as necessary.	LEG			Annual
1.1.2	Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance	1.1.2.1	Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance	Assembly	MSC / MEPC / FAL / LEG / TCC	Council	2017
		1.1.2.2	Response to matters related to the Radiocommunication ITU R Study Group and ITU World Radiocommunication Conference	MSC	NCSR		Annual
		1.1.2.3	Unified interpretation of provisions of IMO safety, security, and environment related Conventions	MSC / MEPC	III / PPR / CCC / SDC / SSE / NCSR		Continuous
1.2.1	Further encourage the active participation of all stakeholders to achieve the Organization's mission objectives through consultation and liaison	1.2.1.1	Agreements of cooperation with IGOs and approved consultative status for NGOs	Assembly	Council		2017



No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
1.3.1	Consider issues under the United Nations Law of the Sea Convention (UNCLOS) relevant to the role of the Organization	1.3.1.1	Advice and guidance on issues under UNCLOS relevant to the role of the Organization	LEG			Annual
1.3.2	Monitor developments within GESAMP and make full use of the knowledge available and gained		No outputs against this HLA				
1.3.3	Promote facilitation measures	1.3.3.1	Review the international signs to provide guidance to persons at marine terminals	FAL			2016
1.3.4	Harmonize IMO instruments with other relevant international instruments, as necessary	1.3.4.1	Amendments to the IAMSAR Manual	MSC	NCSR		Continuous
		1.3.4.2	Consider reports on the issue of financial security in case of abandonment of seafarers, and shipowners' responsibilities in respect of contractual claims for personal injury to or death of seafarers, in light of the progress of the amendments to ILO MLC 2006	LEG			2017
2.0.1	Monitor and improve conventions, etc., and provide interpretation thereof if requested by Member States	2.0.1.1	Amendments to the ESP Code	MSC	SDC		Continuous
		2.0.1.2	Revised guidance on ballast water sampling and analysis	MEPC	PPR		2017
		2.0.1.3	Provide advice and guidance on issues brought to the Committee in connection with implementation of IMO instruments	LEG			Annual
		2.0.1.4	Strategies developed to facilitate entry into force and harmonized interpretation of the HNS Protocol	LEG			2017
2.0.2	Implement the IMO Member State Audit Scheme	2.0.2.1	Analysis of consolidated audit summary reports	Assembly	MSC / MEPC / LEG / TCC / III	Council	Annual

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
		2.0.2.2	Capacity-building aspects of the IMO Audit Scheme reflected in and implemented through the Integrated Technical Cooperation Programme (ITCP)	TCC			Continuous
2.0.3	Encourage the worldwide provision of maritime search and rescue services	2.0.3.1	Further development of the provision of global maritime SAR services	MSC	NCSR		2017
		2.0.3.2	Guidelines on harmonized aeronautical and maritime search and rescue procedures, including SAR training matters	MSC	NCSR		2017
		2.0.3.3	Revised guidelines for preparing plans for co-operation between search and rescue services and passenger ships (MSC.1/Circ.1079)	MSC	NCSR		2017
3.1.1	Participate in environmental programmes with UNDP, UNEP, World Bank, etc.	3.1.1.1	Analysis and consideration of reports on partnership arrangements for, and implementation of, environmental programmes	TCC	MEPC		Annual
3.1.2	Establish partnerships with governments, organizations and industry to enhance the delivery of IMO's capacity-building programmes	3.1.2.1	Analysis and consideration of reports on implementation of resolution A.965(23) on Development and improvement of partnership arrangements for technical cooperation	TCC			Annual
3.1.3	Promote and strengthen partnerships with global maritime training institutions and training programmes	3.1.3.1	Monitoring of ITCP programme implemented on the enhancement of maritime training capacities, including middle and senior management levels	TCC			Annual
3.2.1	Mobilize and allocate financial or in-kind resources including	3.2.1.1	Monitoring of TCDC reflected in the ITCP and partnerships	TCC			Continuous

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
	the promotion of technical and economic cooperation among developing countries (TCDC and ECDC)	3.2.1.2	Analysis and consideration of reports on the TC Fund, voluntary trust funds, multi-bilateral funds, cash contributions and in-kind support under the ITCP	TCC			Annual
3.2.2	Implement the approved mechanism to ensure the sustainable financing of the ITCP	3.2.2.1	Analysis and consideration of reports on the implementation of the approved mechanism for sustainable financing of the ITCP	TCC			Annual
3.3.1	Maintain, promote and demonstrate the linkage between the ITCP and the Sustainable Development Goals (SDGs)	3.3.1.1	Analysis and consideration of reports on the linkage between the Integrated Technical Cooperation Programme (ITCP) and the new UN Development Agenda, including the Sustainable Development Goals (SDGs)	TCC			Annual
3.4.1	Identify the emerging needs of developing States in general and the developmental needs of small island developing states (SIDS) and least developed countries (LDCs) in particular	3.4.1.1	Input on identifying emerging needs of developing countries, in particular SIDS and LDCs to be included in the ITCP	TCC	MSC / MEPC / FAL / LEG		Continuous
		3.4.1.2	Approve ITCP for 2018-2019	TCC			2017
3.5.1	Consider, prioritize and implement technical cooperation programmes	3.5.1.1	Identify thematic priorities within the area of maritime safety and security, marine environmental protection, facilitation of maritime traffic and maritime legislation	TCC	MSC / MEPC / FAL / LEG		Annual
		3.5.1.2	Input to the ITCP on emerging issues relating to sustainable development and achievement of the MDGs	TCC	MSC / MEPC / FAL / LEG		2017

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
3.5.2	Strengthen the role of women in the maritime sector	3.5.2.1	Analysis and consideration of reports on strengthened regional associations for women managers in the maritime sector	TCC			Annual
3.5.3	Develop new measures to improve the delivery of technical assistance	3.5.3.1	Monitoring measures on new and cost-effective measures to deliver technical assistance	TCC			Annual
		3.5.3.2	Analysis and consideration of reports on National Maritime policy development and Country Maritime Profiles	TCC			Annual
3.5.4	Undertake regular technical cooperation (TC) impact assessments	3.5.4.1	Analysis and consideration of the report on the ITCP Impact Assessment Exercise covering 2012-2015	TCC			2016
4.0.1	Adopt, implement and enhance measures for the effective, efficient and transparent management of the Organization's resources	4.0.1.1	Approved accounts and audited financial reports	Assembly	Council		2017
		4.0.1.2	Approved annual report on ITCP implementation	TCC			Annual
		4.0.1.3	Endorsed proposals for new outputs for the 2016-2017 biennium as accepted by the Committees	Council	MSC / MEPC / FAL / LEG / TCC		Annual
		4.0.1.4	Consideration of reports on the management of the financial and human resources	Council			Annual
4.0.2	Develop, implement, enhance, support and manage information systems in support of a knowledge and information-based Organization	4.0.2.1	Endorsed proposals for the development, maintenance and enhancement of information systems and related guidance (GISIS, websites, etc.)	Council	MSC / MEPC / FAL / LEG / TCC		Continuous

