INTERNATIONAL MARITIME ORGANIZATION

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Adopted on 3 December 2025
(Agenda item 8(a))

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.1196(34), by which it approved the Revised Strategic Plan for the Organization for the six-year period 2024 to 2029, including the IMO organs' work programme for the 2026-2027 biennium,

RECALLING IN PARTICULAR its adoption of resolution A.1174(33) 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 work programme 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 134th 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 2026-2027 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.1174(33).

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APPLICATION OF THE STRATEGIC PLAN OF THE ORGANIZATION

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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 work programme that is planned to be undertaken by the Organization over a two-year period.

1.2 The work programme 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* are the Assembly, Council and committees of the Organization specified in Article 11 of the IMO Convention, including their subsidiary bodies.

.2 *Output* is an item to be delivered by one or more IMO organs during the current biennium or accepted for a subsequent biennium.

.3 *Agenda* is a list of outputs for discussion at a particular meeting.

.4 *Biennial agenda* is a list of outputs to be delivered by an IMO organ during a biennium.

.5 *Post-biennial agenda* is a list of outputs accepted by the Council or committees in one biennium that are to be delivered or initiated in the next biennium.

.6 *Parent organ* is the IMO organ responsible for delivering an output.

.7 *Coordinating organ* is the IMO organ assigned to coordinate the technical work undertaken by associated organ(s).

.8 *Associated organ* is an IMO organ assigned to undertake the technical work, if necessary, under the coordination of a coordinating organ, to facilitate the delivery of an output.

.9 *Continuous output* is a multiple session output without a target completion year that may be progressed annually or with variable intervals.

.10 *Road map* is an indicative plan providing the timeline of how an output is envisaged to progress across the Organization.

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 work programme 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 work programme and the budget for the corresponding biennium.

Developing the work programme

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

.1 continuous outputs;

.2 outputs that have not been completed; and

.3 outputs from the post-biennial agenda, subject to the personnel and budgetary resources available.

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

5.6 While preparing the work programme for the next biennium, the IMO organs 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;[1]

.2 the potential impact that the inclusion of an output in the biennial agenda may have on the timely delivery of other 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

[1] 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 work programme for the current biennium and the provisional agenda of the subsequent session of the relevant IMO organ.

.6 the potential impact that the inclusion of an output may have on small island developing States (SIDS) and least developed countries (LDCs).

5.7 Adoption by the Assembly of the work programme of the IMO organs 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.

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 provisional agendas of IMO organs are both clearly linked to the Strategic Plan, including the work programme;

.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 outputs contained in the work programme 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 outputs contained in the provisional and biennial agendas of all IMO organs shall all be outputs in the work programme or included in the Secretariat's Business Plan;

.3 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;

.4 for an output that is expected to take more than one biennium to complete, the biennial status report shall specify the target 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 work programme;

.5 continuous outputs 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

.6 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 work programme.

6.3 The Council, committees and subsidiary bodies should at each session review the status of the continuous outputs under their purview and, if considered to be practical and applicable, may determine suitable alternative mechanisms (e.g. via intersessional arrangements, by correspondence only or with less frequent intervals) for their consideration, subject to approval by the parent body and/or Council, as appropriate.

6.4 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 work programme, in accordance with section 8, is subject to the endorsement of the Council, prior to the initiation of work on such outputs.

6.5 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;[2]

.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;

[2] 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 work programme for the current biennium and the provisional agenda of the subsequent session of the relevant IMO organ.

.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).

Submission of proposals for new outputs or the expansion of the scope of an output

8.2 Documents containing proposals for new outputs or the expansion of the scope of existing outputs shall only be submitted to the Council or a committee. To enable the Council or a committee to carry out a proper assessment, 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 new outputs or the expansion of the scope of an output

8.4 In order to facilitate consideration of proposals for new outputs, or the expansion of the scope of an output by the Council or a committee, a preliminary assessment of such proposals should be undertaken in advance of the relevant Council or committee session by the chair of the meeting, supported by the vice-chair. For the Maritime Safety Committee and the Marine Environment Protection Committee, the aforementioned preliminary assessment should be undertaken by a standing body, composed of the chair(s) and vice-chair(s) of the committees and the subsidiary bodies concerned (referred to as the "group of chairs"), as appropriate, supported by the Secretariat.

