

Resolution A.1099(29)  
Adopted on 25 November 2015 (Agenda item 8)  
APPLICATION OF THE STRATEGIC PLAN AND  
THE HIGH-LEVEL ACTION PLAN OF THE ORGANIZATION

ASSEMBLY  
29th session  
Agenda item 8

A 29/Res.1099  
1 December 2015  
Original: ENGLISH

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**APPLICATION OF THE STRATEGIC PLAN AND  
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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.1097(29) and A.1098(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 *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 *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 *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 the 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 purposes.

### **4 APPLICATION**

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

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

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

## **5 STRATEGIC PLANNING 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 for measuring 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;
- .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).

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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.



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

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

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

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

8.4 In order to facilitate consideration of proposals for outputs by the Council or a committee, the relevant 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 exercise 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?<sup>3</sup>
- .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 not, therefore, be accepted for inclusion;
- .2 the need has not been sufficiently demonstrated and therefore the output should not be included;
- .3 for outputs for which extensive work is required, such as the revision of conventions or the preparation of codes, the chairman of the coordinating subsidiary body should be invited, with the support of the Secretariat, to prepare a comprehensive and coherent plan of work in order to inform the Council or relevant committee of the full impact of the proposed output before it finalizes its decision on the output;
- .4 the urgency of the proposed action did not justify inclusion within the current biennium, and therefore accept the output for inclusion in the next biennium;
- .5 the implications for the present workload of the Organization are unacceptable within the current biennium, and therefore accept the output for inclusion in the next biennium; or

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<sup>3</sup> Refer to the checklist in annex 4, which should be completed by all proponents of outputs and attached to their proposals for consideration by the Council and committees. The Council and committees may also use the checklist in annex 4 before adopting new, or amending existing, mandatory instruments, in order to satisfy themselves that administrative requirements have been minimized to the greatest extent possible.

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

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

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

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

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

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

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

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

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

### **Other principles on outputs**

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

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

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

9.1 Reports on the status of outputs included in the 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>4</sup> and committees and the biennial report of the Council to the Assembly. Such reports shall identify new outputs accepted for inclusion in the biennial agendas.

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

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

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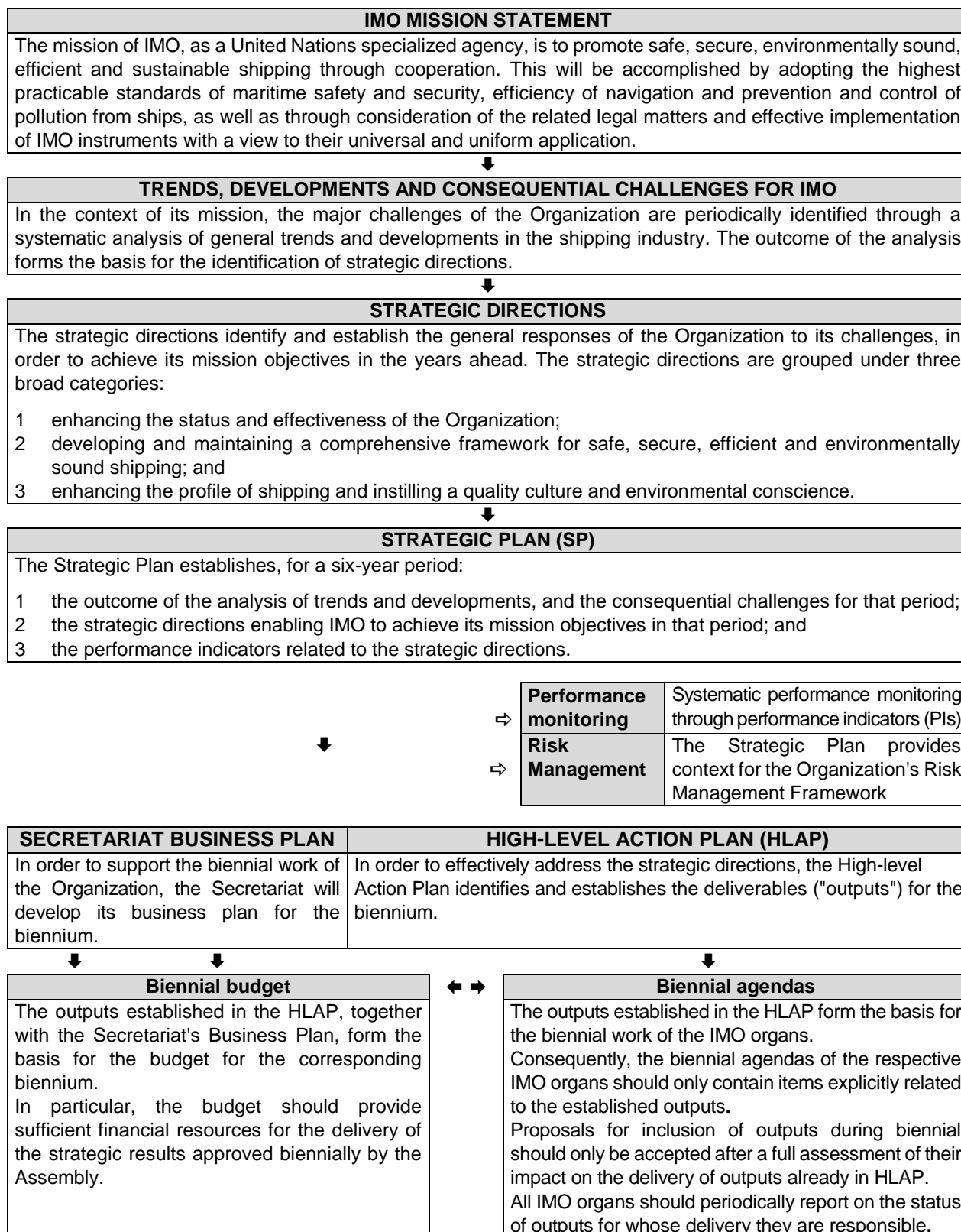
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<sup>4</sup> Should an associated organ not have been requested to consider an output during a session in the biennium, that organ is not required to include the specific output in its biennial agenda for that session.