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
4.0.3	Identify opportunities to strengthen management culture, reduce risk and introduce best practice through planning, developing and implementing organizational reforms	4.0.3.1	Development of a new strategic framework for the Organization for 2018-2023	Council	MSC / MEPC / FAL / LEG / TCC		2017
		4.0.3.2	Comprehensive, transparent, deliverable and adopted strategic framework for 2018-2023, including associated guidelines, and results-based budget for 2018-2019	Assembly	Council		2017
4.0.4	Maintain a risk management framework	4.0.4.1	Review the Secretariat's Risk Management Exercise for the 2016-2017 biennium	Council			2016
4.0.5	Implement and keep under review working methods and processes	4.0.5.1	Revised guidelines on organization and method of work, as appropriate	Council	MSC / MEPC / FAL / LEG / TCC		2016
5.1.1	Review the adequacy of passenger ship safety provisions	5.1.1.1	Guidelines on safe return to port for passenger ships	MSC	SDC		2016
		5.1.1.2	Clarification of the requirements in SOLAS chapter II-2 for fire integrity of windows on passenger ships carrying not more than 36 passengers and special purpose ships with more than 60 (but no more than 240) persons on board	MSC	SSE		2017
		5.1.1.3	Amendments to SOLAS and FSS Code to make evacuation analysis mandatory for new passenger ships and review of the Recommendation on evacuation analysis for new and existing passenger ships	MSC	SDC		2016
		5.1.1.4	Development of life safety performance criteria for alternative design and arrangements for fire safety (MSC/Circ.1002)	MSC	SSE		2016

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
		5.1.1.5	Passenger ship safety	MSC			2017
		5.1.1.6	Amendments to SOLAS chapter II-1 and associated guidelines on damage control drills for passenger ships	MSC	HTW	SDC	2016
5.1.2	Development and review of safe evacuation, survival, recovery and treatment of people following maritime casualties or in case of distress	5.1.2.1	Making the provisions of MSC.1/Circ.1206/Rev.1 mandatory	MSC	SSE		2016
		5.1.2.2	Measures to protect the safety of persons rescued at sea	MSC / FAL	III	NCSR	2017
		5.1.2.3	IMO's contribution to addressing Unsafe Mixed Migration by Sea	MSC / FAL / LEG			2017
		5.1.2.4	Revision of requirements for escape route signs and equipment location markings in SOLAS and related instruments	MSC	HTW	SSE	2016
5.1.3	Enhance the safety of navigation in vital shipping lanes		No outputs against this HLA				
5.2.1	Keep under review the technical and operational safety aspects of all types of ships, including fishing vessels	5.2.1.1	Revised SOLAS regulation II-1/3-8 and associated guidelines (MSC.1/Circ.1175) and new guidelines for safe mooring operations for all ships	MSC	HTW / SSE	SDC	2017
		5.2.1.2	Amendments to the IGF Code and development of guidelines for low-flashpoint fuels	MSC	HTW / PPR / SDC / SSE	CCC	2016
		5.2.1.3	Revision of requirements for automatic sprinkler systems	MSC			2016
		5.2.1.4	Mandatory instrument and/or provisions addressing safety standards for the carriage of more than 12 industrial personnel on	MSC	SDC		2017

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
			board vessels engaged on international voyages				
		5.2.1.5	Revised SOLAS regulations II-1/13 and II-1/13-1 and other related regulations for new ships	MSC	SDC	SSE	2017
		5.2.1.6	Revision of section 3 of the Guidelines for damage control plans and information to the master (MSC.1/Circ.1245) for passenger ships	MSC	SDC		2017
		5.2.1.7	Computerized stability support for the master in case of flooding for existing passenger ships	MSC	SDC		2016
		5.2.1.8	Review of flashpoint requirements for oil fuel in SOLAS chapter II-2	MSC			2016
		5.2.1.9	Safety requirements for carriage of liquefied hydrogen in bulk	MSC	CCC		2016
		5.2.1.10	Safety objectives and functional requirements of the Guidelines on alternative design and arrangements for SOLAS chapters II-1 and III	MSC	SSE		2017
		5.2.1.11	Amendments to the Guidelines for vessels with dynamic positioning (DP) systems (MSC/Circ.645)	MSC	SSE		2016
		5.2.1.12	Finalization of second generation intact stability criteria (2019)	MSC	SDC		2017
		5.2.1.13	Amendments to SOLAS regulations II-1/6 and II-1/8-1	MSC	SDC		2017

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
		5.2.1.14	Review of the MODU Code, LSA Code and MSC.1/Circ.1206/Rev.1	MSC	HTW	SSE	2016
		5.2.1.15	Consequential work related to the new Code for ships operating in polar waters	MSC / MEPC	PPR / SSE	SDC	2017
		5.2.1.16	Finalization of a non-mandatory instrument on regulations for non-convention ships	MSC			2017
		5.2.1.17	Updated Survey Guidelines under the Harmonized System of Survey and Certification (HSSC)	MSC / MEPC	III		Annual
		5.2.1.18	Review the Guidelines on minimum training and education for mooring personnel	FAL			2016
		5.2.1.19	Classification of offshore industry vessels and a review of the need for a non-mandatory code for offshore construction support vessels	MSC	SDC		2016
		5.2.1.20	Non exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code)	MSC / MEPC	III		Annual
		5.2.1.21	Guidelines for use of Fibre Reinforced Plastics (FRP) within ship structures	MSC	SDC		2017
		5.2.1.22	Requirements for onboard lifting appliances and winches	MSC	SSE		2017
		5.2.1.23	Guidelines for wing-in-ground craft	MSC	SDC		2016
		5.2.1.24	Amendments to Part B of the 2008 IS Code on towing, lifting and anchor handling operations	MSC	SDC		2016



No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
		5.2.1.25	Amendments to the requirements for foam-type fire extinguishers in SOLAS regulation II 2/10.5	MSC			2016
5.2.2	Development and review of training and watchkeeping standards and operational procedures for maritime personnel	5.2.2.1	Guidance for the implementation of the 2010 Manila Amendments	MSC	HTW		2017
		5.2.2.2	Review of STCW passenger ship-specific safety training	MSC	HTW		2016
		5.2.2.3	Validated model training courses	MSC	HTW		Continuous
		5.2.2.4	Reports on unlawful practices associated with certificates of competency	MSC	HTW		Annual
		5.2.2.5	Reports to the MSC on information communicated by STCW Parties	MSC			Annual
		5.2.2.6	Guidelines for shipowners and seafarers for implementation of relevant IMO instruments in relation to the carriage of dangerous goods in packaged form by sea	MSC			2016
5.2.3	Keep under review standards for safe handling and carriage by sea of solid and liquid cargoes carried in bulk and packaged form	5.2.3.1	Amendments to CSC 1972 and associated circulars	MSC			2016
		5.2.3.2	Revised Guidelines for packing of cargo transport units	MSC			2016
		5.2.3.3	Amendments to the IMSBC Code and supplements	MSC / MEPC	CCC		Continuous
		5.2.3.4	Amendments to the IMDG Code and supplements	MSC	CCC		Continuous
5.2.4	Keep under review measures to improve navigational safety, including ships' routeing, ship	5.2.4.1	Routeing measures and mandatory ship reporting systems	MSC	NCSR		Continuous
		5.2.4.2	Updates to the LRIT system	MSC	NCSR		Continuous

