



ASSEMBLY  
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Agenda item 8(a)

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**RESOLUTION A.1174(33)**

**Adopted on 6 December 2023  
(Agenda item 8)**

**APPLICATION OF THE STRATEGIC 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 resolution A.1173(33), by which it approved the Strategic Plan for the Organization for the six-year period 2024 to 2029, including the list of outputs for the 2024-2025 biennium,

RECALLING IN PARTICULAR its adoption of resolution A.1111(30) on *Application of the Strategic Plan* and its request to the Council to keep the document under review,

REAFFIRMING:

- that the Organization's Strategic Plan contains strategic directions enabling IMO to achieve its mission; and
- that the list of outputs has been developed to provide the linkage between the Organization's strategic directions, 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 throughout the Organization, and for the strengthening of existing working practices through the provision of enhanced planning and management procedures that are simple, manageable, proportional, transparent and balanced,

HAVING CONSIDERED the recommendations of the Council, at its 130th session, for the adoption of the document on Application of the Strategic Plan of the Organization,

1 APPROVES the document on Application of the Strategic 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 2024-2025 biennium, the documents on the organization and method of their work, taking account of the document on Application of the Strategic Plan of the Organization, as appropriate;

3 REQUESTS the Secretary-General to review and adjust the present processes and work methods within the Secretariat in the light of the document on Application of the Strategic Plan of the Organization, and to develop practical means with the aim of facilitating and supporting the implementation of the document throughout the Organization;

4 REQUESTS the Council to keep the annexed document under review;

5 REVOKES resolution A.1111(30).

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## ANNEX

### APPLICATION OF THE STRATEGIC PLAN OF THE ORGANIZATION

#### 1 INTRODUCTION

1.1 The Strategic Plan for the Organization for the period 2024 to 2029, which has been adopted by the Assembly, sets out:

- .1 the mission statement;
- .2 the vision statement;
- .3 the overarching principles which should be taken into account in all of the Organization's work;
- .4 the strategic directions for 2024 to 2029;
- .5 the performance indicators for measuring the Organization's performance against the strategic directions; and
- .6 the list of outputs that are planned to be delivered by the Organization over a two-year period.

1.2 The list of outputs 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 is 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 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;
- .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 throughout the Organization.

3.2 The aim is to strengthen existing working practices through the provision of planning and management procedures that are simple, 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 clearly to the Strategic 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 documents;
- .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 documents on the organization and method of work, taking account of this document.

#### **5 STRATEGIC PLANNING PROCESS**

5.1 Every six years the Organization's Strategic Plan will be prepared based on an inclusive process. Within the six years, the Organization will make any necessary adjustments to the Strategic Plan to ensure its continued relevance in responding to major events and developments.

5.2 The list of outputs attached to the Strategic Plan will be updated every biennium to reflect the work expected to be carried out by the IMO organs in the subsequent biennium.

5.3 All IMO organs shall at all times be conscious of the status and purpose of the Strategic Plan, as well as of the strict linkages between the list of outputs and the budget for the corresponding biennium.

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## Developing the list of outputs

5.4 The Council and the committees shall identify, in a timely manner, the outputs to be included in the list of outputs 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 list of outputs for the next biennium, the following should be included:

- .1 continuous and annual outputs within the current list of outputs;
- .2 outputs that have not been completed; and
- .3 outputs from the post-biennial agenda should also be included, subject to resource availability;

Any other proposals for new outputs may be included following their assessment in accordance with the present document.

5.6 Decisions on the list of outputs for the next biennium shall be guided by the strategic directions in the Strategic Plan and shall take due account of:

- .1 the specific necessity for an output to be started during the current biennium;<sup>1</sup>
- .2 the potential impact that the inclusion of an output in the biennial agenda may have on the timely delivery of outputs during the biennium;
- .3 the potential impact that the inclusion of an output may have on the workload of the IMO organs delivering the output;
- .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).

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

5.8 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 the present 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.

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<sup>1</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 list of outputs.

## **6 MANAGEMENT AND CONTROL**

6.1 Management and control of the planning of, and reporting on, the implementation of the Strategic Plan are critical elements for measuring the Plan's 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, including the list of outputs;
- .2 the objectives of the Strategic 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
- .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 list of outputs 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 list of outputs 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 planned year of 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 list of outputs 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 on whether to include it in the next list of outputs;
- .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 list of outputs.

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 list of outputs, 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, 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 chairs, vice-chairs 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 documents on organization and method of work.

