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ORGANIZATION AND METHOD OF WORK OF THE FACILITATION COMMITTEE

- 1 The Facilitation Committee, at its fiftieth session (23 to 27 March 2026), attending to the invitation of C 134 to the Committees to revise their respective methods of work, taking into account its decisions, approved the revised document on *Organization and method of work of the Facilitation Committee*, as set out in the annex.
- 2 Member States and international organizations are invited to apply the annexed document, as appropriate, and to bring it to the attention of their representatives at relevant IMO meetings, advising them to strictly observe it.
- 3 This circular revokes FAL.8/Circ.1.

ANNEX

ORGANIZATION AND METHOD OF WORK OF THE FACILITATION COMMITTEE

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1 INTRODUCTION

Purpose and application

1.1 The purpose of this document is to provide a uniform basis for the Facilitation Committee to conduct its work in an efficient and effective manner and to strengthen the linkage between the Organization's strategy, the work of the committees and the biennial results-based budget with a view to achieving IMO's mission and the priorities over a biennium. This, in turn, will enable the Facilitation Committee to respond successfully to the need for enhanced facilitation of international maritime traffic, thus providing an efficient mechanism towards achieving the desired goals of the Organization.

1.2 Proper application of this document will also enhance the ability of Committee members to cover the full spectrum of IMO activities relevant to its work and thus provide for their effective participation in the rule-making process of the Organization. It is also expected that this document shall enable the Committee to further improve its decision-making functions.

1.3 This document is applicable to the work of the Committee as well as its working groups, drafting groups, correspondence groups, intersessional working and other groups set up by the Committee. The Chairs of the Committee and its working groups, drafting groups and correspondence groups shall make all efforts to ensure strict compliance with this document.

1.4 This document will be kept under review and will be updated as necessary in light of experience gained in its application taking into account the document on *Application of the Strategic Plan of the Organization* (resolution A.1197(34)), as may be amended.

Objectives

1.5 The provisions of this document are aimed at achieving 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 Committee 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 Committee;
- .6 to ensure maximum possible participation by all Member States and by organizations with observer status in the work of the Committee; and
- .7 to establish responsibilities and promote involvement in the planning and reporting processes of the Organization.

2 DEFINITIONS

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 *Strategic Plan* is the Strategic Plan for the Organization for a six-year period as adopted by the Assembly, which includes key strategic directions to enable IMO to achieve its mission.
- .3 *Output* is an item to be delivered by one or more IMO organs during the current biennium or accepted for a subsequent biennium.
- .4 *Agenda* is a list of outputs for discussion at a particular session.
- .5 *Biennial agenda* is a list of outputs to be delivered by an IMO organ during a biennium.
- .6 *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.
- .7 *Parent organ* is the IMO organ responsible for delivering an output.
- .8 *Coordinating organ* is the IMO organ assigned to coordinate the technical work undertaken by associated organ(s).
- .9 *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.
- .10 *Continuous output* is a multiple session output without a target completion year that may be progressed annually or with variable intervals.
- .11 *Road map* is an indicative plan providing the timeline of how an output is envisaged to progress across the Organization.

3 COORDINATION OF WORK

3.1 The Committee should function as a policymaking body and its working, drafting or other groups as purely technical bodies.

3.2 The Committee should routinely examine its outputs, establish priorities, review the allocation of its meeting weeks and approve its biennial and provisional agendas, taking into account any recommendations made by the Committee's Chair as provided in paragraph 3.3.

3.3 The Committee's Chair should, at the end of the first year of the biennium, submit to the Committee a plan covering the activities, priorities and meetings of the Committee for the coming biennium, for consideration in the subsequent year.

3.4 The Committee should regularly review the status of the FAL Convention and other instruments under its purview.

3.5 When an issue is transferred to it by another Committee of the Organization for specific action, the Committee, before including the subject in question in the biennial agenda, should decide that the provisions of section 4, as appropriate, are fully satisfied, even if the issue, in accordance with the criteria of the referring Committee, satisfies the requirements of resolutions A.500(XII), A.777(18) and A.900(21).

4 WORK PLANNING AND DELIVERY PROCESS

Outputs

4.1 The Committee shall identify, in a timely manner, the outputs to be included in the next biennial agenda 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.

4.2 In the process of preparing the next biennial agenda, the following outputs should be included:

- .1 continuous outputs;
- .2 outputs that have not been completed;
- .3 outputs from the post-biennial agenda, subject to the personnel and budgetary resources available; and
- .4 any other proposals for new outputs may be included following their assessment in accordance with the present document.

