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TRAINING AND WATCHKEEPING
7th session
Agenda item 4

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ROLE OF THE HUMAN ELEMENT

Proposal for a revised IMO checklist for considering and addressing human element issues and associated amendments to MSC-MEPC.1/Circ.5/Rev.1

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SUMMARY

Executive summary: This document proposes a revised *Checklist for considering human element issues by IMO bodies* (MSC-MEPC.7/Circ.1) and an enhanced process for its use as part of the consideration of human element issues by IMO bodies

Strategic direction, if applicable: 6

Output: 6.15

Action to be taken: Paragraph 15

Related documents: HTW 6/7/2 and HTW 6/13

1 The sixth session of the Sub-Committee on Human Element, Training and Watchkeeping (HTW 6) considered document HTW 6/7/2, providing information on the recent use of the *Checklist for considering human element issues by IMO bodies* (MSC-MEPC.7/Circ.1), and assessing its contribution to establishing a structured approach for the proper consideration of human element issues by IMO bodies. It also discussed the possible need to review the specific questions in the checklist and associated guidance and instructions, and recommended that it may now be the appropriate time to review the:

- .1 specific questions in the checklist (i.e. annex to MSC-MEPC.7/Circ.1).
- .2 guidance and instructions associated with the checklist (i.e. MSC-MEPC.7/Circ.1 and annex); and
- .3 guidance on the process that requires completion of the checklist (i.e. relevant provisions of the *Organization and method of work of the Maritime Safety Committee and the Marine Environment Protection Committee and their subsidiary bodies* (MSC-MEPC.1/Circ.5/Rev.1)).

2 Following consideration at HTW 6, the Sub-Committee agreed that the checklist and associated guidance and instructions should be reviewed, and invited MSC 102 to endorse that this work be carried out under the output on the "Role of the human element" (HTW 6/13, paragraph 7.14).

3 The co-sponsors have submitted this document to progress the discussion on the structured approach for the proper consideration of human element issues by IMO bodies and is intended to serve as a starting point for discussions at HTW 7.

Discussion

4 The co-sponsors have conducted a review of the *Checklist for considering human element issues by IMO bodies* (MSC-MEPC.7/Circ.1), which contains the current checklist in its annex, and the relevant provisions of the *Organization and method of work of the Maritime Safety Committee and the Marine Environment Protection Committee and their subsidiary bodies* (MSC-MEPC.1/Circ.5/Rev.1), with a view to identifying the current process for the consideration of human element issues by IMO bodies.

5 The co-sponsors note the following with regard to MSC-MEPC.7/Circ.1:

- .1 the primary purpose and use of the checklist is stated as: "This checklist should be completed by all relevant IMO bodies before approving or adopting amendments to mandatory and non-mandatory IMO instruments";
- .2 a secondary purpose and use of the checklist is stated as: "Member Governments are also encouraged to complete this checklist before submitting proposals for development or amendments to IMO instruments and submit a completed checklist accompanying relevant proposals"; and
- .3 question "6" of the current checklist asks: "At some point, before final adoption, has the solution been reviewed or considered by a relevant IMO body with relevant human element expertise?".

6 The co-sponsors note the following with regard to MSC-MEPC.1/Circ.5/Rev.1:

- .1 the document provides detailed guidance on work planning and delivery process, including on the submission of proposals for new outputs, assessment of proposals for outputs and coordination of work on outputs;
- .2 the document references the current checklist in the main body of the document, in its paragraph 4.15.9 and annex 1, which establishes that a checklist should be completed and attached to any proposal for a new output; and
- .3 the document states that it is to be kept under review and updated as necessary in light of experience gained in its application.