7.3 In order to fulfil the function mentioned in paragraph 7.2, well-established cooperation and coordination are expected between the chairs, vice-chairs and secretaries of the Council, committees and sub-committees.

## **8 OUTPUTS**

### **General**

8.1 The Council or a committee, in determining whether to accept an output and include it on their biennial or post-biennial agendas, shall at all times be guided by the Strategic Plan, and shall in particular take due account of:

- .1 the specific necessity for an output to be started during the current biennium;<sup>1</sup>
- .2 the potential impact that the inclusion of an output on the biennial agenda may have on the timely delivery of outputs during the biennium;
- .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 impact 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 on 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 least developed countries (LDCs).

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<sup>1</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 list of outputs.



### **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 of a Formal Safety Assessment (FSA) study carried out in accordance with *Revised guidelines for Formal Safety Assessment (FSA) for use in the IMO rule-making process (FSA Guidelines) (MSC-MEPC.2/Circ.12/Rev.2)*. The criteria in paragraph 8.1 also apply to the outcomes of an FSA study that may be regarded by the Committees as proposals for new 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 chair should undertake a preliminary assessment of such proposals. The chair should, for that purpose, be supported by the vice-chair and the Secretariat and should consult the chair 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 appraisal by the chair 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 the mission of IMO?
- .2 Does the proposal involve the exercise of functions conferred upon a committee by or under any international convention or related instrument?
- .3 Has a need for the output been justified and documented?
- .4 Has an analysis been provided that justifies and documents the practicality, feasibility and proportionality of the proposed output?
- .5 Has the analysis of the issue sufficiently addressed both the cost to the maritime industry and the relevant legislative and administrative burdens?<sup>2</sup>

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<sup>2</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.

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- .6 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?
  - .7 Do adequate industry standards exist or are they being developed?
  - .8 Has the proposed output been properly specified in SMART terms (specific, measurable, achievable, realistic, time-bound)?
  - .9 Does the completed checklist for addressing the human element (see annex 5) demonstrate that the human element has been sufficiently considered and addressed?
  - .10 If inclusion of the output in the current biennium is proposed, is this action properly justified?
  - .11 Would a decision to reject or postpone the commencement of the work in relation to the proposal pose an unreasonable risk to the Organization's overall mission?

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 chair's appraisal of the proposal, the Council or a committee may decide that:

- .1 the proposal is not within the scope of the mission of the Organization 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 the human element has not been sufficiently considered and addressed, and therefore the output should not be included;
- .4 for outputs for which extensive work is required, such as the revision of conventions or the preparation of codes, the chair of the associated body, or the coordinating body if applicable, 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;
- .5 the urgency of the proposed action did not justify inclusion within the current biennium, and may therefore accept the output for inclusion in the next biennium;
- .6 the implications for the present workload of the Organization are unacceptable within the current biennium, and may therefore accept the output for inclusion in the next biennium; or

- .7 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.

<b>Mission</b>	<b>Need to carry out the work</b>	<b>Human element considered and addressed</b>	<b>Urgency to deliver the output</b>	<b>Workload/personnel and budgetary resources</b>	<b>Decision</b>
Within the mission of the Organization	Demonstrated	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	Demonstrated	Not justified	Acceptable to next biennium	Accept output for inclusion in the next biennium
	Not demonstrated	Not demonstrated	Not justified	No need to further consider	Output not to be accepted for inclusion
Outside the mission of the Organization	No need to further consider	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 biennial or post-biennial agenda, it shall decide whether the output contributes to the delivery of a strategic direction. Outputs that are not directly related to the strategic directions can be accepted as "Other Work".

8.10 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 timescale for completion, in its proposals for the list of outputs of the next biennium.

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

8.11 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**

8.12 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;

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- .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;
  - .5 ensure that all the subsidiary bodies concerned are provided with the instructions related to the output, including the completed checklist for addressing the human element (see annex 5) for consideration during their inputs to the work;
  - .6 ensure that the coordinating subsidiary body reports to its parent organ(s) on the status of the work; and
  - .7 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 regarding 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, inter alia, shall be evaluated in the light of the present document.

8.18 In pursuance of resolution A.998(25) on *Need for capacity-building for the development and implementation of new, and amendments to existing, instruments*, the Council or a committees should assess the implications for capacity development and technical cooperation and assistance against the criteria for identification of capacity-building implications.

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

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

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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.