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
	reporting and monitoring systems, vessel traffic services, requirements and standards for shipborne navigational aids and systems and long-range identification and tracking (LRIT)	5.2.4.3	Amendment to the General Provisions on Ships' Routeing (resolution A.572(14)) on establishing multiple structures at sea	MSC	NCSR		2016
		5.2.4.4	Interconnection of NAVTEX and Inmarsat SafetyNET receivers and their display on Integrated Navigation Display Systems	MSC	NCSR		2016
		5.2.4.5	Guidelines associated with multi-system shipborne radionavigation receivers dealing with the harmonized provision of PNT data and integrity information	MSC	NCSR		2017
		5.2.4.6	Recognition of Galileo as a component of the WWRNS	MSC	NCSR		2016
5.2.5	Monitor and evaluate the operation of the Global Maritime Distress and Safety System (GMDSS)	5.2.5.1	Updating of the GMDSS Master Plan and guidelines on MSI (maritime safety information)	MSC	NCSR		Continuous
		5.2.5.2	Completion of the detailed review of the Global Maritime Distress and Safety System (GMDSS)	MSC	HTW	NCSR	2016
		5.2.5.3	Draft Modernization Plan of the Global Maritime Distress and Safety System (GMDSS) (2018)	MSC	HTW	NCSR	2017
		5.2.5.4	Analysis of information on developments in Inmarsat and Cospas-Sarsat	MSC	NCSR		Continuous
		5.2.5.5	Revised Performance Standards for EPIRBs operating on 406 MHz (resolution A.810(19)) to include Cospas-Sarsat MEOSAR and second generation beacons	MSC	NCSR		2017

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
		5.2.5.6	Performance Standards for ship-borne GMDSS equipment to accommodate additional providers of GMDSS satellite services	MSC	NCSR		2016
		5.2.5.7	Analysis of developments in maritime radiocommunication systems and technology	MSC	NCSR		2017
5.2.6	Development and implementation of the e-navigation strategy	5.2.6.1	Additional modules to the Revised Performance Standards for Integrated Navigations Systems (INS) (resolution MSC.252(83) relating to the harmonization of bridge design and display of information	MSC	NCSR		2017
		5.2.6.2	Guidelines for the harmonized display of navigation information received via communications equipment	MSC	NCSR		2017
		5.2.6.3	Revised Guidelines and criteria for ship reporting systems (resolution MSC.43(64))	MSC	NCSR		2017
5.3.1	Keep under review and support flag, port and coastal State implementation for enhancing and monitoring compliance	5.3.1.1	Measures to harmonize port State control (PSC) activities and procedures worldwide	MSC / MEPC	III		Continuous
5.4.1	Develop a strategy for the work related to the role of the human element including the chain of responsibility in maritime safety	5.4.1.1	Comprehensive review of the 1995 STCW-F Convention (2018)	MSC	HTW		2017
		5.4.1.2	Revision of the Guidelines on Fatigue	MSC	HTW		2017

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
6.1.1	Keep under review measures (e.g. ISPS Code) to enhance security for ship and port facilities including the ship/port interface and for shipping lanes of strategic importance	6.1.1.1	Guidelines and guidance on the implementation and interpretation of SOLAS chapter XI-2 and the ISPS Code	MSC			Annual
		6.1.1.2	Guidelines on the facilitation aspects of protecting the maritime transport network from cyberthreats	FAL			2016
6.1.2	Keep under review the adequacy of the legal framework to suppress unlawful acts against ships and fixed platforms through the SUA Convention and its Protocol		No outputs against this HLA				
6.2.1	Assist developing countries in their introduction and implementation of effective security measures	6.2.1.1	Consideration and analysis of reports on piracy and armed robbery against ships	MSC			Annual
		6.2.1.2	Revised guidance relating to the prevention of piracy and armed robbery to reflect emerging trends and behaviour patterns	MSC	LEG		Annual
6.2.2	Promulgate information on prevention and suppression of acts of piracy and armed robbery against ships	6.2.2.1	Provide advice and guidance to support international efforts to ensure effective prosecution of perpetrators (piracy); and to support availability of information on comprehensive national legislation and judicial capacity-building	LEG			Annual
6.2.3	Assist developing countries in their introduction and implementation of effective measures against piracy and armed robbery against ships		No outputs against this HLA				

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
6.2.4	Assist developing regions in their introduction and implementation of effective security measures and measures against piracy and armed robbery against ships		No outputs against this HLA				
6.3.1	Actively participate in work of the Joint IMO/ILO Ad Hoc expert working groups on issues related to safeguarding the human rights of seafarers		No outputs against this HLA				
6.3.2	Maintain and implement the strategy for the work related to the role of the human element including the chain of responsibility in maritime security		No outputs against this HLA				
7.1.1	Monitor pollution and adverse impact on the marine environment caused by ships	7.1.1.1	Mandatory requirements for classification and declaration of solid bulk cargoes as harmful to the marine environment	MEPC	CCC		2017
7.1.2	Keep under review measures to reduce adverse impact on the marine environment caused by ships	7.1.2.1	Review of the guidelines for approval of ballast water management systems (G8)	MEPC	PPR		2017
		7.1.2.2	Designated Special Areas and PSSAs and their associated protective measures	MEPC	NCSR		Continuous
		7.1.2.3	Code for the transport and handling of limited amounts of hazardous and noxious liquid substances in bulk on offshore support vessels	MSC / MEPC	SDC / SSE	PPR	2017

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
		7.1.2.4	Approved ballast water management systems which make use of Active Substances, taking into account recommendations of the GESAMP-BWWG	MEPC			Annual
		7.1.2.5	Production of a manual entitled "Ballast Water Management- how to do it"	MEPC	PPR		2017
		7.1.2.6	Revised section II of the Manual on Oil Pollution-Contingency planning	MEPC	PPR		2017
		7.1.2.7	Guide on Oil Spill Response in Ice and Snow Conditions	MEPC	PPR		2016
		7.1.2.8	Updated IMO Dispersant Guidelines	MEPC	PPR		2017
7.1.3	Monitor and keep under review the provision of reception facilities in ports and their adequacy	7.1.3.1	Consideration and analysis of reports on alleged inadequacy of port reception facilities	MEPC	III		Annual
7.1.4	Consider the need for the development of measures to prevent and control marine pollution from small craft		No outputs against this HLA				
7.2.1	Keep under review the Guidelines on the identification of places of refuge		No outputs against this HLA				
7.2.2	Keep under review the adequacy of the legal framework	7.2.2.1	Safety and pollution hazards of chemicals and preparation of consequential amendments to the IBC Code, taking into account recommendations of GESAMP-EHS	MEPC	PPR		Continuous
		7.2.2.2	Amendments to MARPOL Annex V, Form of Garbage Record Book	MEPC			2016