8.5 Upon receipt of documents containing proposals for new outputs or the expansion of the scope of an output, the Secretariat should perform a compliance check to ensure the documents meet the requirements specified in paragraph 8.2. Documents not meeting these requirements should not be accepted or further processed by the Secretariat.

8.6 When conducting the preliminary assessment of proposals for new outputs or the expansion of the scope of an output, the chair or group of chairs, as appropriate, should be guided by the criteria set out in part 2 of the form in annex 8.

8.7 The outcome of the preliminary assessment by the chair or group of chairs, as appropriate, should be submitted by means of a working paper, which should include the form set out in annex 8 duly completed, to the Council or a committee concerned, no later than two weeks before the opening of the relevant session, as a recommendation for consideration and decision.

8.8 In addition to conducting a preliminary assessment of proposals, the chair or group of chairs, as appropriate, may provide general recommendations to the Council or relevant committee to assist with the management of the workload of the Council or committee and its subsidiary bodies.

8.9 The assessment criteria set out in part 2 of annex 8 are also applicable to the outcomes of an FSA study. Annex 7 provides guidance for considering and reviewing the outcomes of FSA studies.

Decision on acceptance and inclusion of new outputs or the expansion of the scope of an output

8.10 Following consideration of the outcome of the preliminary assessment by the chair or group of chairs, as appropriate, as well as any related documents submitted, the Council or 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 or expanded, as appropriate;

.3 the human element has not been sufficiently considered and addressed, and therefore the output should not be included or expanded, as appropriate;

.4 the urgency of the proposed action has not been sufficiently justified, and therefore, the output or the expansion of its scope should be accepted for inclusion in the next biennium;

.5 the implications for the present workload and resources of the Organization are unacceptable within the current biennium, and therefore the output should be accepted for inclusion in the next biennium; or

.6 the demonstrated need for the new output, or the expansion of the scope of an output, is such that it should be included, together with a target date for completion, in the work programme for this biennium, provided it is satisfied that the implications for the workload and planning are acceptable.

Mission	Need to carry out the work	Human element considered and addressed	Urgency to deliver the output	Workload/personnel and budgetary resources	Decision
Within the mission of the Organization	Demonstrated	Demonstrated	Justified	Implications of workload and resources are acceptable within the current biennium	Accept output for inclusion within the current biennium
				Implications of the workload are unacceptable within the current biennium	Accept output for inclusion in the next biennium
	Demonstrated	Demonstrated	Not justified	Acceptable to the next biennium	Accept output for inclusion in

Mission	Need to carry out the work	Human element considered and addressed	Urgency to deliver the output	Workload/personnel and budgetary resources	Decision
					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

8.11 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".

8.12 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 work programme of the next biennium.

Decision on inclusion in the biennial work programme of subsidiary bodies

8.13 A decision by the Council or a committee to include an output in the biennial work programme 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

8.14 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;

.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 6) 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

8.15 The committees shall report on their decisions on proposals for new 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.

8.16 Proposals for new outputs or the expansion of the scope of an output may be developed and submitted by a subsidiary body when such proposals arise from considerations relating to outputs already on the agenda other than "any other business" of that subsidiary body.

8.17 Proposals for new outputs or the expansion of an output which are submitted by non-governmental organizations shall be co-sponsored by Member States.

8.18 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, unless they are specifically identified as urgent matters requiring immediate actions, and it is demonstrated that the risk of not acting will adversely affect the Organization's ability to meet its purposes.

8.19 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 committee should assess the implications for capacity development and technical cooperation and assistance in accordance with the procedures as set out in annex 5.

9 FORMAT AND CONTENT OF REPORTS

9.1 Reports on the status of outputs included in the work programme 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[3] 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.

[3] 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

DIAGRAM 1: OVERVIEW

IMO MISSION STATEMENT

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

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TRENDS, DEVELOPMENTS AND CONSEQUENTIAL CHALLENGES FOR IMO

In the context of its mission, the major challenges of the Organization are periodically identified through an analysis of general trends and developments in the shipping industry. This assessment forms the basis for the identification or review of strategic directions.

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STRATEGIC PLAN (SP)

The Strategic Plan establishes:

1 the vision statement of the Organization;
2 the overarching principles for the Organization's Strategic Plan;
3 the strategic directions providing the focus of the Organization in the six-year period;
4 the performance indicators related to the strategic directions; and
5 the work programme for the biennium.