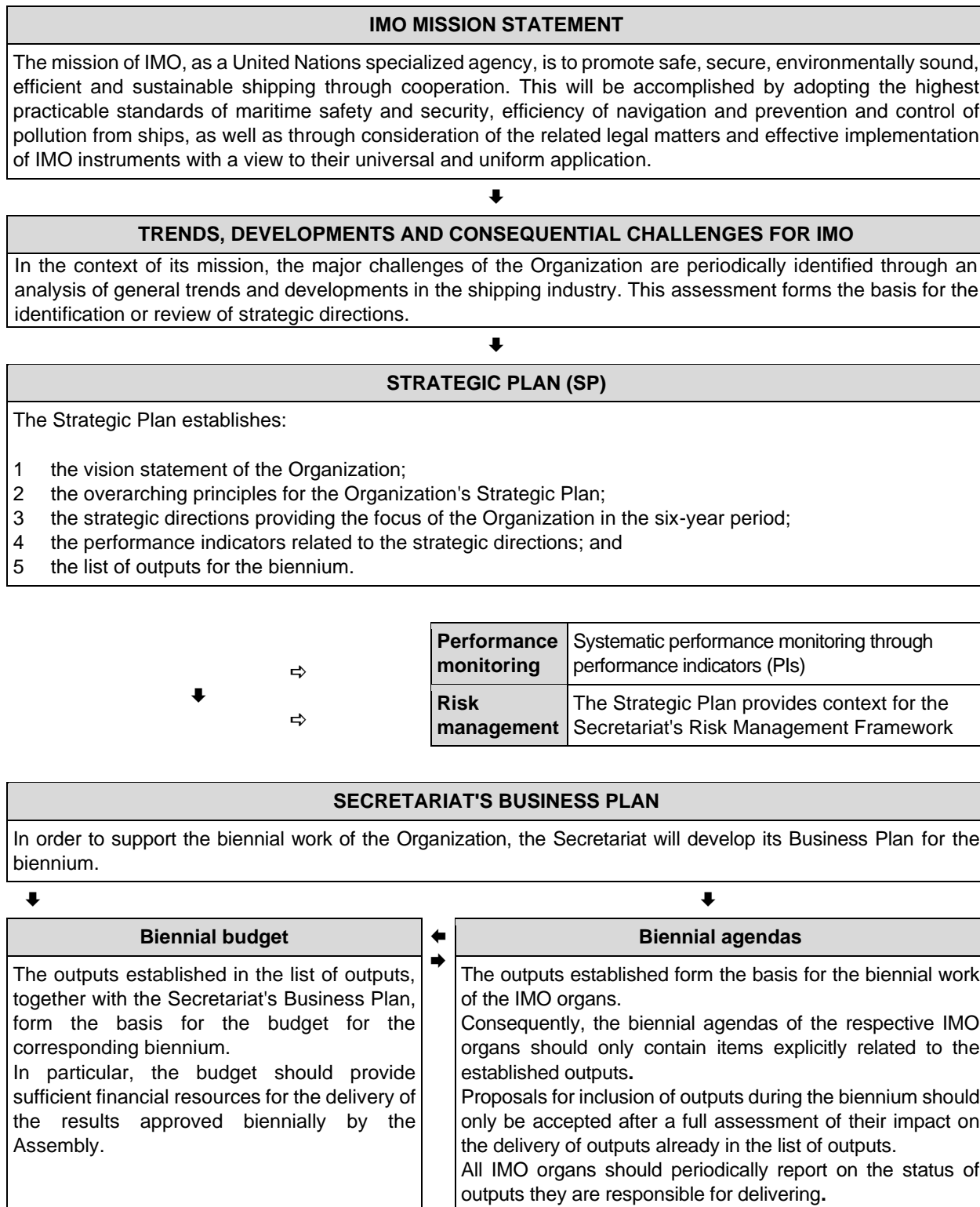
9.2 In preparing its own report, each IMO organ shall incorporate all reports it has received since its previous report on the status of outputs.

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.

