

Resolution A.1062(28)

Adopted on 29 November 2013 (Agenda item 8)

GUIDELINES ON THE APPLICATION OF THE STRATEGIC PLAN AND
THE HIGH-LEVEL ACTION PLAN OF THE ORGANIZATION

ASSEMBLY
28th session
Agenda item 8

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**GUIDELINES ON THE 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.1060(28) and A.1061(28), by which it approved, respectively, the Strategic Plan for the Organization for the six-year period 2014 to 2019 and the High-level Action Plan of the Organization and priorities for the 2014-2015 biennium,

RECALLING IN PARTICULAR its adoption of resolution A.1013(26) 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-seventh extraordinary session, for the adoption of revised guidelines on the application of the Strategic Plan and the High-level Action Plan,

1 APPROVES the *Guidelines 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 2014-2015 biennium, the guidelines for the organization and method of their work, taking account of the *Guidelines 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 *Guidelines 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 Guidelines under review;

5 REVOKES resolution A.1013(26).

Annex

**GUIDELINES ON THE 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.

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, and to setting clear priorities for the purpose of achieving them.

1.2 The High-level Action Plan of the Organization, as revised and 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 priority 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 the Guidelines, the following definitions will apply:

- .1 "IMO organs": the organs of the Organization as defined in Article 11 of the IMO Convention;
- .2 "Planned output": a product planned in the High-level Action Plan to be delivered by the Organization during a biennium;
- .3 "Unplanned output": a product that may be agreed by IMO organs to be delivered during a biennium after the adoption of that biennium's High-level Action Plan;

- .4 "Agenda": a list of planned outputs for discussion at a particular meeting;
- .5 "Biennial agenda": a list of planned outputs to be delivered during a biennium by an individual IMO organ; and
- .6 "Post-biennial agenda": a list of accepted outputs to be delivered or initiated beyond a current biennium.

3 PURPOSE, AIM AND OBJECTIVES

3.1 The purpose of the Guidelines 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 Guidelines are 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 planned outputs 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 greater understanding and assimilation of the interconnections between the Strategic Plan and High-level Action Plan and planned outputs;
- .5 to promote discipline in adherence to the planning procedures and guidelines;
- .6 to promote objectivity, clarity and realistic time frames in the establishment of biennial agendas by the IMO organs and their subsidiary bodies;
- .7 to ensure maximum possible participation by all Member States and by organizations with observer status in all of the Organization's work; and
- .8 to establish responsibilities and promote involvement in the planning and reporting processes.

3.4 Nothing in these Guidelines should 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.¹

¹ Refer to the IMO Risk Management Framework (C 110/3/5, annex 1).

4 APPLICATION

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

4.2 The Guidelines will be kept under review by the Council and will be updated as necessary in the light of experience gained in their 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 these Guidelines.

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, as well as the priorities for a biennium in response to those identified actions.

5.3 All IMO organs should 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.

5.4 The Council and the committees should identify, in a timely manner, the products to be included as planned outputs in the High-level Action Plan for the coming 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, due account should be taken, inter alia, of: (a) planned outputs the delivery of which has been postponed from a prior biennium; (b) final outputs that may need to be produced following the delivery of related interim outputs in a prior biennium; (c) any specific requirement to review the effectiveness of planned outputs delivered in a prior biennium; (d) accepted outputs on the post-biennial agendas; and (e) new planned outputs.

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

- .1 the anticipated workload of the IMO organs delivering the output;
- .2 the demonstrated urgency 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.²

² Refer to the IMO Risk Management Framework (C 110/3/5, annex 1).

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

5.8 Such planned outputs may be revised during the biennium by the 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 the Guidelines.

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 competing demands of the Strategic Plan and the High-level Action Plan can be prioritized 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 production of planned outputs.