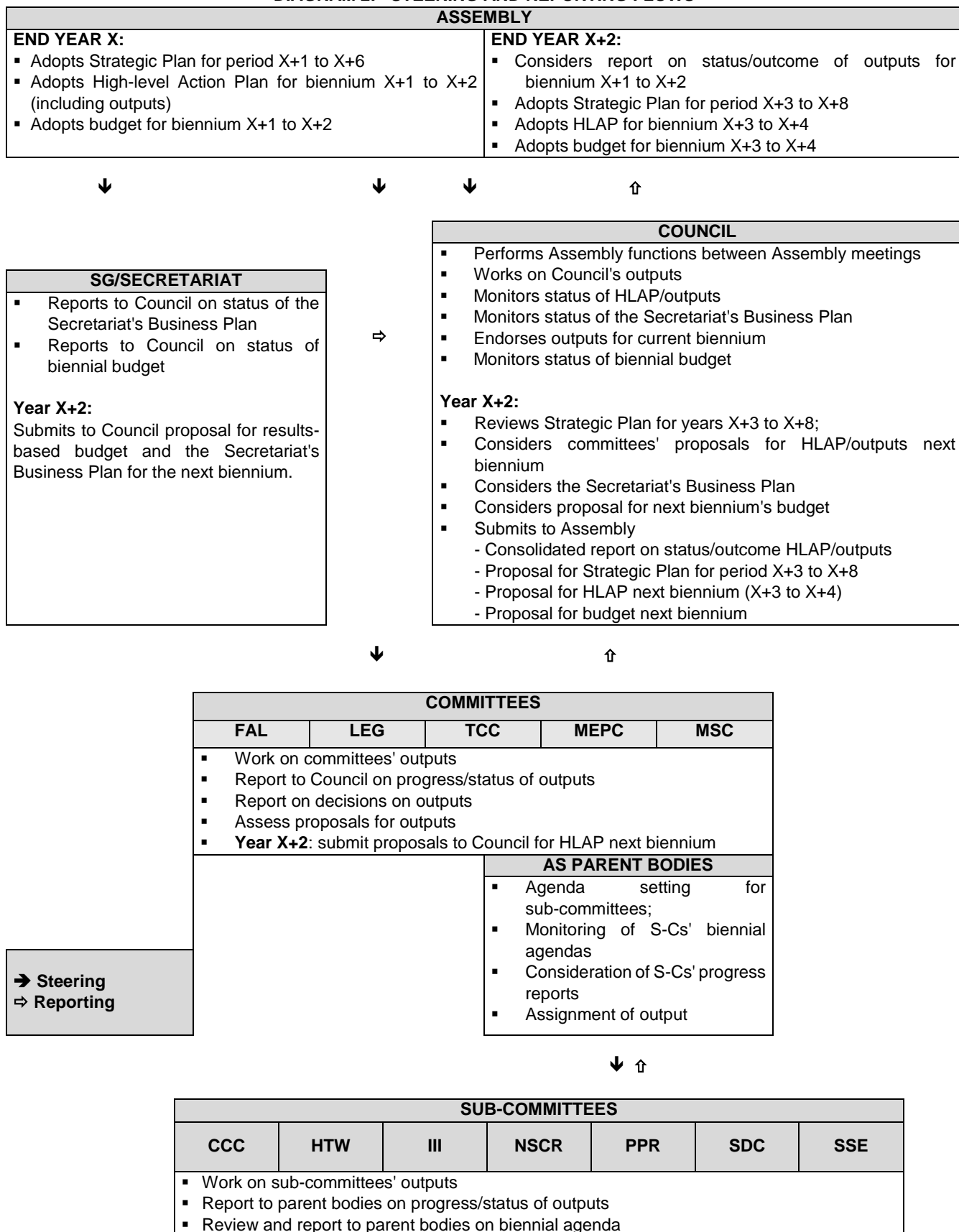
Annex 1

**STRATEGIC PLANNING OUTLINE (DIAGRAMS)**

**DIAGRAM 1: OVERVIEW**



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



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

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

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

**Notes:**

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

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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>5</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 of:
  - .1 the urgency of the proposed output including any proposal to include the proposed output on the biennial agenda; and
  - .2 the date that the proposed output should be completed.
- 10 **Action required:** Specify the action required by the IMO organ.

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<sup>5</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) on the demonstration of a "compelling need" should be respected.

Annex 4

**CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS**

<p>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.</p> <p><b>Instructions:</b></p> <p>(A) If the answer to any of the questions below is <b>YES</b>, the Member State proposing an output should provide supporting details on whether the requirements are likely to involve start-up and/or ongoing costs. The Member State should also give a brief description of the requirement and, if possible, provide recommendations for further work (e.g. would it be possible to combine the activity with an existing requirement).</p> <p>(B) If the proposal for the output does not contain such an activity, answer <b>NR</b> (Not required)</p> <p>(C) For any administrative requirement, full consideration should be given to electronic means of fulfilling the requirement in order to alleviate administrative burdens</p>		
<p><b>1</b> Notification and reporting?                  Reporting certain events before or after the event has taken place, e.g. notification of voyage, statistical reporting for IMO Members, etc.</p>	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)		
<p><b>2</b> Record keeping?                  Keeping statutory documents up to date, e.g. records of accidents, records of cargo, records of inspections, records of education, etc.</p>	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)		
<p><b>3</b> Publication and documentation?                  Producing documents for third parties, e.g. warning signs, registration displays, publication of results of testing, etc.</p>	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)		
<p><b>4</b> Permits or applications?                  Applying for and maintaining permission to operate, e.g. certificates, classification society costs, etc.</p>	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)		
<p><b>5</b> Other identified requirements?</p>	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)		

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Annex 5

**CHECKLIST FOR CONSIDERING HUMAN ELEMENT ISSUES BY IMO BODIES<sup>6</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 give proper justification as to why human element issues were not considered.	
(C) <b>NA</b> (Not Applicable) – the preparing body should give 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 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
<input type="checkbox"/> <b>OCCUPATIONAL HEALTH AND SAFETY.</b> 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

<sup>6</sup> Checklist from MSC-MEPC.7/Circ.1.