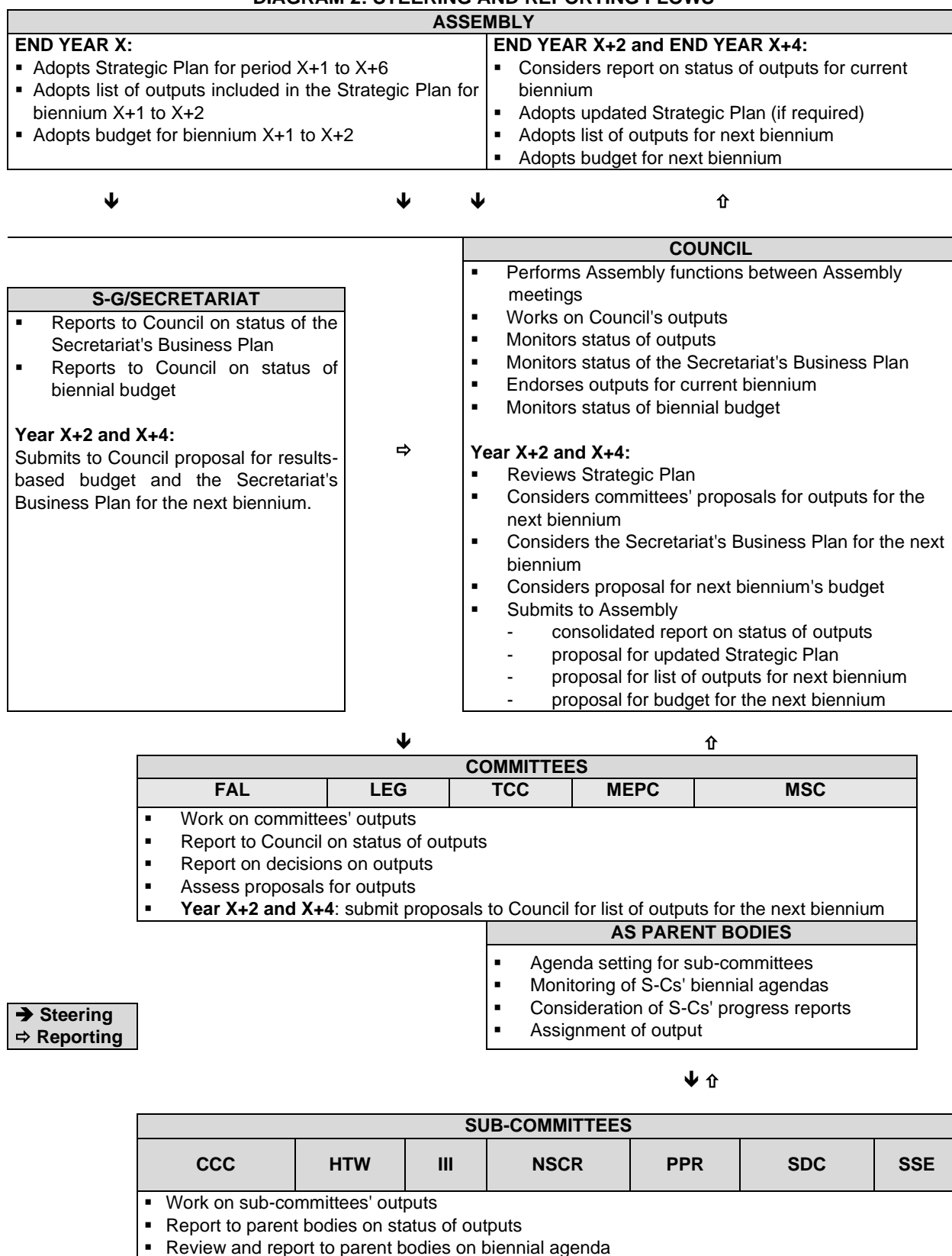
Annex 1

**STRATEGIC PLANNING OUTLINE**

**DIAGRAM 1: OVERVIEW**



**DIAGRAM 2: STEERING AND REPORTING FLOWS**



Annex 2

**FORMAT 1: BIENNIAL STATUS REPORT**

[Name of organ]									
Reference to SD, if applicable	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;
  - "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 included 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 strategic direction, if applicable	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 objectives:** Provide evidence of whether and how the proposal:
  - .1 is within the scope of the mission of IMO; and
  - .2 contributes to the implementation of the strategic directions established in the Strategic Plan, if applicable; outputs that are not directly related to the strategic directions can be accepted as "Other work".
- 2 **Need:** Demonstrate and document:
  - .1 the need for the proposed output in terms of the risks or hazards deemed 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 on 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. If work on an output is expected to go beyond one biennium, the expected deliverables for each biennium should be detailed.
- 8 **Human element:** Demonstrate that the human element has been sufficiently considered and addressed during the development of the proposal by providing the completed checklist set out in annex 5 to this document.
- 9 **Urgency:** Provide, with reference to the current Strategic 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>4</sup> If the proposed output included the development of a new convention or the amendment of an existing convention, the principles contained in 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 requirement" is defined, in accordance with resolution A.1043(27), as an obligation, arising from a mandatory IMO instrument, 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>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.</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>2 Record-keeping?                  Keeping statutory documents up to date, e.g. records of accidents, records of cargo, records of inspections, records of education.</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>3 Publication and documentation?                  Producing documents for third parties, e.g. warning signs, registration displays, publication of results of testing.</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>4 Permits or applications?                  Applying for and maintaining permission to operate, e.g. certificates, classification society costs.</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>5 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