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Performance monitoring	Systematic performance monitoring through performance indicators (PIs)
Risk management	The Strategic Plan provides context for the Secretariat's Risk Management Framework

SECRETARIAT'S BUSINESS PLAN

In order to support the biennial work of the Organization, the Secretariat will develop its Business Plan for the biennium.

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Biennial budget

The outputs established in the work programme, together with the Secretariat's Business Plan, form the basis for the budget for the corresponding biennium.
In particular, the budget should provide sufficient financial resources for the delivery of the results approved biennially by the Assembly.

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Biennial agendas

The outputs established form the basis for the biennial work of the IMO organs.
Consequently, the biennial agendas of the respective IMO organs should only contain items explicitly related to the established outputs.
Proposals for inclusion of outputs during the biennium should only be accepted after a full assessment of their impact on the delivery of outputs already in the work programme.
All IMO organs should periodically report on the status of outputs they are responsible for delivering.

DIAGRAM 2: STEERING AND REPORTING FLOWS

ASSEMBLY

END YEAR X:
- Adopts Strategic Plan for period X+1 to X+6
- Adopts the work programme included in the Strategic Plan for biennium X+1 to X+2
- Adopts budget for biennium X+1 to X+2

END YEAR X+2 and END YEAR X+4:
- Considers report on status of outputs for current biennium
- Adopts updated Strategic Plan (if required)
- Adopts the work programme for next biennium
- Adopts budget for next biennium

S-G/SECRETARIAT
- Reports to Council on status of the Secretariat's Business Plan
- Reports to Council on status of biennial budget

Year X+2 and X+4:
Submits to Council proposal for results-based budget and the Secretariat's Business Plan for the next biennium.

COUNCIL
- Performs Assembly functions between Assembly meetings
- Works on Council's outputs
- Monitors status of outputs
- Monitors status of the Secretariat's Business Plan
- Endorses outputs for current biennium
- Monitors status of biennial budget

Year X+2 and X+4:
- Reviews Strategic Plan
- Considers committees' proposals for outputs for the next biennium
- Considers the Secretariat's Business Plan for the next biennium
- Considers proposal for next biennium's budget
- Submits to Assembly
  - consolidated report on status of outputs
  - proposal for updated Strategic Plan
  - proposal for the work programme for next biennium
  - proposal for budget for the next biennium

COMMITTEES

FAL	LEG	TCC	MEPC	MSC

- Work on committees' outputs
- Report to Council on status of outputs
- Report on decisions on outputs
- Assess proposals for outputs
- **Year X+2 and X+4**: submit proposals to Council for the work programme the work programme for the next biennium

AS PARENT BODIES
- Agenda setting for sub-committees
- Monitoring of sub-committees' biennial agendas
- Consideration of sub-committees' progress reports
- Assignment of output

SUB-COMMITTEES

CCC	HTW	III	NSCR	PPR	SDC	SSE

- Work on sub-committees' outputs
- Report to parent bodies on status of outputs
- Review and report to parent bodies on biennial agenda

➔ Steering
⇨ Reporting

ANNEX 2

FORMAT 1: BIENNIAL STATUS REPORT

[Name of organ]									
Reference to SD, if applicable	**Output number[a]**	**Description**	**Target completion year[b]**	**Parent organ(s)**	**Associated organ(s)**	**Coordinating organ**	**Status of output for Year 1[c]**	**Status of output for Year 2[c]**	**References[d]**
Notes:									
Notes:									

Notes:

a When individual outputs contain multiple deliverables, the format should report on each individual deliverable.

b The target completion year should be specified as a year, or indicate that the item is 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; and
- "extended" signifies that further work is necessary and that the output will not be finalized as planned.

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[e]	Reference to strategic direction, if applicable	Description					

Notes:

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

ANNEX 3

INFORMATION REQUIRED IN SUBMISSIONS OF PROPOSALS FOR INCLUSION OF AN 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;[4] 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, covering as widely as possible all affected stakeholders including, but not limited to, seafarers, shipowners and operators, equipment manufacturers, shipyards, flag State Administrations, coastal States, recognized organizations and other users of the sea area, as applicable.