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
		7.2.2.3	Review of MARPOL Annex II requirements that have an impact on cargo residues and tank washings of high viscosity, solidifying and persistent floating products and associated definitions, and to prepare amendments (2018)	MEPC	PPR		2017
		7.2.2.4	Guidance for exceptions and exemptions under regulations A-3 and A-4 of the BWM Convention	MEPC	PPR		2017
7.2.3	Foster cooperation and mutual assistance between Member States under the provisions of the OPRC Convention and the OPRC-HNS Protocol	7.2.3.1	Report on activities within the ITCP related to the OPRC Convention and the OPRC HNS Protocol	TCC	MEPC		Annual
		7.2.3.2	Updated OPRC Model training courses	MEPC	PPR		2016
7.3.1	Keep under review IMO measures to reduce atmospheric pollution	7.3.1.1	Measures to ensure quality of fuel oil for use on board ships	MEPC			2017
		7.3.1.2	Development of standards for shipboard gasification waste to energy systems and associated amendments to regulation 16 of MARPOL Annex VI	MEPC	PPR		2017
		7.3.1.3	Monitoring the worldwide average sulphur content of fuel oils supplied for use on board ships	MEPC			Annual
		7.3.1.4	Treatment of ozone-depleting substances used by ships	MEPC			Annual
		7.3.1.5	Amendments to the NOx Technical Code 2008 (dual fuel engines and engines fuelled solely by gaseous fuels)	MEPC			2016

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
		7.3.1.6	Amendments to MARPOL Annex VI concerning operational compliance with NOx Tier III requirements	MEPC			2016
		7.3.1.7	Amendments to bunker delivery note to permit the supply of fuel oil not in compliance with regulation 14 of MARPOL Annex VI	MEPC	PPR		2016
		7.3.1.8	Guidelines for onboard sampling and verification of the sulphur content of the fuel oil used onboard ships	MEPC	PPR		2016
		7.3.1.9	Guidelines for the discharge of exhaust gas recirculation bleed-off water	MEPC	PPR		2016
		7.3.1.10	Review of fuel oil availability as required by regulation 14.8 of MARPOL Annex VI	MEPC			2017
7.3.2	Continue to develop appropriate measures to address climate change	7.3.2.1	Further development of mechanisms needed to achieve the limitation or reduction of CO <sub>2</sub> emissions from international shipping	MEPC			Annual
		7.3.2.2	Impact on the Arctic of emissions of Black Carbon from international shipping	MEPC	PPR		2017
		7.3.2.3	Promotion of technical cooperation and transfer of technology relating to the improvement of energy efficiency of ships	MEPC			2017
		7.3.2.4	Revision of Guidelines concerning EEDI and SEEMP	MEPC			2017
		7.3.2.5	EEDI reviews required under regulation 21.6 of MARPOL Annex VI	MEPC			2017



No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
		7.3.2.6	Further technical and operational measures for enhancing the energy efficiency of international shipping	MEPC			2017
7.4.1	Develop a strategy for the work related to the role of the human element including the chain of responsibility in marine environment protection		No outputs against this HLA				
8.0.1	Promote wider acceptance of the FAL Convention and adoption of measures contained therein, to assist the FAL Committee's effort and work towards the universal implementation of measures to facilitate international maritime traffic	8.0.1.1	Comprehensive review of the FAL Convention	FAL			2016
8.0.2	Ensure that an appropriate balance is maintained between measures to enhance maritime security and measures to facilitate maritime international traffic	8.0.2.1	Consideration and analysis of reports and information on persons rescued at sea and stowaways	MSC / FAL			Annual
8.0.3	Encourage the use of information and communication technology to drive continuous improvement and innovation in the facilitation of maritime traffic	8.0.3.1	Requirements for access to, or electronic versions of, certificates and documents, including record books required to be carried on ships	FAL	MSC / MEPC / LEG / III		2017
		8.0.3.2	Application of single-window concept	FAL			Continuous

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
9.0.1	Identify and address the special shipping needs of SIDS and LDCs	9.0.1.1	Report on ITCP programme on support to SIDS and LDCs for their special shipping needs	TCC			Annual
10.0.1	Further develop measures to apply goal-based standards for maritime safety and environmental protection	10.0.1.1	Verified goal-based new ship construction standards for tankers and bulk carriers	MSC			Continuous
		10.0.1.2	Consideration of development of goal-based ship construction standards for all ship types	MSC / MEPC			2017
11.1.1	Raise awareness of the role of international shipping in world trade and the global economy and the importance of the Organization's role	11.1.1.1	Reports on the Organization's outreach activities	Council			Annual
11.1.2	Enhance the image of the role of the human element in the context of the shipping industry		No outputs against this HLA				
11.2.1	Actively promote and encourage the development of community relations programmes		No outputs against this HLA				
12.1.1	Use formal safety assessment techniques in the development of technical standards	12.1.1.1	Review of FSA studies by the FSA Experts' Group	MSC			Continuous

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
12.1.2	Use risk-based tools that take account of costs and the human element in the development of operational standards	12.1.2.1	Lessons learned and safety issues identified from the analysis of marine safety investigation reports	MSC / MEPC	III		Annual
		12.1.2.2	Identified issues relating to the implementation of IMO instruments from the analysis of PSC data	MSC / MEPC	III		Annual
12.2.1	Keep under review the effectiveness of the ISM Code with regard to safety and protection of the marine environment	12.2.1.1	Revised Guidelines on the Implementation of the ISM Code by Administrations (resolution A.1071(28)) on training audits	MSC	HTW		2016
12.3.1	Promote and undertake collection and dissemination of high quality, relevant and timely information to support analyses and decisions, taking into account related issues of finance and governance	12.3.1.1	Consideration of reports of incidents involving dangerous goods or marine pollutants in packaged form on board ships or in port areas	MSC / MEPC	III	CCC	Annual
12.4.1	Raise awareness of the "chain of responsibility" concept among all stakeholders through organizations that have consultative status		No outputs against this HLA				
13.0.1	Strengthen awareness of the need for a continuous reduction of the adverse impact of shipping on the environment		No outputs against this HLA				

No.	High-level Action	Outputs for 2016-2017					
		No.	Description	Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Target completion year
13.0.2	Promote and enhance the availability of, and access to, information relating to environmental protection (i.e. transparency) and, in particular, consider the wider dissemination of information, analyses and decisions, taking account of the financial implications		No outputs against this HLA				
13.0.3	Encourage the use in shipping of the best available environmental technology not entailing excessive costs, in line with the goal of sustainable development	13.0.3.1	Improved and new technologies approved for ballast water management systems and reduction of atmospheric pollution	MEPC	PPR		Annual
14.0.1	Develop and implement more efficient solutions for those administrative requirements that are necessary, and remove those administrative requirements that are unnecessary, disproportionate or obsolete	14.0.1.1	Analysis and consideration of recommendations to reduce administrative burdens in IMO instruments including those identified by the SG-RAR	Council	III / HTW / PPR / CCC / SDC / SSE / NCSR	MSC / MEPC / FAL / LEG	2017
		14.0.1.2	Consideration of proposals from Member States in relation to practical principles and criteria related to the reduction of administrative burdens	Council			2017
		14.0.1.3	Development of a vision and policy concerning an internationally trusted web-based information portal	Council			2017