**MONITORING AND CONTROLLING CONSIDERATION  
OF THE HUMAN ELEMENT BY IMO BODIES**

**1 Introduction**

1.1 Resolution A.947(23) on *Human element vision, principles and goals for the Organization* requests the Maritime Safety Committee and the Marine Environment Protection Committee to consider proposals for new or revised instruments or procedures relating to the safety of life at sea, security and the protection of the marine environment, taking into account its annexed human element vision, principles and goals.

1.2 These human element vision, principles and goals state:

"Vision

To significantly enhance maritime safety, security and the quality of the marine environment by addressing human element issues to improve performance.

Principles

- a) The human element is a complex multidimensional issue that affects maritime safety, security and marine environmental protection. It involves the entire spectrum of human activities performed by ships' crews, shore-based management, regulatory bodies, recognized organizations, shipyards, legislators and other relevant parties, all of whom need to cooperate to address human element issues effectively.
- b) The Organization, when developing regulations, should honour the seafarer by seeking and respecting the opinions of those that do the work at sea.
- c) Effective remedial action following maritime casualties requires a sound understanding of human element involvement in accident causation. This is gained by thorough investigation and systematic analysis of casualties for the contributory factors and the causal chain of events.
- d) In the process of developing regulations, it should be recognized that adequate safeguards must be in place to ensure that a single human or organizational error will not cause an accident through the application of these regulations.
- e) Rules and regulations which address seafarers directly should be simple, clear and comprehensive.
- f) Crew endurance, defined as the ability to maintain performance within safety limits, is a function of many complex and interacting variables including individual capabilities, management policies, cultural factors, experience, training, job skills and work environment.
- g) Dissemination of information through effective communication is essential to sound management and operational decisions.

- h) Consideration of human element matters should aim at decreasing the possibility of human and organizational error as far as possible.

#### Goals

- a) To have in place a structured approach for the proper consideration of human element issues for use in the development of regulations and guidelines by all committees and sub-committees.
- b) To conduct a comprehensive review of selected existing IMO instruments from the human element perspective.
- c) To promote and communicate, through human element principles, a maritime safety culture, security consciousness and heightened marine environment awareness.
- d) To provide a framework to encourage the development of non-regulatory solutions and their assessment, on the basis of human element principles.
- e) To have in place a system for identifying and disseminating maritime interests studies, research and other relevant information on the human element, including the findings of marine and non-marine incident investigations.
- f) To provide educational material for seafarers designed to increase their knowledge and awareness of the impact of human element issues on safe ship operations, and help them do the right thing.
- g) To provide a framework for understanding the very complex system of interrelated human element factors, incorporating operational objectives, personal endurance concerns, organizational policies and practices, and environmental factors, in order to facilitate the identification and management of risk factors in a holistic and systematic manner."

## 2 Purpose

2.1 The purpose of this procedure and guidance is to meet goal (a) of resolution A.947(23):

"To have in place a structured approach for the proper consideration of human element issues for use in the development of regulations and guidelines by all committees and sub-committees."

2.2 The scope of this procedure is all outputs from MEPC and MSC and their subsidiary bodies.

## 3 Procedure

3.1 The relevant bodies shall ensure that human element issues are considered and assessed by following the procedure described below.

### ***Preparation of a proposal for new output***

3.2 To propose a new output, the checklist set out in the appendix to this procedure shall be completed and sent to the relevant committee as per annex 1 to this document.

3.3 Any human element considerations shall be identified when preparing a proposal for a new output. The means by which they are addressed should be included in the instructions. Where insufficient information is available, an action plan shall be included by which the consideration may be fully addressed.

3.4 Human element or other necessary expertise shall be engaged to ensure satisfactory completion of the checklist.

### ***Assessment of a proposal for new output***

3.5 The relevant committee shall:

- .1 review the checklist to ensure that all human element risks have been considered and addressed; and
- .2 ensure that terms of reference to subsidiary bodies include clear instructions on addressing the human element considerations identified in the completed checklist.

### ***Work carried out on the output***

3.6 Work on the output shall take account of the human element considerations and the means by which they might be addressed, as identified in the completed checklist.

3.7 The relevant committee, or subsidiary body, shall ensure that the identified human element considerations are addressed during the work.

3.8 Within the scope of the output, further human element considerations may be identified and addressed during the work.