<input type="checkbox"/> <b>WORKING ENVIRONMENT.</b> 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"/> <b>HUMAN SURVIVABILITY.</b> 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"/> <b>HUMAN FACTORS ENGINEERING.</b> 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>	

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## 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**

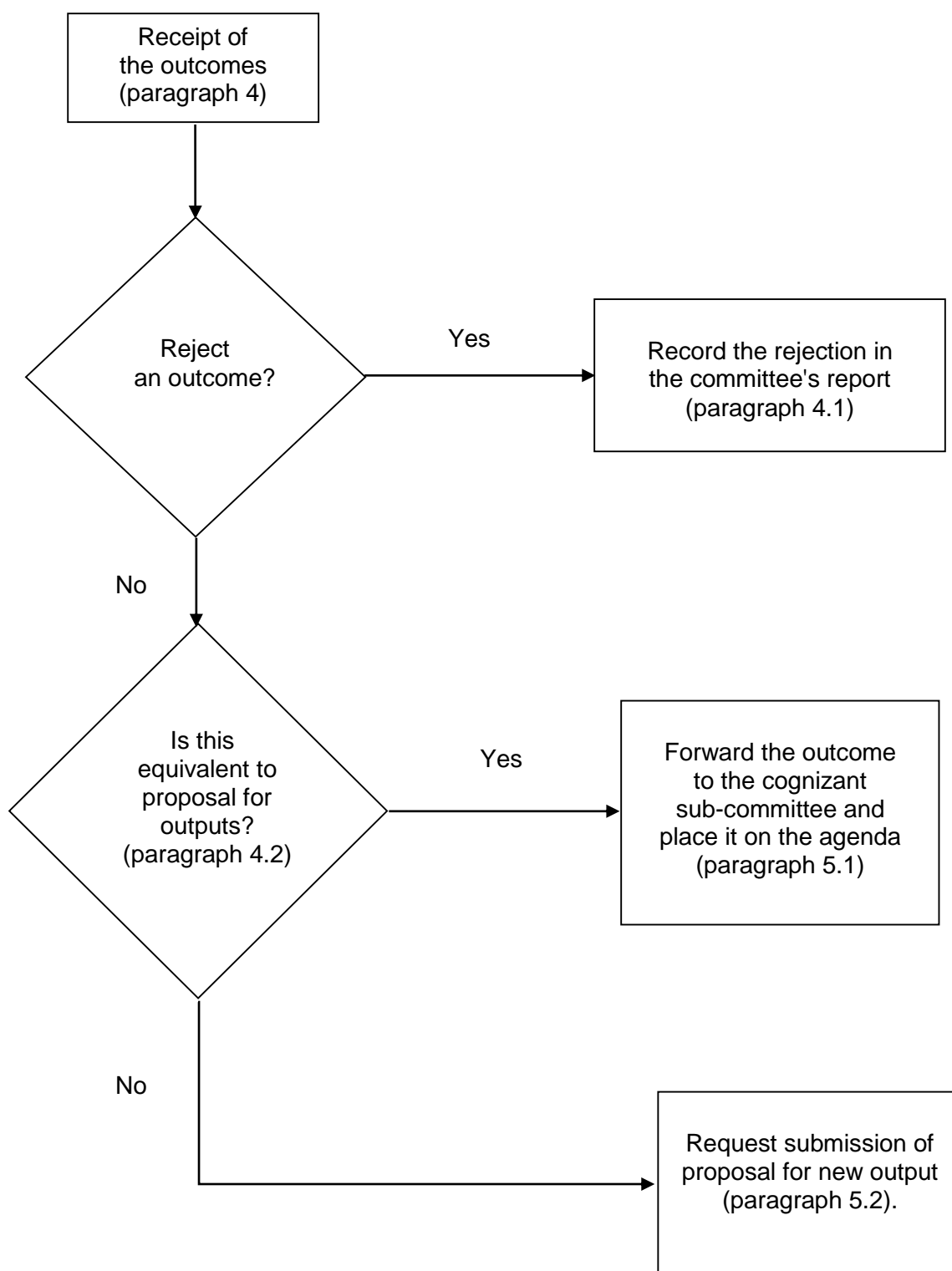
4 Upon receipt of the outcomes of an FSA study the committees should conduct a preliminary assessment, and the committees may decide to:

- .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; 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)**

Resolution A.1099(29)  
Adopted on 25 November 2015 (Agenda item 8)  
APPLICATION OF THE STRATEGIC PLAN AND  
THE HIGH-LEVEL ACTION PLAN OF THE ORGANIZATION