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

- .1 the planned outputs included in the High-level Action Plan should explicitly form the basis of the biennial work of all the IMO organs and the budget of the Organization;
- .2 the planned outputs contained in the agendas and biennial agendas of all IMO organs should all be included in the High-level Action Plan;
- .3 the biennial agendas of all IMO organs should follow format 1 set out in annex 2;
- .4 for outputs with a target completion date beyond the current biennium, the High-level Action Plan should specify the planned interim output at the end of the biennium;

- .5 target completion dates in the biennial agenda format in annex 2 (format 1) should specify the year of planned completion within the current biennium, or be specified as "annual" for tasks that are to be completed on an annual basis;
- .6 continuous items are discouraged but in those cases where they are deemed inevitable, efforts should be made to specify their expected interim outputs at the end of the current biennium; and
- .7 documents submitted to committees and sub-committees should clearly demonstrate the direct relation between the proposals they contain and the planned output to be accomplished 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 emerging trends, developments and challenges within the Organization's mandate, any decision to include unplanned outputs in the current High-level Action Plan, in accordance with section 8, should be endorsed by the Council.

7 RESPONSIBILITIES

7.1 Member States and the Secretariat should 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 these Guidelines 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 face-to-face meetings and teleconferences as deemed necessary.

8 UNPLANNED OUTPUTS³

General

8.1 During the course of a biennium, the IMO organs may receive proposals for unplanned outputs within their domain. All IMO organs, in deciding on inclusion of unplanned outputs, should at all times be guided by the strategic directions and high-level actions established in the Strategic Plan and the High-level Action Plan of the Organization, and should in particular take due account of:

- .1 the potential impact that inclusion of an unplanned output may have on the timely delivery of outputs planned in the current High-level Action Plan;
- .2 the potential impact that inclusion of an unplanned output may have on the workload of the IMO organs involved;
- .3 the personnel and budgetary resources available; and

³ This section is summarized in diagrammatic form in annex 1.

- .4 the potential adverse impact a decision on whether or not to accept a proposal for inclusion of an unplanned output may have on the ability of the Organization to meet its objectives.⁴

Submission of proposals for unplanned outputs

8.2 To enable IMO organs to carry out a proper assessment of proposals for inclusion of unplanned outputs, submissions containing such proposals should, as a minimum, contain the information – including demonstration and documentation – specified in the table in annex 3.

Preliminary assessment of proposals for unplanned outputs

8.3 In order to facilitate consideration of proposals for inclusion of an unplanned output by an IMO organ, its 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.

8.4 The outcome of the preliminary assessment should be submitted to the IMO organ 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 unplanned outputs, as specified in paragraph 8.2 and in annex 3;
- .2 whether the proposal complies with the criteria specified in paragraph 8.5;
- .3 whether the demonstrated urgency of the proposal requires its inclusion in the biennial agenda; and, if so,
- .4 the extent to which the general criteria specified in paragraph 8.1 should be taken into account.

Assessment of proposals for unplanned outputs

8.5 Before deciding to include an unplanned output in its biennial agendas, the IMO organ concerned should carry out a comprehensive and thorough assessment of such proposals. The assessment should at least include a test 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 exercise of functions conferred upon a committee by or under any international convention or related instrument?
- .4 Has a need – or, in the case of proposals calling for new conventions or amendments to existing conventions, a compelling need – for the measure been demonstrated and documented?

⁴ Refer to the IMO Risk Management Framework (C 110/3/5, annex 1).

- .5 Has an analysis been provided that demonstrates and documents the practicability, feasibility and proportionality of the proposed measure?
- .6 Has the analysis of the issue sufficiently addressed the cost to the maritime industry as well as the relevant legislative and administrative burdens?⁵
- .7 Do the benefits in terms of enhanced maritime safety, maritime security or protection of the marine environment expected to be derived from the inclusion of the proposed unplanned output justify such action?
- .8 Do adequate industry standards exist or are they being developed, thereby reducing the need for action by IMO?
- .9 Has the intended output been properly specified in SMART terms (specific, measurable, achievable, realistic, time-bound)?
- .10 Does the proposal properly demonstrate the urgency of the action proposed, and does it plausibly demonstrate why the unplanned output should be included in the biennial agenda?
- .11 Would a decision not to accept the proposal pose an unreasonable risk to the Organization's overall objectives?⁶