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## ANNEX 3

### DRAFT ASSEMBLY RESOLUTION

#### APPLICATION OF THE STRATEGIC PLAN AND THE HIGH-LEVEL ACTION PLAN OF THE ORGANIZATION

THE ASSEMBLY,

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

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

RECALLING FURTHER resolutions A.....(29) and A.....(29), by which it approved, respectively, the Strategic Plan for the Organization for the six-year period 2016 to 2021 and the High-level Action Plan of the Organization and priorities for the 2016-2017 biennium,

RECALLING IN PARTICULAR its adoption of resolution A.1062(28) on *Guidelines on the Application of the Strategic Plan and the High-level Action Plan of the Organization* and its request to the Council to keep those guidelines under review,

REAFFIRMING:

- that the Organization's Strategic Plan contains key strategic directions enabling IMO to achieve its mission objectives; and
- that the High-level Action Plan has been developed to enable the Organization to effectively address those strategic directions by identifying high-level actions that are necessary for the achievement of IMO's objectives and the priorities over a biennium resulting from those identified actions, thereby providing the linkage between the Organization's strategy, the work of the various IMO organs and the biennial budget,

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

HAVING CONSIDERED the recommendations of the Council, at its twenty-eighth extraordinary session, for the adoption of the document on the application of the Strategic Plan and the High-level Action Plan,

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

2 REQUESTS the Council and the committees to review and revise, during the 2016-2017 biennium, the guidelines for the organization and method of their work, taking account of the document on the *Application of the Strategic Plan and the High-level Action Plan of the Organization*, as appropriate;

- 3        REQUESTS the Secretary-General to review and adjust present processes and work methods within the Secretariat in the light of the document on the *Application of the Strategic Plan and the High-level Action Plan of the Organization*; and to develop practical means with the aim of facilitating and supporting the implementation of the guidelines throughout the Organization;
- 4        DIRECTS the Council to keep the annexed document under review;
- 5        REVOKES resolution A.1062(28).

## ANNEX

### **APPLICATION OF THE STRATEGIC PLAN AND THE HIGH-LEVEL ACTION PLAN OF THE ORGANIZATION**

#### **1 INTRODUCTION**

1.1 The Strategic Plan for the Organization, as revised and adopted by the Assembly, sets out:

- .1 the mission statement of IMO;
- .2 the trends, developments and challenges, in the shipping and maritime world, which the Organization faces in fulfilling its mission;
- .3 the broad strategic directions towards which IMO will work in addressing the identified trends, developments and challenges; and
- .4 performance indicators for measuring the Organization's performance against the strategic directions<sup>1</sup>.

The Strategic Plan covers a six-year period and is an expression of the Member States' commitment to ensuring the fulfilment of the Organization's aims and objectives in a uniform manner on a global basis.

1.2 The High-level Action Plan of the Organization, as adopted by the Assembly, sets out:

- .1 the high-level actions necessary to achieve the strategic directions included in the Strategic Plan; and
- .2 the outputs that are planned to be delivered by the Organization over a two-year period, as a result of undertaking the high-level actions.

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

#### **2 DEFINITIONS**

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

- .1 "IMO organs": the Council and committees of the Organization specified in Article 11 of the IMO Convention, including their subsidiary bodies;
- .2 "Output": an item in the High-level Action Plan to be delivered by one or more IMO organs during the current biennium or accepted for a subsequent biennium;
- .3 "Agenda": a list of outputs for discussion at a particular meeting;

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<sup>1</sup> It should be noted that Council at its 113th session decided to suspend future analysis and presentation of PIs and KPIs in the current Strategic Plan (see C 113/D, paragraph 3.5(i)).

- .4 "Biennial agenda": a list of outputs to be delivered by an IMO organ during a biennium; and
- .5 "Post-biennial agenda": a list of outputs accepted by the Council or committees in one biennium that are to be delivered or initiated in the next biennium.

### **3 PURPOSE, AIM AND OBJECTIVES**

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

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

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

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

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

### **4 APPLICATION**

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

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

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



## **5 STRATEGIC PLANNING PROCESSES: HIGH-LEVEL ACTION PLAN**

5.1 The Organization's Strategic Plan includes a number of key strategic directions to enable IMO to achieve its mission objectives. In order for the Organization to effectively address those strategic objectives, the High-level Action Plan has been developed, which identifies the actions required and provides the linkage between the Organization's strategy and the work of the various IMO organs.

5.2 The High-level Action Plan thus identifies the high-level actions necessary to achieve the strategic objectives in the Strategic Plan.

5.3 All IMO organs shall at all times be conscious of the status and purpose of the Strategic Plan and the High-level Action Plan as well as of the strict linkages between the High-level Action Plan and the budget for the corresponding biennium.

### **Developing the High-level Action Plan**

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

5.5 In the process of constructing the High-level Action Plan for the next biennium, the following should be included a) continuous and annual outputs within the current High-level Action Plan, b) incomplete outputs within the current High-level Action Plan. Outputs from the post-biennial agenda should also be included, subject to resource availability. Any other proposals for outputs may be included following their assessment in accordance with this document.

5.6 Decisions on the inclusion of outputs in the High-level Action Plan for the next biennium shall be guided by the strategic directions and high-level actions established in the Strategic Plan and the High-level Action Plan and shall take due account of:

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

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

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

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

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

## **6 MANAGEMENT AND CONTROL**

6.1 Management and control of the planning of, and reporting on, the implementation of the Strategic Plan and the High-level Action Plan are critical elements to measure the Plans' effectiveness and transparency. Consequently, it is important that proper management and control mechanisms are in place to ensure that:

- .1 biennial agendas and agendas are both clearly linked to the Strategic Plan and the High-level Action Plan;
- .2 the objectives of the Strategic Plan and the High-level Action Plan can be met within the resource constraints of the Organization and its membership;
- .3 the Organization's response to changes in the environment within which it operates is consistent with the Strategic Plan and the High-level Action Plan; and
- .4 monitoring and reporting are such that progress on biennial agendas is explicitly linked to progress on the delivery of outputs.

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

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

- .7 documents submitted to committees and sub-committees shall clearly demonstrate the direct relation between the proposals they contain and the output to be delivered under the relevant agenda item, on the basis of the High-level Action Plan.

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

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

## **7 RESPONSIBILITIES**

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

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

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

## **8 OUTPUTS**

### **General**

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

- .1 the specific necessity for an output to be started during the current biennium;<sup>2</sup>
- .2 the potential impact that the inclusion of an output on the biennial agenda may have in the timely delivery of outputs in the relevant High-level Action Plan;
- .3 the potential impact that the inclusion of an output may have on the workload of the IMO organs involved;
- .4 the personnel and budgetary resources available

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<sup>2</sup> The normal action will be for outputs, if accepted, to be placed on the post-biennial agenda, and only in exceptional circumstances will outputs be added to the biennial agenda and current High-level Action Plan.