4.3 While preparing the next biennial agendas, the Committees 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 Committee;
- .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 in the biennial agenda may have on small island developing States (SIDS) and least developed countries (LDCs).

4.4 The biennial agenda of the Committee may be revised during the biennium, taking into account the provisions of paragraph 4.3, if subsequently endorsed by the Council.

¹ The normal action would be for outputs, if accepted, to be placed on the post-biennial agenda, and only in exceptional circumstances would outputs be added to the biennial agenda and the provisional agenda of the subsequent session of the Committee.

4.5 An overview of the Organization's strategic planning process and its steering and reporting flows are shown in diagrams 1 and 2 contained in annex 1 to the document on the *Application of the Strategic Plan of the Organization* (resolution A.1197(34)).

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

4.6 To enable the 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, set out in annex 1 (see also annexes 5 and 6).

4.7 Member States shall refrain from submitting to the Committee proposals for new outputs under specific agenda items. The Secretariat shall not accept such submissions and shall advise the submitting Administrations accordingly.

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

4.9 Follow-up actions in response to specific requests for action emanating from the Assembly and diplomatic conferences convened by IMO, United Nations conferences and bodies, regional intergovernmental conferences and other international and intergovernmental organizations, etc. shall be evaluated in light of paragraph 4.3 of this 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..

Preliminary assessment by the Committee's Chair of proposals for new outputs or the expansion of the scope of an output

4.10 In order to facilitate the consideration of proposals for new outputs or the expansion of the scope of an output by the 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.

4.11 Upon receipt of documents containing proposals for new outputs, the Secretariat should perform a compliance check to ensure the documents meet the requirements specified in paragraphs 4.6 and 6.11.2. Documents not meeting these requirements should not be accepted or further processed by the Secretariat.

4.12 When conducting the preliminary assessment of proposals for new outputs or the expansion of the scope of an output, the Chair should be guided by the criteria set out in part 2 of the form in annex 7.

4.13 The outcome of the Chair's preliminary assessment should be submitted by means of a working paper, which should include the form set out in annex 7 duly completed no later than two weeks before the opening of the relevant session, as a recommendation for consideration and decision.

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

4.14 Before deciding to accept a proposal for a new output or the expansion of the scope of an output, the Committee 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 the Committee by or under any international convention or related instrument?
- .3 Has a need for the new output or the expansion of the scope of an output been justified and documented?
- .4 Has an analysis been provided that justifies and documents the practicality, feasibility and proportionality of the new output or the expansion of the scope of an output?
- .5 Has the analysis of the issue sufficiently addressed both the cost to the maritime industry and the relevant legislative and administrative burdens?²
- .6 Are the benefits (e.g. enhanced facilitation of maritime traffic) that are expected to be derived from the inclusion of the new output or the expansion of the scope of an output clearly stated?
- .7 Do adequate industry standards exist or are they being developed?
- .8 Has the new output or the expansion of the scope of an 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 the inclusion of the new output or the expansion of the scope of an 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?

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

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

4.16 Based on its assessment in accordance with paragraph 4.14, having taken due account of the Chair's appraisal of the proposal in accordance with paragraphs 4.10 to 4.13, the 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 Refer to the checklist in annex 6, which should be completed by all proponents of outputs and attached to their proposals for consideration by the Committee. The Committee may also use the checklist before adopting new, or amending existing, mandatory instruments, in order to satisfy itself that administrative requirements have been minimized to the greatest extent possible.

- .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 for outputs for which extensive work is required, such as the revision of conventions or the preparation of codes, the Chair should be invited to prepare, with the support of the Secretariat, a comprehensive and coherent plan of work in order to inform the Council or the Committee of the full impact of the proposed output before it finalizes its decision on the output;
- .5 the urgency of the proposed action has not been sufficiently justified and, therefore, the output or expansion of its scope should be accepted for inclusion in the next biennium;
- .6 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 its next biennium; or
- .7 the demonstrated need for the output, or the expansion of its scope, 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.

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 workload and resources 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

4.17 Following a decision by the 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".

4.18 Upon a decision by the Committee to include an output in its post-biennial agenda, the Committee shall include the output, and the timescale for completion, in its proposals for the work programme of the next biennium.

4.19 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 is subject to the endorsement of the Council, prior to the initiation of work on such outputs (see also paragraph 4.20).

4.20 The Committee shall report on its decisions on proposals for outputs in its 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.

4.21 In order to ensure transparent and efficient monitoring and reporting on the status of outputs, all reports shall be prepared in accordance with paragraphs 4.24 to 4.26 of this document. The Secretariat should also report to the Council on the status of its Business Plan.