Decision on acceptance and inclusion of unplanned outputs

8.6 Based on its assessment in accordance with paragraph 8.5, having taken due account of the chairman's appraisal of the proposal, the IMO organ may decide:

- .1 to include the proposed unplanned output, together with a target date for completion, in its biennial agenda, if and after it has been satisfied that the implications for the present workload and planning may be considered acceptable; or
- .2 to include the proposed unplanned output, together with the timescale for completion, in its post-biennial agenda, if the implications for the present workload and planning are considered to be unacceptable; or
- .3 on concluding that the proposal is not within the scope of the current Strategic Plan and should, therefore, not be accepted for inclusion, to invite the proponent(s) to submit the proposal to the Council, together with a substantiated proposal for adjustment of the Strategic Plan.

8.7 Upon a decision by an IMO organ to include a proposed unplanned output in its post-biennial agenda, the IMO organ should include the output and the timescale for completion in its proposals for the High-level Action Plan of the next biennium.

⁵ Refer to the checklist in annex 4, which should be completed by all proponents of unplanned outputs and attached to their proposals for consideration by the Council and committees. The Council and committees may also use the checklist in annex 4, before adopting new, or amending existing, mandatory instruments, in order to satisfy themselves that administrative requirements have been minimized to the greatest extent possible.

⁶ Refer to the IMO Risk Management Framework (C 110/3/5, annex 1).

Decision on inclusion in the biennial agenda of subsidiary bodies

8.8 Upon consideration of a proposal for an unplanned output to be included in the biennial agenda of a subsidiary body, an IMO organ may decide:

- .1 to agree in principle with the proposal and its inclusion in the biennial agenda, and to leave the detailed consideration of the technical aspects of the proposal and the development of appropriate requirements and/or recommendations to the subsidiary body or bodies concerned; or
- .2 to agree in principle with the proposal, but request the subsidiary body or bodies concerned to consider the proportionality and feasibility of the proposal on a preliminary basis, and to advise the parent organ as to whether, in its opinion, the unplanned output should or should not be included in the subsidiary body's biennial agenda; or
- .3 to agree in principle with the proposal, but request the subsidiary body or bodies concerned to prepare a comprehensive plan of work in accordance with paragraph 8.11, and to advise the parent organ on the efficient organization of the work to be undertaken.

8.9 A decision by an IMO organ to include an unplanned output in the biennial agenda of a subsidiary body should include clear and detailed instructions on the work to be undertaken by, and the final output expected from, the subsidiary body or bodies concerned, preferably by establishing the terms of reference under which such work should be undertaken. Such instructions or terms of reference should also specify the output expected at the end of the current biennium.

8.10 A decision by an IMO organ to include an unplanned output in the work of more than one subsidiary body should:

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

8.11 For unplanned outputs involving more than one subsidiary body and for which extensive work is required, such as the revision of conventions or the preparation of codes, the chairman of the coordinating subsidiary body, in consultation with the chairmen of the other subsidiary bodies involved, and with the support of the Secretariat, may be invited to prepare a comprehensive and coherent plan of work in order to advise the parent body on the efficient organization of the work to be undertaken.

Other principles on unplanned outputs

8.12 The committees and the Secretariat should report on their decisions on proposals for inclusion of unplanned outputs in their regular reports to the Council, for its endorsement and in order to facilitate the Council's monitoring of delivery of the current biennial agendas and the planning of future work.

8.13 Proposals for the inclusion of unplanned outputs should never be submitted to a sub-committee. A sub-committee should not undertake work on unplanned outputs or expand planned outputs unless directed or authorized to do so by its parent body.

8.14 Proposals for the inclusion of unplanned outputs, submitted by non-governmental organizations, should be co-sponsored by Governments.