3.9 The relevant committee, or subsidiary body, shall ensure that appropriate human element expertise is made available.

### ***Approval of work completed under the output***

3.10 At the time of approval, the relevant committee shall review the output to ensure that human element considerations, as identified in the checklist, were appropriately addressed in the final output.

## **4 Guidance for completing the checklist**

### ***General principles***

4.1 Completion of the checklist should take account of both the intended output and its direct effects on the human element, as well as any potential unintended consequences.

4.2 It should also take into account the effects of both the circumstances prior to the implementation date, where modifications may be made, and those once implementation is complete.

4.3 Completion of the checklist should involve seeking input from seafarers or their proxies. Other stakeholders may be consulted, such as shipping companies and regulators.

4.4 The checklist includes references to relevant IMO documents. These may be used to correctly identify the considerations and the means by which they are addressed. The references may be included in the final output. Additional IMO references and other guidance such as that originating with the International Labour Organization and industry organizations may be added. References that are not relevant may be struck out.

4.5 Consideration of hazards should recognize that there may be alternative means by which risks may be addressed. These means may differ in their effectiveness, as illustrated by the following well-known Hierarchy of Hazard Controls (originated by the National Institute for Occupational Safety and Health, United States of America).

### ***Hierarchy of controls***

4.6 The hierarchy of controls is listed in order of effectiveness as follows:

**Elimination** – Physically removing the hazard is the most effective control. An example in the shipping industry might be that a requirement for working at height to maintain a piece of equipment could be eliminated by having all critical components at deck level.

**Substitution** – Involves replacing something that produces a hazard with something that does not produce a hazard. An example in the shipping industry might be the substitution of non-TBT anti-fouling.

**Engineering controls** – These do not remove hazards, but rather isolate people from hazards. Examples in the shipping industry might be equipment with inherently high noise levels isolated by locating in an acoustic enclosure or the rotating part of equipment fitted with a guard to prevent contact with the operator.

**Administrative controls** – These are changes in the way people work. Examples may be signage, procedures or training and are generally seen as less effective controls.

**Personal protective equipment (PPE)** – This control is seen as the least effective due to the problems with ensuring that PPE is properly used and maintained. In addition, some PPEs increase physiological effort to complete a task.

## **APPENDIX**

### **CHECKLIST FOR CONSIDERING AND ADDRESSING THE HUMAN ELEMENT**

This checklist consists of five questions as follows:

- .1 questions 1 to 4 are risk-based questions intended to identify risks from the implementation and operation of new outputs; and
- .2 question 5 is a list of measures for addressing the human element.



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	1 Question	2 Yes/ No	3 IMO references	4 Considerations	5 Instructions
	<b>Workload</b>		<p><i>Other relevant references may be added</i></p> <p><i>Strike out references that are not relevant</i></p>	<p><i>If answer to question is "yes" identify considerations. If answer is "no" make proper justification</i></p>	<p><i>Identify how human element considerations should be addressed in the output</i></p>
1	Does the "output" affect workload?				
1.1	On board, especially in the already intensive phases of the voyage and port operations to:		<p><i>Revised guidelines for the operational implementation of the International Safety Management (ISM) Code by Companies (MSC-MEPC.7/Circ.8)</i></p> <p><i>Guidelines on fatigue (MSC.1/Circ.1598)</i></p> <p><i>Principles of minimum safe manning (resolution A.1047(27))</i></p> <p><i>Guidelines for the investigation of accidents where fatigue may have been an issue (MSC/Circ.621)</i></p>		
1.1.1	Operations including navigation, cargo and engineering				
1.1.2	Maintenance of the ship's structure and its equipment				
1.1.3	Onboard administration in support of the ship's management systems				

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	1 Question	2 Yes/ No	3 IMO references	4 Considerations	5 Instructions
1.1.4	Onboard administration related to regulation involving flag States, classification societies, port State and other bodies such as charterers and port authorities				
1.1.5	Increased workload or time pressure on personnel if involved in implementation of changes prior to the implementation date				
1.2	<b>Ashore, in a manner that would affect the ships operation to:</b>				
1.2.1	Companies' administration				
1.2.2	Flag State, port State and classification societies administration such that certification and other processes are compromised or delayed				