4.22 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 Committees should assess the implications for capacity-building and technical cooperation and assistance, in accordance with the procedures set out in annex 2.

Management, control and reporting

4.23 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 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.

4.24 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 biennial agenda shall – together with the Secretariat's Business Plan – form the basis of the biennial work of the Committee and the budget of the Organization;
- .2 the outputs contained in the provisional and biennial agendas of the Committee 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 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 Committee shall review the relevant output at the end of the biennium to assess the progress made and make a recommendation whether to include it in the next biennial agenda;
- .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 the Committee 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 biennial agenda.

Format and content of reports

4.25 Reports on the status of outputs included in the biennial agenda shall follow format 1 set out in annex 3 and shall constitute or be annexed to the reports of each session of the Committee. Such reports shall identify new outputs accepted for inclusion in the biennial agendas.

4.26 In preparing its own biennial status report, the Committee shall incorporate all reports it has received since its previous report on the status of outputs.

4.27 The Committee shall establish and maintain a post-biennial agenda which shall follow format 2 set out in annex 3. This shall be annexed to the report of each session.

Preparation of the Committee's report

4.28 After consideration of the draft report of the Committee, the Secretariat should prepare the final draft report for publication on the IMO document website IMODOCS. Delegations will have five working days from publication of the final draft report to comment by correspondence. Comments should only address editorial corrections and improvements, including finalizing individual statements, and should not reopen discussion on decisions taken during the session.

4.29 The Chair, supported by the Secretariat, will facilitate the resolution of any comments received, as necessary. After the conclusion of the five-day correspondence period, the Secretariat, in consultation with the Chair, will publish a document on IMODOCS containing the comments received, together with an explanation of how they have been addressed. After the above document has been published, the final report will be prepared in due course for publication on IMODOCS.

Responsibilities

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

4.31 The Chair, Vice-Chair and Secretary of the Committee have a specific responsibility for effective management of the planning and reporting cycle and for consistent and rigorous application of the document on *Application of the Strategic Plan of the Organization* (resolution A.1197(34)) and of this document on organization and method of work.

4.32 In order to fulfil the function in paragraph 4.28, well-established cooperation and coordination is expected between the Chair, Vice-Chair and Secretary of the Committee by all available means, including through face-to-face meetings and teleconferences as deemed necessary.

Consideration and approval of unified interpretations

4.33 Unified interpretations (UIs) shall not be used as a means to circumvent the development process of mandatory requirements. In this context, when considering proposals for UIs concerning requirements of mandatory instruments, the following safeguards shall be observed:

- .1 UIs should not amend mandatory requirements in Conventions and associated instruments;
- .2 UIs should not go beyond the interpretation of mandatory requirements; and
- .3 UIs should not contradict the mandatory requirements;

4.34 In cases where the development of a UI is not appropriate, submission of a proposal for a new output may be required.

4.35 Consensus is to be applied to the decision-making process of UIs by the Committee.

5 WORKING ARRANGEMENTS

Guidance on the selection of outputs for the provisional agenda

5.1 Outputs shall be selected first from the biennial agenda and, where the subsequent session will occur in the coming biennium, from the outputs included in the Committee's post-biennial agenda.

Working, drafting, correspondence and other groups

Working groups

5.2 The Committee should keep the number of working groups formed during its sessions to a minimum; however, a maximum of three working groups may be established, where necessary, bearing in mind the difficulties that small delegations experience in being represented in such groups and the fact that such groups work without interpretation. When a working group has completed its task and has been terminated, no other working group should be convened in its place during the same session.

5.3 Where more than three working groups are needed to deal with different subjects in one session, the Committee should establish an order of priority for possible subject items and decide accordingly. Where more than three unrelated topics need to be covered by independent working groups over several sessions, arrangements may be made for groups concerned to meet at alternate sessions of the Committee within the maximum of three working groups per session.

5.4 In principle, a working group should not have splinter groups. However, where it is necessary to establish one or more splinter groups to facilitate its efficiency, the working group should do so by unanimous agreement, and should consider and agree on the outcome of the splinter group's work before incorporating it in its report. Splinter groups, if established, should meet outside normal working hours, unless the working group decides otherwise in view of the efficiency of the work.

5.5 When appropriate and necessary, working or drafting groups should make full use of the working days of a session in submitting their reports to the Committee. In a hybrid session, working or drafting groups should bear in mind, to the greatest extent possible, the difference in time zones in relation to IMO Headquarters as well as the limitation of IMO hybrid meeting capability. In any case, certain flexibility in the conduct of such groups should be secured with due respect to urgency, priority and workload of the Committee. When working and drafting groups reports are to be prepared during a session, all efforts should be made to keep them as short as possible.