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

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

8.17 Following the decision by an IMO organ to include an unplanned output in its biennial agenda, the relevant IMO organ must, in keeping with the provisions of resolution A.998(25), initiate the assessment of capacity building and technical assistance pertaining to that item, by following the corresponding prescribed procedure.

9 FORMAT AND CONTENT OF REPORTS

9.1 Reports on the status of planned outputs included in the High-level Action Plan should follow the format set out in annex 2, format 1, and should constitute or be annexed to the reports of each session of the sub-committees⁷ and the committees and the biennial report of the Council to the Assembly. Such reports should separately identify unplanned outputs accepted for inclusion in the biennial agendas.

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

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

⁷ Should an associated organ not have been requested to consider a planned 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 PROCESSES (DIAGRAMS)

DIAGRAM 1: IMO STRATEGIC PLANNING PROCESS – OVERVIEW

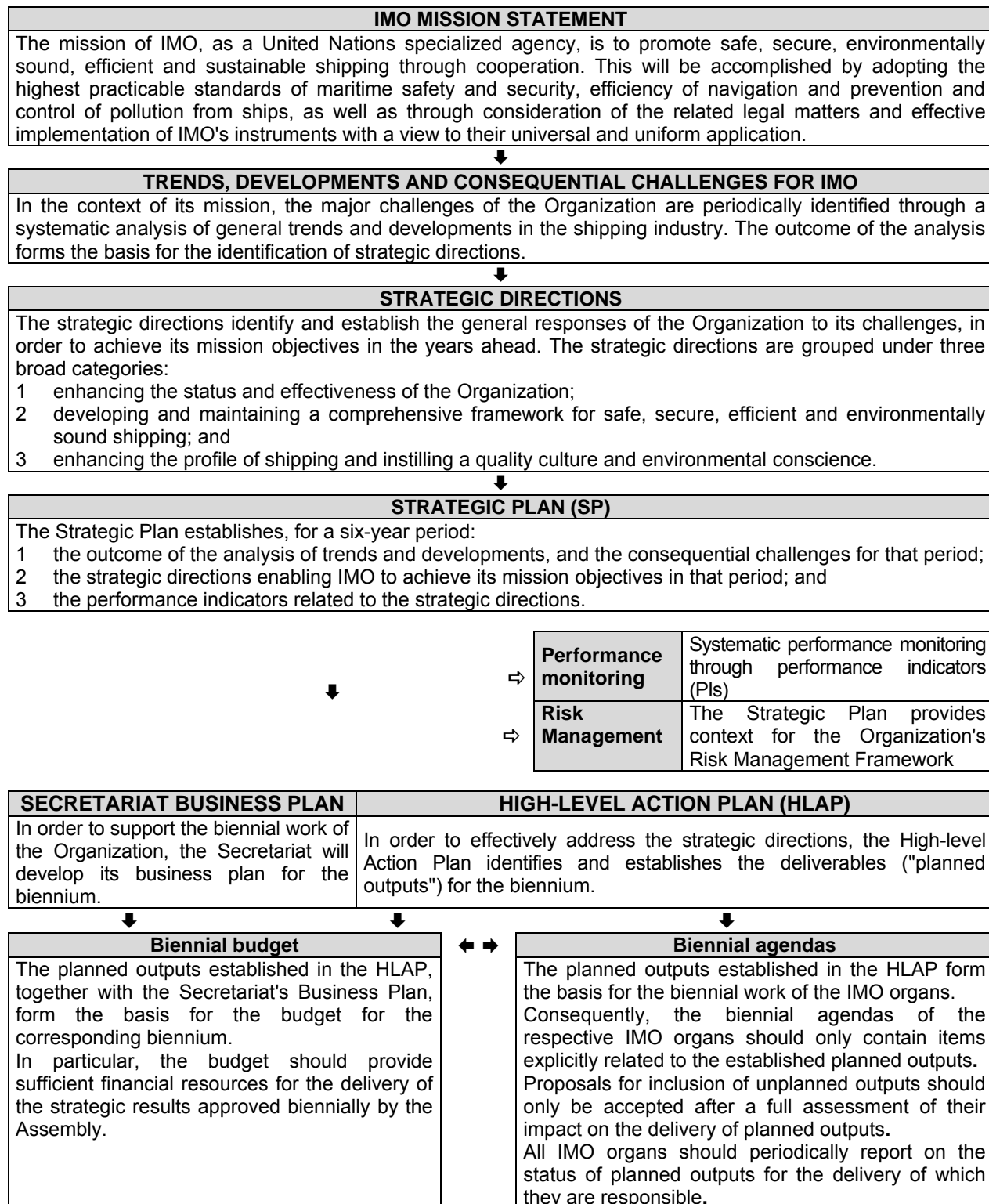


DIAGRAM 2: IMO'S STRATEGIC PLANNING PROCESS – STEERING AND REPORTING FLOWS

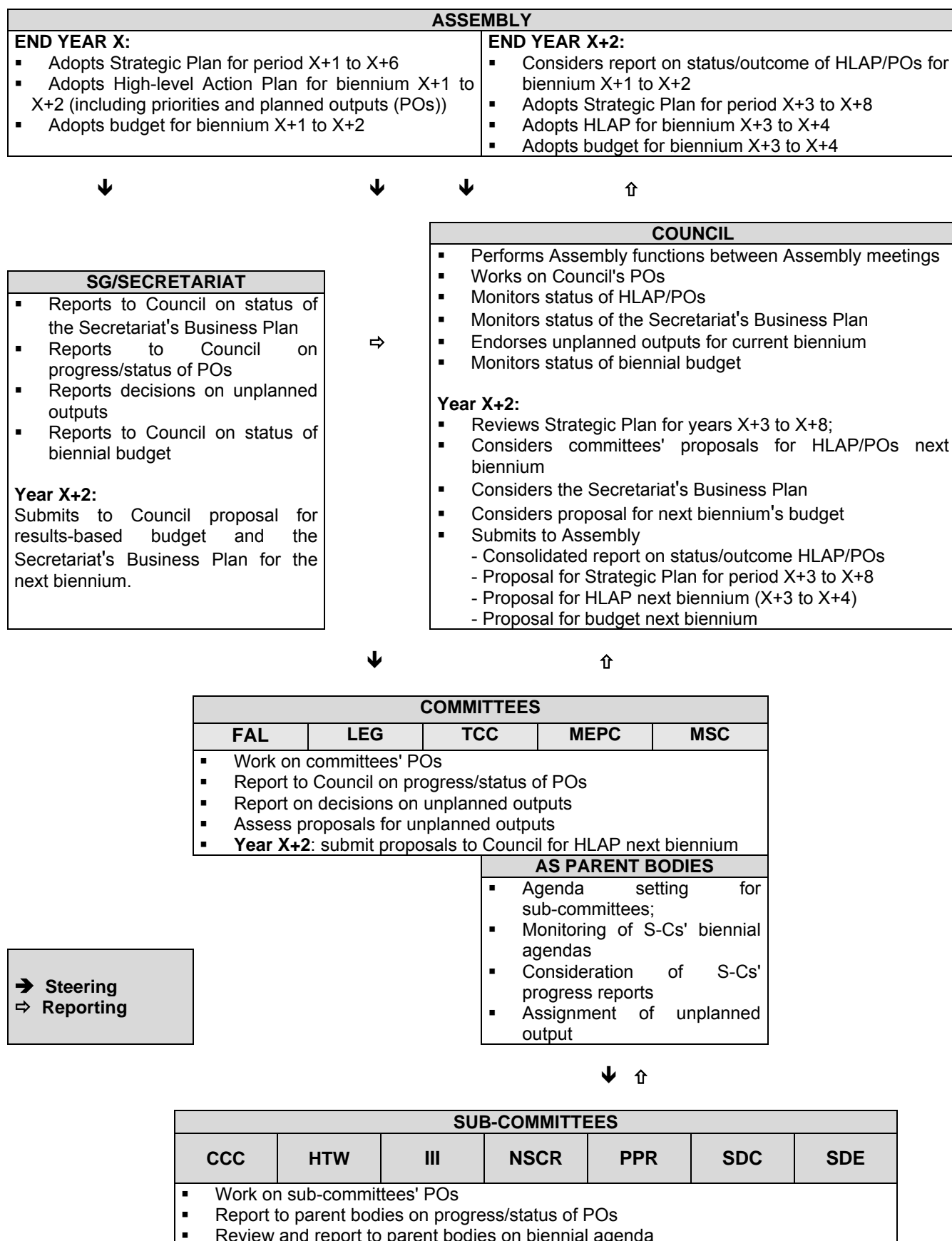
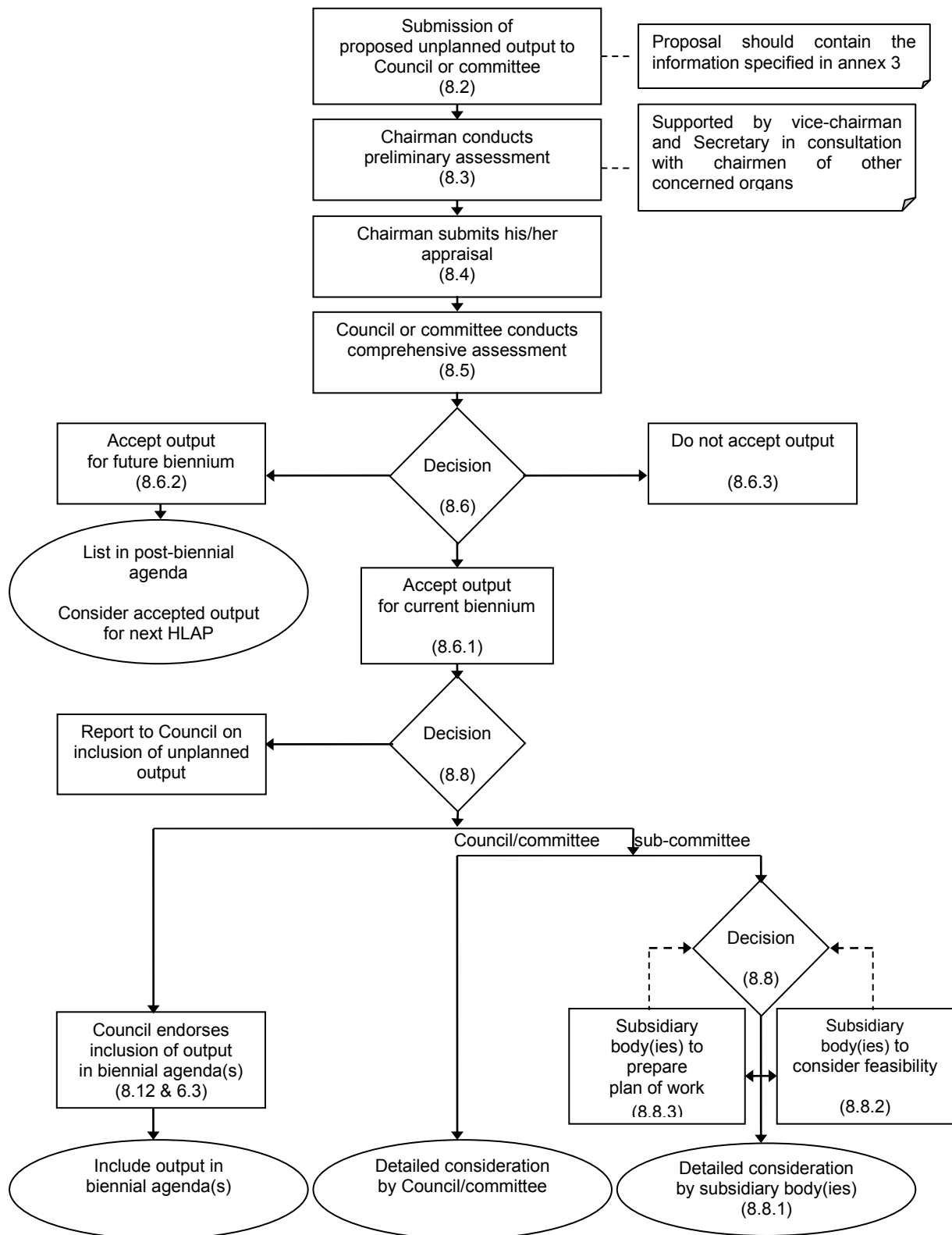