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	1 Question	2 Yes/ No	3 IMO references	4 Considerations	5 Instructions
	<b>Decision-making</b>		<i>Other relevant references may be added</i>  <i>Strike out references that are not relevant</i>	<i>If answer to question is "yes" identify considerations. If answer is "no" make proper justification</i>	<i>Identify how human element considerations should be addressed in the output</i>
<b>2</b>	<b>Does the "output" impact decision-making on board the ship?</b>				
<b>2.1</b>	By confusion with existing requirements and regulations				
<b>2.2</b>	By changing responsibilities as laid out in the ISM Code				
<b>2.3</b>	By creating complexity in its implementation and/or in the safety management systems				
<b>2.4</b>	By requiring increased mental effort, such as the need to find, transform and analyse data or result in the need to make judgements based on incomplete information				
<b>2.5</b>	By limiting the time available to establish situational awareness, decide, communicate (possibly across time zones) or check				
<b>2.6</b>	By increasing reliance on judgement and administrative controls to manage major risks such as oil spills and collisions				

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	1 Question	2 Yes/ No	3 IMO references	4 Considerations	5 Instructions
<b>Living and Working Environment</b>			<i>Other relevant references may be added</i>  <i>Strike out references that are not relevant</i>	<i>If answer to question is "yes" identify considerations. If answer is "no" make proper justification</i>	<i>Identify how human element considerations should be addressed in the output</i>
<b>3</b>	<b>Does the "output" affect the living and working environment?</b>		<i>Guidelines on the basic elements of a shipboard occupational health and safety programme (MSC-MEPC.2/Circ.3)</i>  <i>Guidelines on fatigue (MSC.1/Circ.1598)</i>		
3.1	By interfering with existing arrangements for abandonment, fire-fighting and other emergency plans or procedures				
3.2	By introducing new materials that could create an explosion, fire, environmental or occupational health risk				
3.3	By introducing new high energy sources such as high-voltage, high-pressure fluids				
3.4	By affecting access or egress and causing lack of ventilation in working spaces				
3.5	By affecting the habitability of accommodation spaces due to noise, vibration, temperatures, dust and other contaminants				

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	1 Question	2 Yes/ No	3 IMO references	4 Considerations	5 Instructions
<b>Operation and Maintenance</b>			<p><i>Other relevant references may be added</i></p> <p><i>Strike out references that are not relevant</i></p>	<p><i>If answer to question is "yes" identify considerations. If answer is "no" make proper justification</i></p>	<p><i>Identify how human element considerations should be addressed in the output</i></p>
4	<p><b>Does the "output" affect the operation and maintenance of the ship, its structure or systems and equipment?</b></p>		<p><i>Revised guidelines for the operational implementation of the International Safety Management (ISM) Code by companies (MSC-MEPC.7/Circ.8)</i></p> <p><i>Guidelines for bridge equipment and systems, their arrangement and integration (BES) (SN.1/Circ.288)</i></p> <p><i>Principles of minimum safe manning (resolution A.1047(27))</i></p> <p><i>Issues to be considered when introducing new technology on board ships (MSC/Circ.1091)</i></p> <p><i>Guideline on software quality assurance and human-centred design for e-navigation (MSC.1/Circ.1512)</i></p> <p><i>Guidelines for the standardization of user interface design for navigation equipment (MSC.1/Circ.1609)</i></p>		

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	1 Question	2 Yes/ No	3 IMO references	4 Considerations	5 Instructions
4.1	By introducing equipment that the user may find difficult to operate or maintain or may be unreliable				
4.2	By introducing new and/or novel technology, or technology that changes the role of the person				
4.3	By introducing requirements for new competencies and roles				
4.4	By overloading existing infrastructure such as power generation and ventilation systems				
4.5	By poor integration with existing systems and controls				
4.6	By introducing new and unfamiliar operations/procedures				
4.7	By introducing new and unfamiliar operating interfaces				
4.8	By introducing risks to the ship during any modifications required prior to the implementation date of the output				

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	1 Question	2 Yes/ No	3 IMO references	4 Considerations	5 Instructions
	<b>Measures to address the human element</b>		<i>Other relevant references may be added</i>  <i>Strike out references that are not relevant</i>	<i>If answer to question is "yes" identify considerations. If answer is "no" make proper justification</i>	<i>Identify how human element considerations should be addressed in the output</i>
5	Does the "output" require changes to:		<i>Shipboard technical operating and maintenance manuals (MSC.1/Circ.1253)</i>  <i>Revised guidelines for the operational implementation of the International Safety Management (ISM) Code by companies (MSC-MEPC.7/Circ.8)</i>		
5.1	Training				
5.2	Practical skill development and competences				
5.3	Operating, management and/or maintenance procedures				
5.4	Information/manuals for operation and maintenance				
5.5	Spares outfit				
5.6	Occupational safety requirements including guarding and PPE				
5.7	Shore support				