5.6 Permanent working groups should be avoided but, if there is ever a need for such a group, clear justification and appropriate terms of reference should be agreed.

Drafting groups

5.7 In addition to working groups, the Committee may form drafting groups. In no case should more than five groups (e.g. three working and two drafting groups) meet simultaneously during a session. If additional drafting groups are needed, they should meet outside normal working hours.

Other groups

5.8 In addition to working and drafting groups, the Committee may form other groups, such as technical or review groups. Depending on the necessity and urgency of the issue to be considered, such groups may meet in addition to or in lieu of working or drafting groups.

Correspondence groups

5.9 To facilitate the consideration of an issue, correspondence groups may be established by the Committee and instructed to work on a consolidated draft text prepared by a "lead country" or the Secretariat, provided that the Committee has agreed to consider the issue and has approved the terms of reference for the group (see also paragraph 5.20). Thus, through consultation between interested delegations by correspondence, the volume of documents submitted and processed can be reduced.

5.10 Correspondence groups should utilize modern communication technologies to undertake their work. Taking into account the difference in time zones correspondence groups should have the flexibility to convene virtual meetings using a suitable platform with the purpose strictly limited to clarifying any doubts that might hinder the proceeding of the work of the correspondence group.

5.11 The work of a correspondence group (e.g. the receipt and processing of comments and suggestions) should not pre-empt formal consideration of the relevant issue by the Committee or the positions taken by Member States or international organizations participating in the correspondence group.

5.12 In normal circumstances, the Committee should not establish more than three correspondence groups, although this number may be increased where the urgency of the matter under consideration so justifies. Subgroups within a correspondence group should not be established. No official meetings of members of correspondence groups should be held without the prior approval of the Committee.

5.13 Participation in correspondence groups is open to all delegations (Member States and organizations) that can provide the necessary expertise on a timely basis or that have a particular interest in the issue under consideration. Any Member State or international organization can join in the work of the correspondence group once the group is established and the group should accept contributions at any stage of its work.

5.14 When establishing a correspondence group, a "lead country", "lead organization" or, if necessary, the Secretariat should be designated to coordinate the group's work. Responsibilities of the coordinator should include:

- .1 preparation, maintenance and circulation of the list of participants;
- .2 establishment of deadlines for the preparation of draft texts and receipt of comments and proposals concerning them;
- .3 preparation and circulation of draft texts and comments concerning them;
- .4 preparation and submission to the Secretariat of the report of the correspondence group, including any consolidated draft texts (see paragraph 5.18); and
- .5 introduction of the above-mentioned report and consolidated draft texts to the Committee.

5.15 Responsibilities of participants should include:

- .1 active participation in the work of the group;
- .2 compliance with the deadlines established for the submission of comments on draft texts, proposals, etc.; and
- .3 relaying to other group members copies of comments, proposals, etc. submitted to the group coordinator.

5.16 The responsibilities of the Secretariat, in cases where the Secretariat acts as the coordinator, should be the same as those described in paragraph 5.14 above. The Secretariat may also be requested to circulate consolidated draft texts, etc. on behalf of the coordinator.

5.17 The results of work carried out by correspondence groups should normally take the form of a consolidated draft text reflecting the information received from members of the group. Such texts should be accompanied by a succinct report summarizing the work and indicating which members have provided input to the process. Where it has not been possible to prepare an agreed consolidated draft document, the texts or issues on which there was disagreement should be clearly indicated in the draft document or the report, as appropriate.

5.18 Correspondence groups' reports should be submitted to the first session of the Committee after the conclusion of the groups' work, in time to meet the deadline established for consideration of substantive documents, in accordance with the provisions of paragraph 6.11. Normally, the work of the correspondence groups should not overlap with sessions of the Committee. If the group has not finalized its work in time to meet such a deadline, a progress report should be made to the Committee.

Terms of reference of working, drafting, correspondence, intersessional working and other groups

5.19 When working, drafting and other groups are to be established, draft terms of reference should be prepared, following consultations between the Chair of the Committee and the Secretariat, and issued at the beginning of the session for approval by plenary. Such groups may start work on the first morning of the Committee under their draft terms of reference.

5.20 In the case of correspondence or intersessional working groups, their terms of reference should be approved by the Committee at the time of their establishment.

5.21 The agreed terms of reference of working, drafting, correspondence, intersessional working and other groups should not be modified or extended without the Committee's prior consent.