- .5 the potential adverse impacts on the ability of the Organization to meet its objectives if a decision is made not to accept a proposal for inclusion of an output in the biennial or post-biennial agendas; and
- .6 the potential impact that the inclusion of an output may have on small island developing States (SIDS) and the least developed countries (LDCs).

### **Submission of proposals for outputs**

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

8.3 The committees may receive the results from a Formal Safety Assessment (FSA) study carried out in accordance with the FSA Guidelines. The criteria in paragraphs 8.1.1 through 8.1.5 also apply to the outcomes of the FSA study that may be regarded by the committees as proposals for outputs.

### **Preliminary assessment of proposals for outputs**

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

8.5 The outcome of the preliminary assessment should be submitted to the Council or a 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 outputs, as specified in annex 3;
- .2 whether the proposal complies with the criteria specified in paragraph 8.6;
- .3 whether the demonstrated need of the proposal requires its inclusion on the biennial agenda; and, if so
- .4 whether the agenda of the IMO organ can absorb the work associated with the output.

### **Assessment of proposals for outputs**

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

- .1 Is the subject addressed by the proposal considered to be within the scope of IMO's objectives and the Strategic Plan for the Organization?
- .2 Does the proposal contribute to the high-level actions established in the High-level Action Plan?
- .3 Does the proposal involve the exercising of functions conferred upon a committee by or under any international convention or related instrument?
- .4 Has a need for the output been justified and documented?

- .5 Has an analysis been provided that justifies and documents the practicality, feasibility and proportionality of the proposed output?
- .6 Has the analysis of the issue sufficiently addressed the cost to the maritime industry as well as the relevant legislative and administrative burdens?
- .7 Are the benefits (e.g. enhanced maritime safety, maritime security, protection of the marine environment or facilitation of maritime traffic) that are expected to be derived from the inclusion of the proposed output clearly stated?
- .8 Do adequate industry standards exist or are they being developed?
- .9 Has the proposed output been properly specified in SMART terms (specific, measurable, achievable, realistic, time-bound)?
- .10 Does the completed checklist contained in annex 5 of this document demonstrate that the human element has been sufficiently addressed?
- .11 If inclusion of the output in the current biennium is proposed, is this action properly justified?
- .12 Would a decision to reject the proposal pose an unreasonable risk to the Organization's overall objectives?

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

#### **Decision on acceptance and inclusion of outputs**

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

- .1 the proposal is not within the scope of the current Strategic or High-level Action Plans and should, therefore, not be accepted for inclusion;
- .2 the need has not been sufficiently demonstrated and therefore the output should not be included;
- .3 for outputs for which extensive work is required, such as the revision of conventions or the preparation of codes, invite the chairman of the coordinating subsidiary body, with the support of the Secretariat to prepare a comprehensive and coherent plan of work in order to inform the Council or relevant committee of the full impact of the proposed output before it finalizes its decision on the output;
- .4 the urgency of the proposed action did not justify inclusion within the current biennium, and therefore accept the output for inclusion in the next biennium;
- .5 the implications for the present workload of the Organization are unacceptable within the current biennium, and therefore accept the output for inclusion in the next biennium; or

- .6 the demonstrated need of the output is such that it should be included, together with a target date for completion, in the biennial agenda, being satisfied that the implications for the workload and planning are acceptable.

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

8.9 Upon a decision by the Council or a committee to include an output in its post-biennial agenda, it shall include the output, and the timescale for completion, in its proposals for the High-level Action Plan of the next biennium.

#### **Decision on inclusion in the biennial agenda of subsidiary bodies**

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

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

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

- .1 designate the subsidiary body that is to coordinate the work so as to avoid duplication, maintain consistency in the standards being developed and ensure effective communication between the subsidiary bodies concerned;
- .2 ensure that the coordinating subsidiary body can complete the work by the target completion date;
- .3 ensure that only those subsidiary bodies essential for the completion of the work will be involved, in order to avoid superfluous work and documentation;

- .4 ensure that the work is included in the biennial agendas of all the subsidiary bodies concerned; and
- .5 ensure that the coordinating subsidiary body reports to its parent organ(s) on the status of the work.

8.12 For interrelated outputs contributing to the same overall objective, designate the subsidiary body to overlook the coherence in the work on those outputs.

### **Other principles on outputs**

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

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

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

8.16 Proposals for the inclusion of outputs, submitted by non-governmental organizations, shall be co-sponsored by Governments.

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

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

## **9 FORMAT AND CONTENT OF REPORTS**

9.1 Reports on the status of outputs included in the High-level Action Plan shall follow format 1 set out in annex 2, and shall constitute or be annexed to the reports of each session of the sub-committees<sup>3</sup> and the committees and the biennial report of the Council to the Assembly. Such reports shall identify new outputs accepted for inclusion in the biennial agendas.

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

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

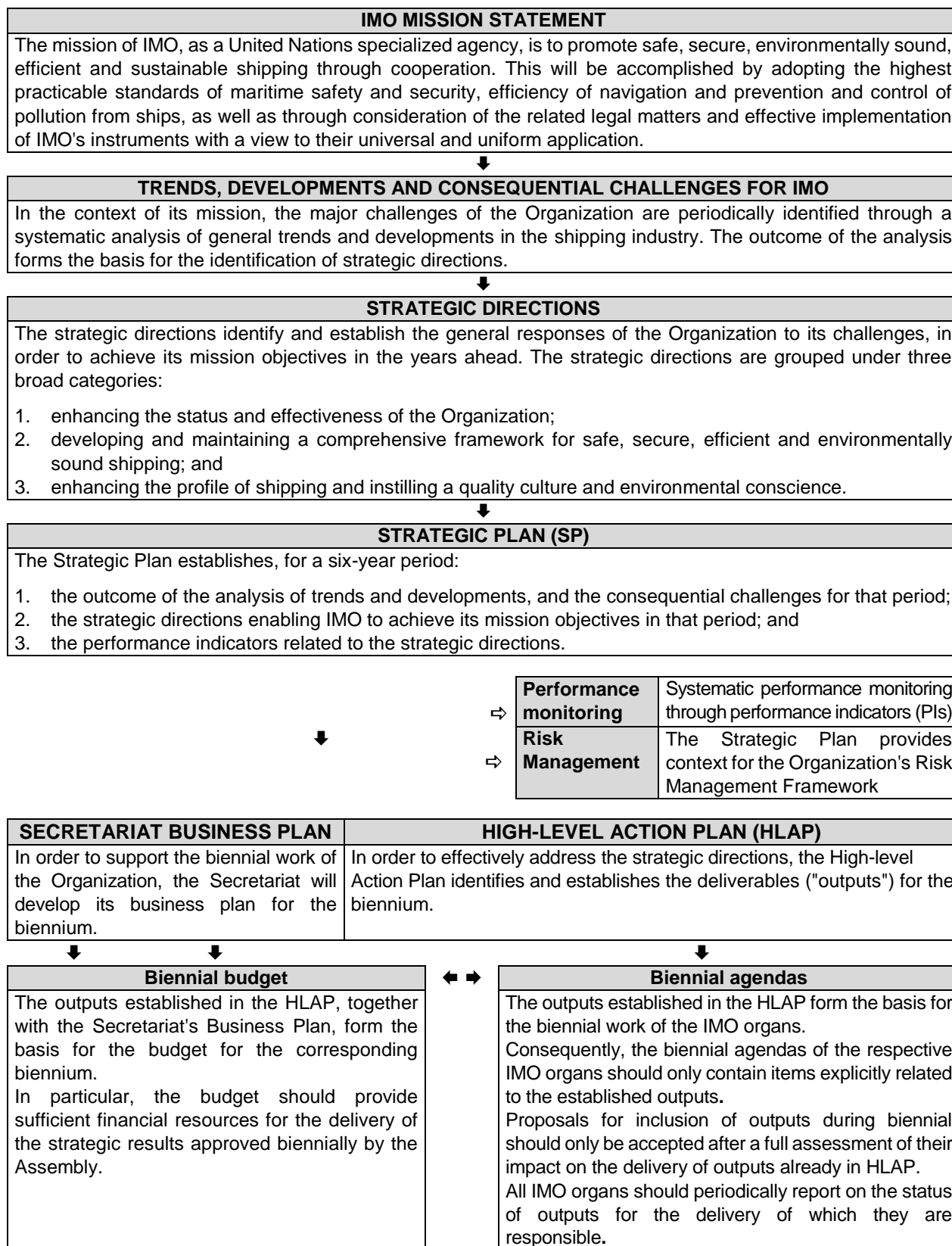
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<sup>3</sup> Should an associated organ not have been requested to consider an output during a session in the biennium, that organ is not required to include the specific output in its biennial agenda for that session.