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), including capacity-building implications (see annex 5).

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 instrument(s)[5] to be amended or developed as new and the scope of application. If work on an output is expected to take more than one session of the Council, a committee or its subsidiary body, a road map should be provided. In such cases, the road map should indicate the anticipated volume of work required to deliver the output by specifying, as a minimum, the IMO organ(s) involved, the number of sessions required and the need for intersessional work.

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4 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.

5 Submission of a check/monitoring sheet, as defined in MSC.1/Circ.1500, as revised, is required along with a proposal for a new output requiring the development of new, or amendments to, mandatory instruments, including SOLAS and other safety-related conventions.

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 6 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, specifying, where applicable, whether:

.1 there would be any regulatory obligations emanating from the proposed output;

.2 the proposed output would require immediate attention to prevent negative consequences or that it would address current trends, developments and challenges; and

.3 the proposed output would involve collaboration with other international organizations or entities for timely action; and

.2 the date that the proposed output should be completed.

10 **Action required**: Specify the action required by the IMO organ.

11 **Attachments:** Where required, provide the following information along with the proposal:

.1 initial assessment of capacity-building implications (see annex 5, appendix 1);

.2 checklist for considering and addressing the human element (annex 6, appendix);

.3 checklist for identifying administrative requirements (annex 4);

.4 a road map (see item 7 above); and

.5 parts I and II of the check/monitoring sheet for the process of amending the SOLAS Convention and related mandatory instruments (MSC.1/Circ.1500, annex 2, as revised).

ANNEX 4

CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS

This checklist should be used when preparing the analysis of implications required in submissions of proposals for inclusion of outputs. The Council and committees may also use this checklist before adopting new, or amending existing, mandatory instruments, in order to satisfy themselves that administrative requirements have been minimized to the greatest extent possible. 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.

Instructions:

(A) If the answer to any of the questions below is **YES**, the Member State proposing an output should provide supporting details on whether the requirements are likely to involve start-up and/or ongoing costs. The Member State should also 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.

(B) If the proposal for the output does not contain such an activity, answer **NR** (Not required).

(C) For any administrative requirement, full consideration should be given to electronic means of fulfilling the requirement in order to alleviate administrative burdens.

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

ANNEX 5

PROCEDURES FOR ASSESSING THE IMPLICATIONS OF CAPACITY-BUILDING REQUIREMENTS WHEN DEVELOPING NEW, OR AMENDING EXISTING, MANDATORY INSTRUMENTS

1 INTRODUCTION

1.1 Assembly resolution A.998(25) on *Need for capacity-building for the development and implementation of new, and amendments to existing, instruments* cautions that, unless the Council, the committees and their subsidiary bodies adopt a cradle-to-grave approach in relation to matters concerning capacity-building, technical cooperation and assistance, the chances of success in the ratification and effective implementation of IMO instruments may be reduced by the level of unpreparedness or lack of capacity that Member States, in particular small island developing States (SIDS) and least developed countries (LDCs), experience at the point when implementation of such instruments is urgently required. Therefore, the development of this procedure is in keeping with the provisions of that resolution.

1.2 The assessment of capacity-building implications for the implementation of new, and/or amendments to existing, mandatory instruments is an iterative process that begins with the acceptance of the preliminary proposal and runs in parallel up to the process of its implementation.

1.3 These procedures do not prevent States from taking additional actions in promoting the advancement of the objectives of capacity-building through technical assistance or cooperation.

2 DEFINITIONS

For the purpose of these procedures, the following definitions apply:

2.1 *Capacity-building* means sustainable social, economic or legal measures undertaken through various means for the purposes of a comprehensive transformation of the performance of an Administration or industry player so as to implement and therefore comply with new or amended mandatory instruments.

2.2 *Technical assistance* is a methodology for providing capacity-building through bilateral and/or multilateral exchange of technical knowledge, resources or expertise to a party which has requested such assistance in order to enhance its technical capability to implement existing, new or amended mandatory instruments.

2.3 *Technical cooperation* refers to a methodology for providing capacity-building, through a multilateral effort, to a group of cooperating countries of a particular region in the form of training and exchange of expertise, knowledge and information, in support of their efforts aimed at promoting the implementation of existing, new and/or amended mandatory instruments.