Intersessional working groups

5.22 Subject to approval by the Council, intersessional meetings of working groups may be convened without interpretation services. Intersessional meetings should be held only if considered to be absolutely essential and after careful consideration of their necessity by the Committee on a case-by-case basis, taking into account the priority and urgency of the specific matter that such meetings will be invited to address. Intersessional meetings of such groups should be held at IMO Headquarters immediately before or after an agreed session of the Committee. Other arrangements may be considered; however, no arrangements should be made in respect of an intersessional meeting until such a meeting has been approved by the Committee. Meetings of intersessional working groups, which may include technical groups, should not be held at the same time as Committee sessions.

Remote participation

5.23 All those joining the Committee's meetings using the hybrid meeting capabilities are asked to review Circular Letter No.4627 - Guidance on the use of IMO hybrid meeting capability, and to pay particular attention to the best practices outlined in annex 1 to that circular letter.

6 PROCEDURES FOR PREPARATION AND SUBMISSION OF DOCUMENTS

Preparation of documents

6.1 Documents should be prepared in single spacing and be as concise as possible so as to facilitate their timely processing. In order to enhance the clear understanding of documents, the following should be observed:

- .1 all documents should be preceded by a brief summary prepared in the form, and containing the information, indicated in the table below. Documents – especially proposals for the inclusion of an output – should demonstrate, where feasible, the linkages to the Strategic Plan by including in the summary references to the related strategic direction(s) and output(s):

SUMMARY

<i>Executive summary:</i>	This description should be brief, outlining the proposed objective (an amendment, an Assembly resolution, a circular, information only, etc.), and include information on whether a proposal will have any financial implications for the shipping industry or for the IMO budget.
<i>Strategic direction, if applicable:</i>	A reference should be made to one or more relevant strategic directions in the Organization's Strategic Plan.
<i>Output:</i>	A reference should be made to one or more corresponding output in the biennial's work programme. If there is no corresponding output, an appropriate descriptive text should be included.
<i>Action to be taken:</i>	A reference should be made to the paragraph of the document that states the action to be taken by the Committee.
<i>Related documents:</i>	Other key documents should be listed to the extent that they are known to the originator of the document.

- .2 substantive documents should conclude with a summary of the action that the Committee is invited to take; and
- .3 information documents should conclude with a summary of the information that they contain.

6.2 To facilitate processing, meeting documents should be submitted through the Meeting Document Submission Portal, available on the IMODOCS home page (<https://docs.imo.org>) under the "Submissions" tab.³ All submissions through the Portal will be confirmed via notification to the submitter and their status can be checked on the Portal. For any queries relating to the Portal, please email the Secretariat at: team@imo.org.

6.3 A document should not be introduced in the plenary unless the Chair decides that this is essential for the proper consideration of the matter concerned. The submitter(s) of a document may indicate prior to or when the document is considered if they have additional information or context required for the discussions, in order for the Chair to prioritize interventions.

6.4 Proposed amendments to the FAL Convention which have been approved for adoption by the Committee will no longer be printed on pink paper, but it will be appropriately identified on IMODOCS by background highlighting in pink.

6.5 Documents containing proposed amendments to mandatory instruments should be presented in a format that permits clear identification of the changes being introduced (e.g. use "strikeout" for deleted text and "grey shading" to highlight all modifications and new insertions, including deleted text).

6.6 Reports of the Committee should, in general, contain under each section only:

- .1 a summary of key documents and a list of other documents submitted by Member States, international organizations and the Secretariat;

³ Refer to Circular Letter No.4662 of 16 December 2022.

- .2 a summary of the views expressed during consideration of an item that may have influenced the decision taken by the reporting body (but not allowing the reports to turn into summary records), with statements by delegations included only at their express request during the session; and
- .3 a record of the decisions taken.

6.7 In drafting recommendations, codes or guidelines, cross references should, whenever possible, be made to texts and terminology previously developed by IMO or other organizations. This will avoid unnecessary duplication and reduce the need for excessively detailed provisions and for subsequent harmonization.

6.8 With respect to urgent matters emanating from sessions of IMO bodies other than the Council and the Assembly which have taken place less than 13 weeks before a session of the Committee, the Committee should consider only such urgent matters as may be agreed by the Chair for submission to the Committee.

6.9 All concerned should be continuously aware of the financial and environmental impact of the volume of documentation generated by IMO meetings and should limit, to the greatest possible extent, the number of pages of documents submitted to such meetings. For information, the current arrangements for the production of working papers during meetings are described in annex 4.