ANNEX 1

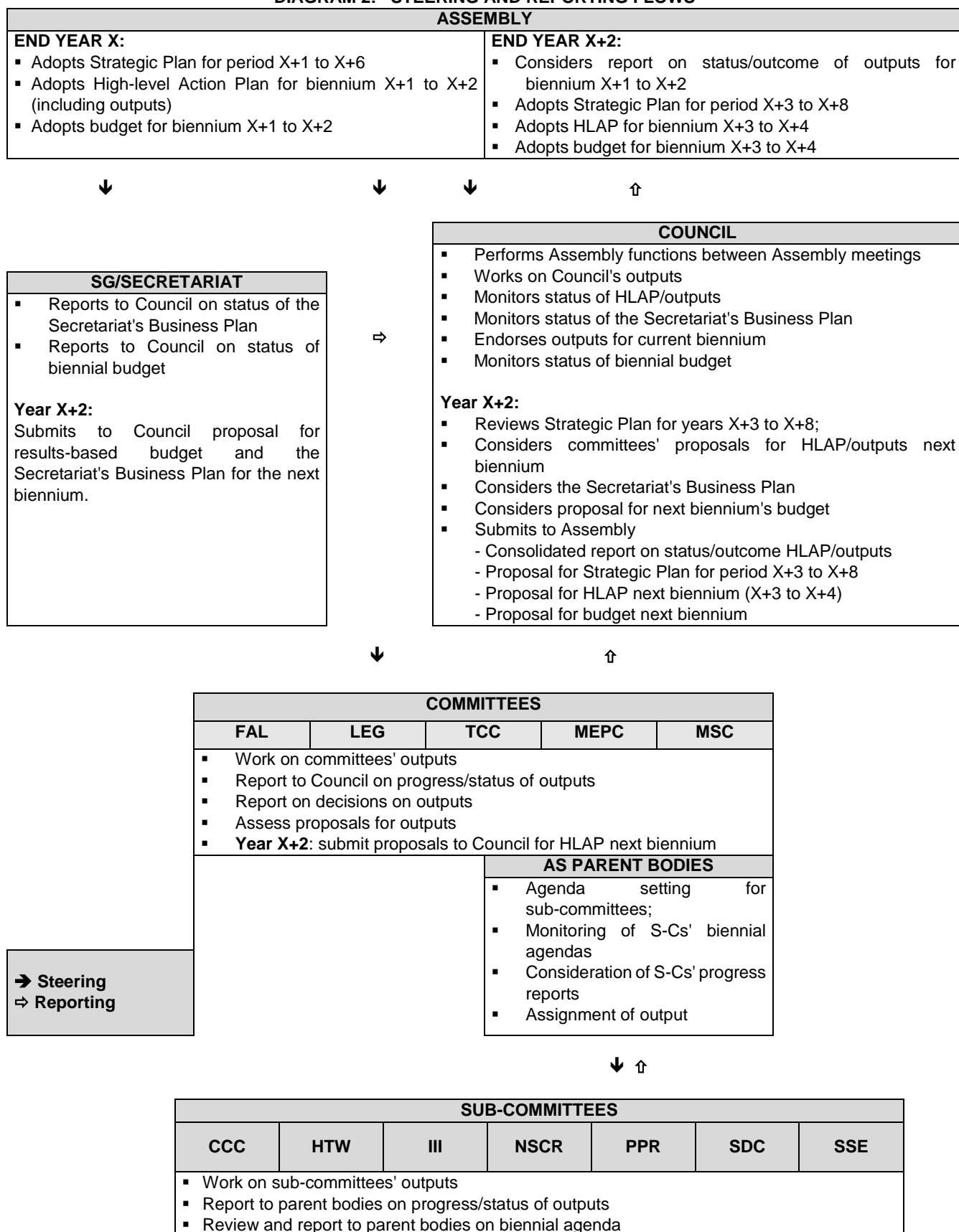
**STRATEGIC PLANNING OUTLINE (DIAGRAMS)**

**DIAGRAM 1: OVERVIEW**





**DIAGRAM 2:- STEERING AND REPORTING FLOWS**



ANNEX 2

**FORMAT 1: BIENNIAL STATUS REPORT**

[Name of organ]								
Output number <sup>a</sup>	Description	Target completion year <sup>b</sup>	Parent organ(s)	Associated organ(s)	Coordinating organ	Status of output for Year 1 <sup>c</sup>	Status of output for Year 2 <sup>c</sup>	References <sup>d</sup>
<b>Notes:</b>								
<b>Notes:</b>								

**Notes:**

- a When individual outputs contain multiple deliverables, the format should report on each individual deliverable.
- b The target completion year should be specified as a year, or indicate that the item is annual or continuous. This should not indicate a number of sessions.
- c The entries under the "Status of output" columns are to be classified as follows:
  - "completed" signifies that the output for the year in question has been duly finalized;
  - "in progress" signifies that work on the outputs has been progressed, and finalization is expected in the target completion year;
  - "ongoing" signifies that the outputs relate to work of the respective IMO organs that is a permanent or continuous task; and
  - "postponed" signifies that the respective IMO organ has decided to defer the production of relevant outputs to another time (for example, until the receipt of corresponding submissions) and accordingly the output has been introduced on the post-biennial agenda;
  - "extended" signifies that further work is necessary and the output will not be finalized as planned; and
  - due to the nature of annual outputs, the status can either be "completed" or "postponed".
- d References should be made to the relevant part of the organs report on this item.