2.4 *Instruments* refers to IMO conventions and other treaties.

3 PURPOSE AND OBJECTIVES

3.1 The purpose of these procedures is to give effect to resolution A.998(25), aimed at enhancing efforts to promote universal implementation of mandatory IMO instruments.

3.2 These procedures are intended to assist in the identification and assessment of capacity-building implications in the following cases:

.1 when a Member State submits a proposal for a new output or the expansion of the scope of an output;

.2 when a committee approves or adopts a new mandatory instrument/amendments to existing mandatory instruments;

.3 during implementation of new or amended mandatory instruments; and

.4 during the scheduling of capacity-building measures or activities.

3.3 These procedures apply to the committees of the Organization and constitute a specific implementation response to resolution A.998(25).

3.4 These procedures aim at:

.1 promoting universal ratification and compliance with newly adopted IMO instruments;

.2 improving the level and quality of implementation of new and/or amended instruments; and

.3 promoting, as far as possible, a balanced level of implementation of new instruments.

4 PROCEDURE

4.1 Proposals for new outputs entailing the development of new, or amendments to, mandatory instruments should include an initial assessment of capacity-building implications using the checklist in appendix 1 of these procedures, which should be supplemented by the form in appendix 2 only if any capacity-building activities are foreseen for the implementation of new measures.

4.2 At the finalization stage of new or amended instruments, a subsidiary body or a working group of a committee should review and finalize the initial assessment of capacity-building implications, taking into account relevant contributions provided by the industry and non-governmental organizations. In addition, the subsidiary body or a working group of a committee should also prepare the check/monitoring sheet set out in annex 2 to MSC.1/Circ.1500, as revised, for the new or amended instruments.

4.3 At the adoption stage of new or amended instruments, the committee may instruct the Drafting Group on Amendments to Mandatory Instruments to:

.1 consider the assessment of capacity-building implications finalized by the subsidiary body or a working group of a committee and advise the committee concerned, with a view to endorsement of the assessment, as appropriate;

.2 if applicable, provide a description of the potential capacity-building implications of new or amended instruments along with recommendations for a course of action, for consideration by the Organization, the membership and/or the industry.

APPENDIX 1

CHECKLIST FOR THE IDENTIFICATION OF CAPACITY-BUILDING IMPLICATIONS

1 For Administrations

- ☐ Is new legislation required?
- ☐ Is there a requirement for new equipment and/or systems?
  - o Does equipment manufacturing capacity exist internationally?
  - o Do equipment repair/servicing facilities exist internationally?
  - o Is there capacity to develop new systems?
- ☐ Will the implementation require additional financial resources?
- ☐ Is there a need for additional human resources or new skills?
- ☐ Will there be a need to upgrade the current infrastructure?
- ☐ Is there enough lead time towards implementation?
- ☐ Will a rapid implementation procedure be adopted?
- ☐ Is there a substantial modification of existing standards?
- ☐ Will a guide to implementation be needed?

2 For the industry

- ☐ Would the industry require new and/or enhancements of existing systems?
  - o Does capacity exist internationally to develop new systems?
- ☐ Is there a need for additional training of seafarers?
  - o Do related and validated training courses exist?
  - o Are sufficient simulation training courses available internationally?
- ☐ Will there be a requirement for new equipment?
  - o Does manufacturing capacity exist internationally?
- ☐ Is there repair/servicing and/or retrofitting, and does maintenance capacity exist internationally?

APPENDIX 2

FORM FOR CAPACITY-BUILDING MEASURES

Capacity-building Measures Form

Instrument _____

Measure number _____ of _____

Required for □ Administration
□ Industry

Implementation □ Prior to adoption
□ Once adopted
□ Prior to entry into force
□ Once ratified
□ Phased in

Description of capacity-building activity needed for the implementation of new measures:

_____

_____

_____

ANNEX 6

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 who 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 a 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 being located 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 owing 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.