6.10 To encourage the action referred to in paragraph 6.9 above, documents other than information documents and reports from the Committee, working, drafting, correspondence and other reporting groups and the Secretariat, and which contain more than 20 pages, should not be translated in their entirety. They should include, for translation purposes, a summary of the document not longer than four pages, with the remaining content submitted as an annex in the language (e.g. English) that it may be needed, for example, by working groups.

Submission of documents

6.11 To ensure that all documents are available on IMODOCS in all three working languages well in time for a session of the Committee, and thus to enable the timely study of documents and promote participation by all Members in the decision-making process of the Committee, the following provisions should apply:

- .1 As a general rule, documents other than information documents and reports from the Committee, working, drafting, correspondence and other reporting groups and the Secretariat should not contain more than 50 pages. In the case of reports from working, drafting or correspondence groups and in other exceptional circumstances, this number of pages may be exceeded, provided that the deadline for receipt of the document by the Secretariat, as specified in sub-paragraphs .2 and .3 below, is extended by one week for every 20 pages exceeding 50 pages.
- .2 Documents containing proposals for inclusion of new outputs should be received by the Secretariat not later than 13 weeks before the opening of the relevant Committee session. They should be published on IMODOCS, in the Organization's three working languages, not later than five weeks before the opening of the session.

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- .3 Documents (including information documents) containing more than six pages of text (bulky documents) should be received by the Secretariat not later than 13 weeks before the opening of the relevant session of the Committee. However, bulky information documents submitted in electronic format may be accepted by the Secretariat if they are received not later than nine weeks before the session concerned. They should be published on IMODOCS, in the Organization's three working languages, except for information documents (which should not be translated), not later than five weeks before the opening of the session.
- .4 Non-bulky documents commenting on those referred to in sub-paragraphs .2 and .3 above, or on items already on the agenda, should be received by the Secretariat not later than nine weeks before the opening of the relevant session of the Committee. They should be published on IMODOCS, in the Organization's three working languages, not later than five weeks before the opening of the session.
- .5 Notwithstanding the provisions of sub-paragraph .4 above, documents commenting on those referred to in sub-paragraphs .2, .3 and .4 above containing four pages or fewer should be processed if received by the Secretariat not later than seven weeks before the opening of the relevant session of the Committee. These documents should start with a paragraph clearly indicating the document on which comments are made and stating that the document is submitted in accordance with the provisions of paragraph 6.11.5 of this document. They should be published on IMODOCS, in the Organization's three working languages, not later than four weeks before the opening of the session.
- .6 Non-bulky information documents should be received by the Secretariat not later than nine weeks before the opening of the relevant session of the Committee. They should not be translated and should be published on IMODOCS not later than five weeks before the opening of the session. No action will be taken on the basis of an information document only, other than to take note of it.
- .7 in the case of basic documents submitted to the Committee reporting on urgent matters emanating from sessions of IMO bodies referred to in paragraph 6.8, which met less than 13 weeks before the Committee session, such basic documents should include as an annex the text (e.g. draft Assembly resolutions, draft MSC circulars, etc.) on which the Committee will be invited to take action.

6.12 The Secretariat should make every effort to ensure the timely posting of documents on the IMO document website. Member States and international organizations should also endeavour to submit documents as early as possible and not simply by the relevant deadlines.

6.13 The Secretariat should strictly apply the rules concerning the submission of documents and not accept late submissions from Member States or delegations. Any exemption from these provisions should have the prior authorization of the Chair of the Committee, following consultations with the Secretariat.

6.14 In exceptional circumstances requiring immediate action by the Committee, a relevant document to that end consisting of no more than four pages should be received by the Secretariat not later than nine weeks before the opening of the session of the Committee and be published on IMODOCS, in the Organization's three working languages, not later than five weeks before the opening of the session. The Committee would consider such a document, if it so decides, at the opening of its session.

Additional considerations

6.15 Submissions to the Committee highlighting problems or shortcomings identified in a particular area(s) of facilitation or ship/port interface should, in general and where possible, also suggest appropriate solutions.

6.16 The human element is complex and multidimensional. It affects the facilitation of international maritime traffic. The Committee and its working groups should consider the human element whenever new requirements are developed and existing requirements are reviewed, by taking into account human element principles, as set out in the annex to resolution A.947(23) on *Human element vision, principles and goals for the Organization*.

6.17 Outputs for which extensive work is required, such as the preparation of new codes, should, when appropriate, be placed on the provisional agendas of alternate sessions of the Committee to allow adequate time for preparatory work by delegations.

6.18 In respect of subjects requiring research, contributions from other organizations and appropriate entities should be encouraged and taken into account. Exchange of information on technological developments should be encouraged.