**FORMAT 2: POST-BIENNIAL AGENDAS OF COMMITTEES**

[NAME OF COMMITTEE]								
ACCEPTED POST-BIENNIAL OUTPUTS				Parent organ(s)	Associated organ(s)	Coordinating organ(s)	Timescale	Reference
Number	Biennium <sup>e</sup>	Reference to High-level Actions	Description					

**Notes:**

<sup>e</sup> Biennium when the output was placed on the post-biennial agenda

### ANNEX 3

#### INFORMATION REQUIRED IN SUBMISSIONS OF PROPOSALS FOR INCLUSION OF AN OUTPUT

(Reference: paragraph 8.2)

- 1 **IMO's objectives:** Provide evidence whether and how the proposal:
  - .1 is within the scope of IMO's objective; and
  - .2 is strictly related to the scope of the Strategic Plan and contributes to the implementation of the high-level actions established in the Strategic Plan.
- 2 **Need:** Demonstrate and document:
  - .1 the need for the proposed output in terms of the risks or hazards which are considered necessary to be addressed<sup>4</sup>; and
  - .2 the evidence to support the perceived need.
- 3 **Analysis of the issue:** Provide an analysis of the proposed measure, including an assessment of its practicability, feasibility and proportionality.
- 4 **Analysis of implications:** Provide an analysis of the implications of the proposal, addressing the cost to the maritime industry as well as the relevant legislative and administrative burdens (including the proposed method(s) of fulfilling any resulting administrative requirement).
- 5 **Benefits:** Provide evidence that the benefits vis-à-vis enhanced maritime safety, maritime security or protection of the marine environment expected to be derived from the inclusion of the new item justify the proposed action.
- .6 **Industry standards:** Provide information on whether adequate industry standards exist or are being developed and the intended relationship between such standards and the proposed output.
- 7 **Output:** Specify the intended output in SMART terms (specific, measurable, achievable, realistic, time-bound) including the scope of application.
- 8 **Human element:** Provide the completed checklist contained in MSC-MEPC.7/Circ.1 to demonstrate that the human element has been sufficiently addressed.
- 9 **Urgency:** Provide, with reference to the current Strategic Plan and High-level Action Plan, evidence on:
  - .1 the urgency of the proposed output including any proposal to include the proposed output on the biennial agenda; and
  - .2 the date that the proposed output should be completed.
- 10 **Action required:** Specify the action required by the IMO organ.

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<sup>4</sup> If the proposed output included the development of a new Convention or the amendment of an existing Convention then the principles contained within A.500(XII) and A.998(25) of the demonstration of a "compelling need" should be respected.

ANNEX 4

**CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS**

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

**Instructions:**

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

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

ANNEX 5

**CHECKLIST FOR CONSIDERING HUMAN ELEMENT ISSUES BY IMO BODIES<sup>5</sup>**

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

<sup>5</sup> Checklist from MSC-MEPC.7/Circ.1.

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

## ANNEX 6

### **GUIDELINES FOR CONSIDERING AND REVIEWING THE OUTCOMES OF FSA STUDIES**

#### **Purpose**

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

#### **Background**

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

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

#### **Guidance for Committees**

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

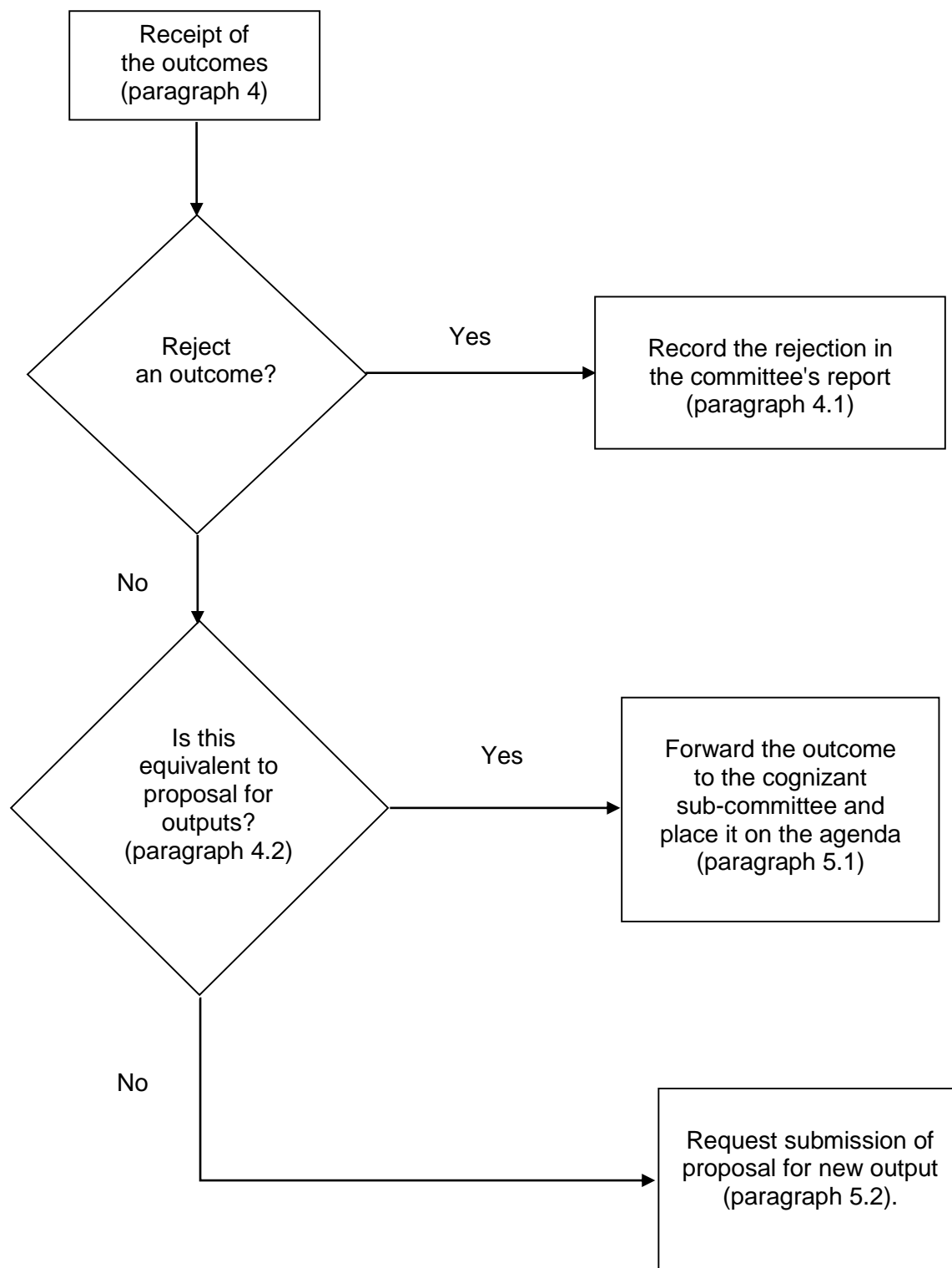
- .1 reject an outcome without any further action; or
- .2 review the information submitted with an outcome in order to determine equivalence to the requirements for submitting proposals for outputs.

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

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

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





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