DIAGRAM 3: MANAGEMENT OF UNPLANNED OUTPUTS



Annex 2

FORMAT 1: BIENNIAL STATUS REPORT

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

Notes:

- a When individual outputs contain multiple deliverables, the format should report on each individual deliverable.
- b The target completion year should be specified as a year, or indicate that the item is annual or continuous. This should not indicate a number of sessions.
- c The entries under the "Status of output" columns are to be classified as follows:
 - "completed" signifies that the outputs in question have been duly finalized;
 - "in progress" signifies that work on the related outputs has been progressed, often with interim outputs (for example, draft amendments or guidelines) which are expected to be approved later in the same biennium;
 - "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).
- d If the output consists of the adoption/approval of an instrument (e.g. resolution, circular, etc.), that instrument should be clearly referenced in this column.

FORMAT 2: POST-BIENNIAL AGENDAS OF COMMITTEES

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

Notes:

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

Annex 3

**Information required in submissions of proposals
for inclusion of an unplanned output**

(Reference: Guidelines, paragraph 8.2)

1	IMO's objectives	Provide evidence whether and how the proposal: <ul style="list-style-type: none">• is within the scope of IMO's objectives• 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	(Compelling) need	Demonstrate and document: <ul style="list-style-type: none">• the need for a proposed measure• the compelling need addressed by a proposal for a new convention or an amendment to an existing convention
3	Analysis of the issue	Provide an analysis of the proposed measure, including a plausible demonstration 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 ⁸
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
7	Output	Specify the intended output in SMART terms (specific, measurable, achievable, realistic, time-bound) ⁹
8	Priority/urgency	Provide, with reference to the current Strategic Plan and High-level Action Plan, evidence on: <ul style="list-style-type: none">• the urgency of the proposed unplanned output• the date by which the proposed unplanned output should be completed• timescale needed for the IMO organ to complete the work
9	Action required	Specify the action required by the IMO organ

⁸ Refer to the checklist in annex 4, which should be completed by all proponents of unplanned outputs and attached to their proposals for consideration by the Council and committees. The Council and committees may also use the checklist in annex 4, before adopting new, or amending existing, mandatory instruments, in order to satisfy themselves that administrative requirements have been minimized to the greatest extent possible.

⁹ If a final output cannot be specified in the submission for a proposal for inclusion of an unplanned output, an interim output to be produced before the end of the current biennium should be specified in SMART terms.

Annex 4

CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS AND BURDENS

The Checklist for Identifying Administrative Requirements and Burdens should be used when preparing the analysis of implications required in submissions of proposals for inclusion of unplanned outputs. For the purpose of this analysis, the terms "administrative requirements" and "burdens" are as 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, and administrative burdens are those administrative requirements that are or have become unnecessary, disproportionate or even obsolete.

Instructions:

- (A) If the answer to any of the questions below is **YES**, the Member State proposing an unplanned output should provide supporting details on whether the burdens 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 unplanned output does not contain such an activity, answer **NR** (Not required).

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: (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: (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: (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: (if the answer is yes)		
5 Other identified burdens?	NR	Yes <input type="checkbox"/> Start-up <input type="checkbox"/> Ongoing
Description: (if the answer is yes)		

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