6.19 In the context of resolution A.911(22) on *Uniform wording for referencing IMO instruments*, the Committee and its working groups should be guided in their work, as appropriate, by the guidelines annexed thereto.

6.20 Substantial modifications of draft amendments to mandatory instruments being considered by the Committee with a view to adoption should be accepted for discussion only if they have been submitted in writing. However, in exceptional circumstances where the draft amendments under consideration include significant discrepancies or omissions, or where serious difficulties in their application can be foreseen, the Committee may accept to discuss oral proposals aimed at resolving any problems identified.

7 OBSERVANCE OF THIS DOCUMENT

This document shall be observed strictly. Such observance will assist delegations in preparing adequately for each meeting and enhance their participation in the debate and decision-making process during meetings. It will also relieve delegations from experiencing difficulties when developing national positions on subjects on the agenda of the Committee. In order to promote efficiency in the conduct of work overall, Committee members shall ensure that their colleagues attending sessions of other committees are fully informed of the outcome of the meeting that they have attended. Committee members shall also ensure that their experts attending meetings of working groups, drafting groups or correspondence groups are adequately informed and instructed about any action necessary to give effect to decisions made by the Committee.

ANNEX 1

INFORMATION REQUIRED IN SUBMISSIONS OF PROPOSALS FOR INCLUSION OF AN OUTPUT

- .1 **IMO's 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 a proposed output in terms of the risks or hazards deemed necessary to be addressed; 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 wide as possible all affected stakeholders including, but not limited to, seafarers, ship owners 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 2).
- .5 **Benefits:** Provide evidence that the benefits in terms of enhancing facilitation 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 take more than one session of the Committee, 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.
- .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, 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 Committee.
- .11 **Attachments:** Where required, provide the following information along with the proposal:
- .1 initial assessment of capacity-building implications (see annex 2, appendix 1);
 - .2 checklist for considering and addressing the human element (annex 5, appendix);
 - .3 checklist for identifying administrative requirements (annex 6); and
 - .4 a road map (see item 7 above).

ANNEX 2

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) 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, particularly of 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 amendment 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 The procedure does 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 purposes of this procedure, 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 this procedure is to give effect to resolution A.998(25) aimed at enhancing efforts to promote universal implementation of IMO mandatory instruments.

3.2 This procedure is 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 the 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 This procedure applies to the FAL Committee and constitutes a specific implementation response to resolution A.998(25).

3.4 This procedure aims 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 working group of the 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.

4.3 At the adoption stage of new or amended instruments, the Committee may instruct a drafting group to:

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

- .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?
 - Does equipment manufacturing capacity exist internationally?
 - Do equipment repair/servicing facilities exist internationally?
 - 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 enhancement of existing systems?
 - Does capacity exist internationally to develop new systems?
- ☐ Is there a need for additional training of seafarers?
 - Do related and validated training courses exist?
 - Are sufficient simulation training courses available internationally?
- ☐ Will there be a requirement for new equipment?
 - 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 3

FORMAT 1: BIENNIAL STATUS REPORT

FAL COMMITTEE									
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 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 related 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 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 in the post-biennial agenda;
 - "extended" signifies that further work is necessary and that the output will not be finalized as planned; and
 - owing 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 AGENDA OF THE COMMITTEE

FAL 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 4

CURRENT ARRANGEMENTS IN THE SECRETARIAT FOR THE PRODUCTION OF WORKING PAPERS DURING MEETINGS

1 The details of how to handle the preparation of working papers produced during meetings, which are agreed at the coordination meeting held between the Conference Division (CD) and the relevant technical division(s) during the week preceding each meeting, will be conveyed by the secretary of the IMO body to the Chair of that body, as well as the Chairs of the working and drafting groups.

2 To ensure that all working papers, including the draft report, are available in all three working languages, all these documents should be as concise as possible, with a limited number of pages containing new text. The following provisions should apply:

.1 Advance text

Whenever possible, for working/drafting group reports, advance text should be provided to the translation sections. This could be whole annexes or documents prior to the meeting, or parts thereof submitted as the work of the groups' progresses.

.2 Final text

Final text should be delivered to the translation sections as early as possible in the course of the meeting week, as follows:

.1 Working papers – these should be delivered not later than 9 a.m. on the day of the report night, so that they may be processed during the day shift.

.2 Draft report – the night shift is to be dedicated to the processing of the draft report and will end at 1 a.m. on the following day. In order to meet the established deadline, items for the draft report not delivered throughout the week should be sent to the translation sections as early as possible on the report night, with the last remaining item to be delivered not later than 11 p.m.