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Annex 6

**GUIDELINES FOR CONSIDERING AND REVIEWING THE  
OUTCOMES OF FORMAL SAFETY ASSESSMENT (FSA) STUDIES**

**Purpose**

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

**Background**

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

3 The document on Application of the Strategic 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:

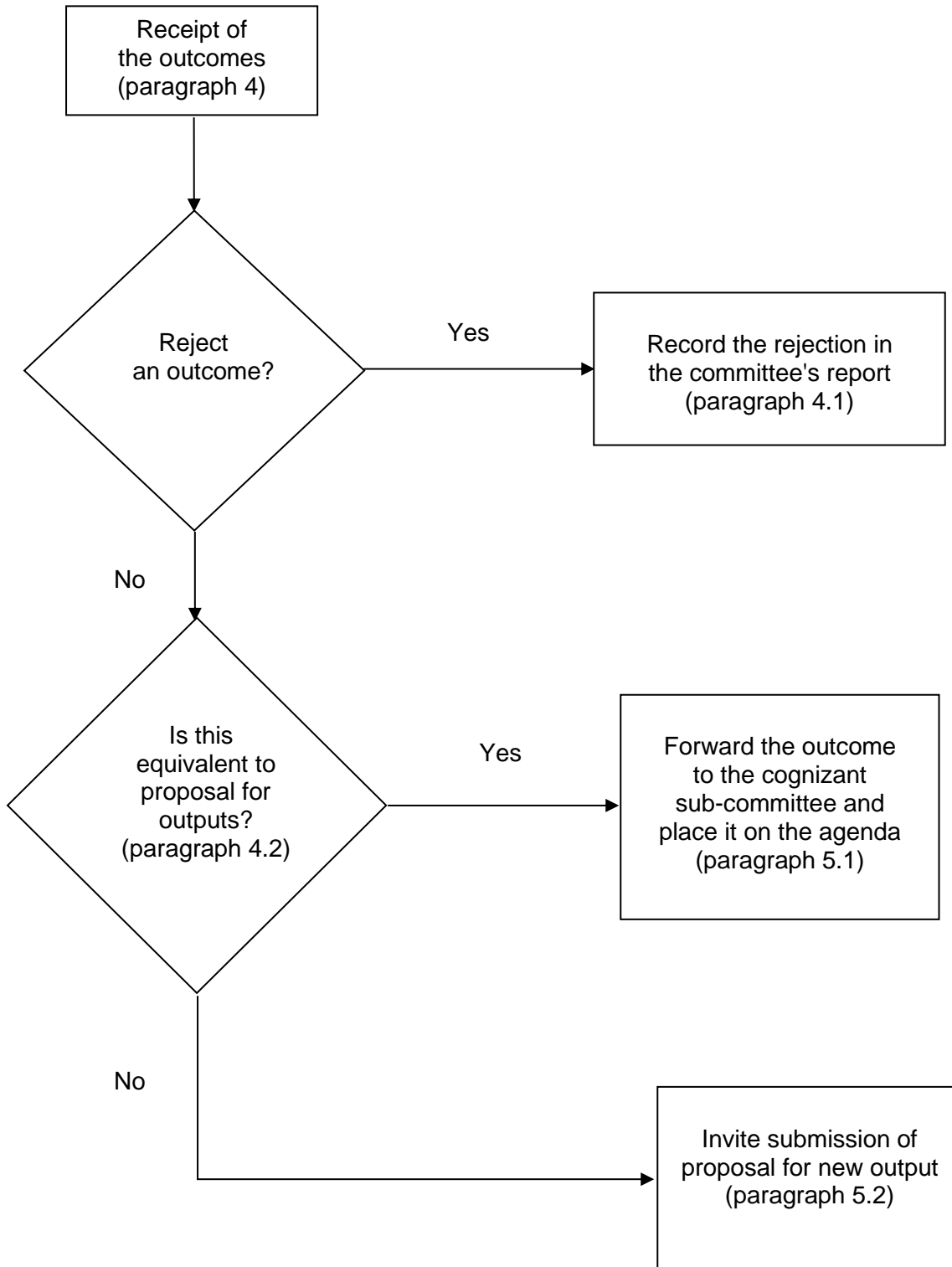
- .1 reject an outcome without any further action; or
- .2 review the information submitted with an outcome in order to determine equivalence to the requirements for submitting proposals for outputs.

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 invite 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 flow chart (see figure 1) should be used to guide consistent management of outcomes.





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