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

	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	**Ashore, in a manner that would affect the ships operation to:**				
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				

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

	1 **Question**	2 **Yes/ No**	3 **IMO references**	4 **Considerations**	5 **Instructions**
Living and Working Environment			*Other relevant references may be added* *Strike out references that are not relevant*	*If answer to question is "yes" identify considerations. If answer is "no" make proper justification*	*Identify how human element considerations should be addressed in the output*
3	**Does the "output" affect the living and working environment?**		*Guidelines on the basic elements of a shipboard occupational health and safety programme* (MSC-MEPC.2/Circ.3) *Guidelines on fatigue* (MSC.1/Circ.1598)		
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 a lack of ventilation in working spaces				
3.5	By affecting the habitability of accommodation spaces owing to noise, vibration, temperatures, dust and other contaminants				

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

	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				

	1 Question	2 Yes/ No	3 IMO references	4 Considerations	5 Instructions
Measures to address the human element			*Other relevant references may be added* *Strike out references that are not relevant*	*If answer to question is "yes" identify considerations. If answer is "no" make proper justification*	*Identify how human element considerations should be addressed in the output*
5	**Does the "output" require changes to:**		*Shipboard technical operating and maintenance manuals* (MSC.1/Circ.1253) *Revised guidelines for the operational implementation of the International Safety Management (ISM) Code by companies* (MSC-MEPC.7/Circ.8)		
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				

ANNEX 7

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.