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 a new output

3.2 A proposal for a new output shall involve completion of the checklist set out in the appendix of this procedure and its provision to the relevant Committee as per annex 1 to this document.

3.3 Any human element considerations shall be identified in 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 those 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 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		<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>
1	Does the "output" affect workload?				
1.1	On board, especially in the already intensive phases of the voyage and port operations to:		<i>Revised guidelines for the operational implementation of the International Safety Management (ISM) Code by Companies (MSC-MEPC.7/Circ.8)</i> <i>Guidelines on fatigue (MSC.1/Circ.1598)</i> <i>Principles of minimum safe manning (resolution A.1047(27))</i> <i>Guidelines for the investigation of accidents where fatigue may have been an issue (MSC/Circ.621)</i>		
1.1.1	Operations including navigation, cargo and engineering				
1.1.2	Maintenance of the ships structure and its equipment				
1.1.3	Onboard administration in support of the ships' 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		<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>
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 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		<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>
4	Does the "output" affect the operation and maintenance of the ship, its structure or systems and equipment?		<i>Revised guidelines for the operational implementation of the International Safety Management (ISM) Code by Companies (MSC-MEPC.7/Circ.8)</i> <i>Guidelines for bridge equipment and systems, their arrangement and integration (BES) (SN.1/Circ.288)</i> <i>Principles of minimum safe manning (resolution A.1047(27))</i> <i>Issues to be considered when introducing new technology on board ships (MSC/Circ.1091)</i> <i>Guideline on software quality assurance and human-centred design for e-navigation (MSC.1/Circ.1512)</i> <i>Guidelines for the standardization of user interface design for navigation equipment (MSC.1/Circ.1609)</i>		

	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 6

CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS

This checklist should be used when preparing the analysis of implications required in submissions of proposals for the inclusion of outputs. The Committee may also use this checklist before adopting new, or amending existing, mandatory instruments, in order to satisfy itself that administrative requirements have been minimized to the greatest extent possible. For the purpose of this analysis, the term "administrative requirements" 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, etc.	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, etc.	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, etc.	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, etc.	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 7

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

Part 1: Proposal

1.1	<i>Document symbol</i>	<i>Document title</i>
1.2	Proposal	<i>Description of the proposal</i>

Part 2: Assessment criteria

2.1	Is the subject addressed by the proposal considered to be within the scope of the mission of IMO? <i>Additional explanations, if necessary</i>	Yes/No
2.2	Does the proposal involve the exercise of functions conferred upon a Committee by or under any international convention or related instrument? <i>Additional explanations, if necessary</i>	Yes/No
2.3	Has a need for the output been justified and documented? <i>Additional explanations, if necessary</i>	Yes/No
2.4	Has an analysis been provided that justifies and documents the practicality, feasibility and proportionality of the proposed output? <i>Additional explanations, if necessary</i>	Yes/No
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 6) <i>Additional explanations, if necessary</i>	Yes/No
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? <i>Additional explanations, if necessary</i>	Yes/No
2.7	Do adequate industry standards exist or are they being developed? <i>Additional explanations, if necessary</i>	Yes/No
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? <i>Additional explanations, if necessary</i>	Yes/No

2.9	Does the completed checklist for addressing the human element (see annex 5) demonstrate that the human element has been sufficiently considered and addressed?	Yes/No
	<i>Additional explanations, if necessary</i>	
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 2, as appropriate?	Yes/No
	<i>Additional explanations, if necessary</i>	
2.11	If the inclusion of the output in the current biennium is proposed, is this action properly justified?	Yes/No
	<i>Additional explanations, if necessary</i>	
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
	<i>Additional explanations, if necessary</i>	

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
	<i>If the answer is "No", provide justification</i>	
3.2	Does urgency require inclusion in the biennial agenda?	Yes/No
	<i>Additional explanations, if necessary</i>	
3.3	If the answer to the previous question is a "Yes", can the provisional agenda of the subsequent session of the Committee and/or the subsidiary body(s) absorb the work?	Yes/No
	<i>Additional explanations, if necessary</i>	

Part 4: Recommendations

4.1	Should the Committee agree to undertake the work?	Yes/No
	<i>If the answer is "No", provide justification</i>	
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 ⁴	
4.7	Associated body	

⁴ Refer to criteria set out in paragraph 4.25.

4.8	Instrument(s) to be developed or amended, including those that may require consequential amendments ⁵	
4.9	Application provisions (e.g. new/existing ships, new/existing installations etc.) ⁵	
4.10	Entry-into-force date of new, or amendments to existing, instrument(s) ⁵ (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

⁵ If applicable.