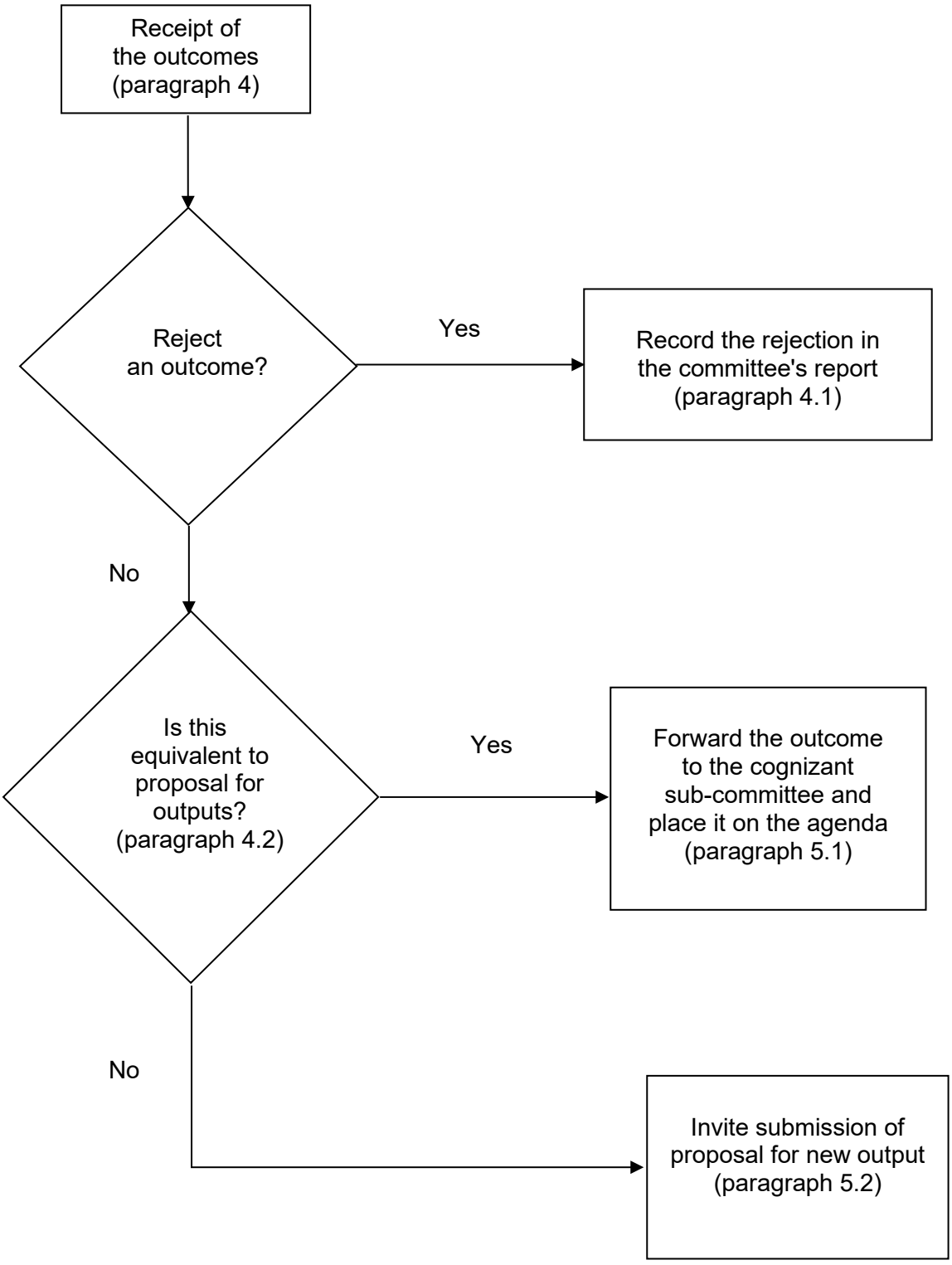


Figure 1 – Flow chart for committees' management of outcomes (i.e. RCOs or other recommendations from an FSA study)

ANNEX 8

FORM FOR PRELIMINARY ASSESSMENT OF PROPOSALS FOR NEW OUTPUTS OR EXPANSION OF THE SCOPE OF AN OUTPUT

Part 1: Proposal

1.1	*Document symbol*	*Document title*
1.2	**Proposal**	*Description of the proposal*

Part 2: Assessment criteria

2.1	Is the subject addressed by the proposal considered to be within the scope of the mission of IMO?	Yes/No
	Additional explanations, if necessary	
2.2	Does the proposal involve the exercise of functions conferred upon the Council/ a committee by or under any international convention or related instrument?	Yes/No
	Additional explanations, if necessary	
2.3	Has a need for the output been justified and documented?	Yes/No
	Additional explanations, if necessary	
2.4	Has an analysis been provided that justifies and documents the practicality, feasibility and proportionality of the proposed output?	Yes/No
	Additional explanations, if necessary	
2.5	Has the analysis of the issue sufficiently addressed both the cost to the maritime industry and the relevant legislative and administrative burdens (see annex 4)	Yes/No
	Additional explanations, if necessary	
2.6	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?	Yes/No
	Additional explanations, if necessary	
2.7	Do adequate industry standards exist or are they being developed?	Yes/No
	Additional explanations, if necessary	
2.8	Has the proposed output been properly specified in SMART terms (specific, measurable, achievable, realistic, time-bound) and, for an output to be completed in more than one session, has a road map been provided?	Yes/No
	Additional explanations, if necessary	

2.9	Does the completed checklist for addressing the human element (see annex 6) demonstrate that the human element has been sufficiently considered and addressed?	Yes/No
	Additional explanations, if necessary	
2.10	Has the initial assessment of capacity-building implications related to proposed new, or amendment of existing, mandatory instruments been adequately addressed, using appendices 1 and 2 to annex 5, as appropriate?	Yes/No
	Additional explanations, if necessary	
2.11	If inclusion of the output in the current biennium is proposed, is this action properly justified?	Yes/No
	Additional explanations, if necessary	
2.12	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?	Yes/No
	Additional explanations, if necessary	

Part 3: Conclusions

3.1	Does the proposal meet the criteria for a new output or the expansion of the scope of an output, as appropriate?	Yes/No
	If the answer is "No", provide justification	
3.2	Does urgency require inclusion in the biennial agenda?	Yes/No
	Additional explanations, if necessary	
3.2	Can the biennial agenda of the Council/ committee and/or the subsidiary body(s) absorb the work?	Yes/No
	Additional explanations, if necessary	

Part 4: Recommendations

4.1	Should the Council/ committee agree to undertake the work?	Yes/No
	If the answer is "No", provide justification	
4.2	Strategic direction	
4.3	Agenda	[Biennial] [Post-biennial]
4.4	Timescale	[Target completion year] [Number of sessions] [Continuous]
4.5	Parent body	
4.6	Coordinating body[6]	
4.7	Associated body	

[6] Refer to criteria set out in paragraph 8.14.

4.8	Instrument(s) to be developed or amended, including those that may require consequential amendments[7]	
4.9	Application provisions (e.g. new/existing ships, new/existing installations etc.)[6]	
4.10	Entry-into-force date of new, or amendments to existing, instrument(s)[6] (specifying if entry into force is required earlier than the four-year cycle)	

Part 5: Additional remarks for further consideration of the committee

Provide text, as appropriate

7 If applicable.