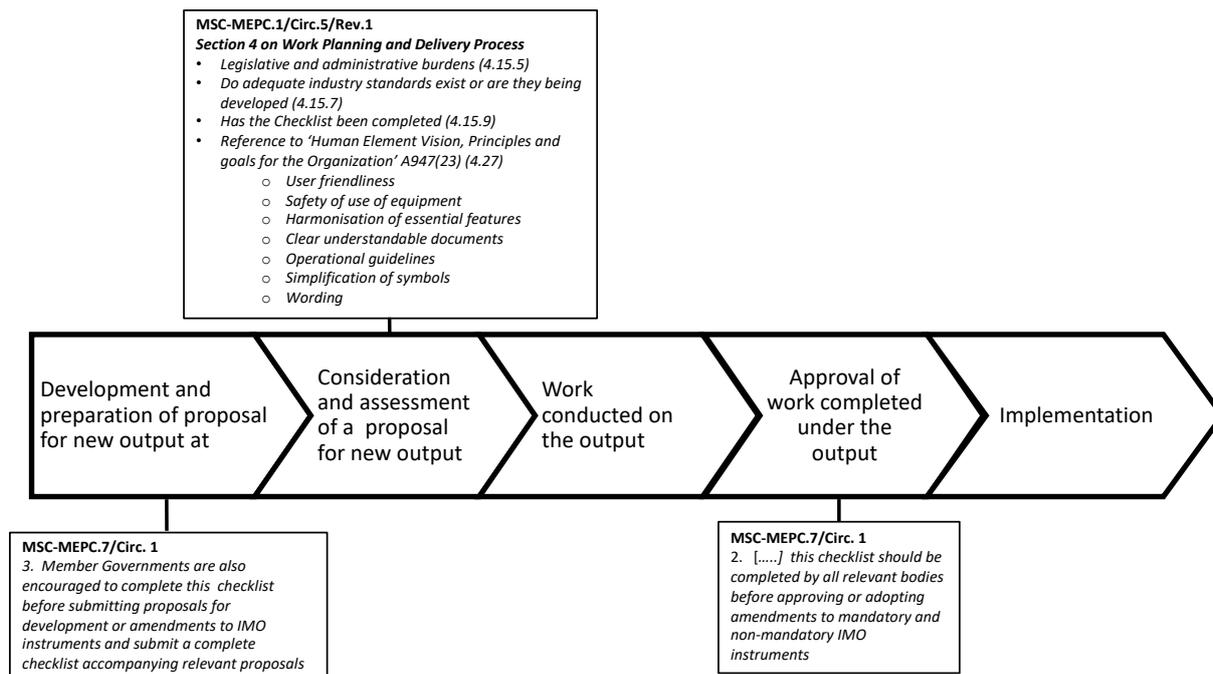


Figure 1: Current use of checklist

7 Based on analysis of the above, the co-sponsors consider that:

- .1 the secondary purpose of the checklist as stated in MSC-MEPC.7/Circ.1 has now become its sole and primary use because of the process established in MSC-MEPC.1/Circ.5/Rev.1 (see also analysis in document HTW 6/7/2);
- .2 there is an inconsistency between MSC-MEPC.7/Circ.1 and MSC-MEPC.1/Circ.5/Rev.1 because the former states that the checklist should be completed at the point of approving or adopting amendments to mandatory and non-mandatory IMO instruments (also evidenced by the document being written in the past tense) whereas the latter establishes that the checklist is only required to be completed at the point of proposing a new output;
- .3 the process established in MSC-MEPC.1/Circ.5/Rev.1 means that human element issues are only considered at the beginning of the process with no assurance that any human element issues that may have been identified in the checklist were subsequently taken into account or addressed; and
- .4 consideration of human element issues at the beginning of the process has the advantage of identification of issues to address prior to commencing work on an output, but equally, consideration of human element issues at the time of finalization of work on an output has the advantage of ensuring that any issues that may have been identified in the checklist were subsequently taken into account or addressed.

8 The co-sponsors have concluded that the current process for consideration of human element issues could be enhanced by:

- .1 Providing the process, checklist and associated guidance in a single document in order to facilitate understanding and use, ensure any inconsistencies can be easily identified and avoided, and facilitate the ease of making future changes as and when needed.

- .2 Requiring the checklist to be fully completed and annexed to the proposal for an output, requiring it to be taken into account and any issues addressed during the work on the output, and reviewed upon finalization of work on the output to check that all issues have been fully addressed.
- .3 Ensuring that the use of the checklist to support the consideration of human element issues by IMO bodies requires the involvement of sufficient human element expertise during the completion of the checklist, proper assessment by the Chairs of the Committees and IMO Members at the point of considering the proposal for a new output, and subsequently commitment to addressing any issues identified in the completed checklist during the work on the output.

9 Therefore, the co-sponsors have developed a revised checklist and an enhanced process for its use as part of the consideration of human element issues by IMO bodies.

10 The revised checklist was developed using some general principles and approaches:

- .1 questions should be risk based;
- .2 language should be clear, easy to understand and follow;
- .3 format should reflect the enhanced process and facilitate its use;
- .4 scope should promote holistic consideration of the human element;
- .5 relevant existing IMO documents should be referenced in the checklist to encourage their use during consideration of human element issues; and
- .6 guidance should be provided to assist with the consideration of human element issues and completion of the checklist.

11 The proposed amendments to MSC-MEPC.1/Circ.5/Rev.1 were developed in a manner that sought to make use of the existing structure and sections of the document as far as possible.

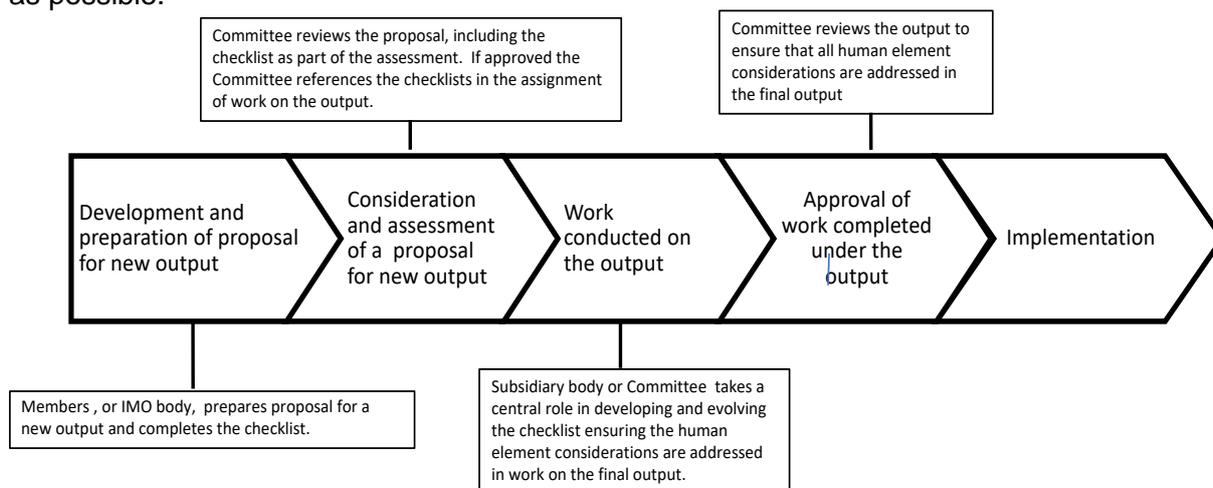


Figure 2 – Proposed enhanced process and use of checklist

Proposal

12 The co-sponsors propose:

- .1 a draft new annex to MSC-MEPC.1/Circ.5/Rev.1 containing a revised checklist and associated guidance; and
- .2 draft amendments to the main body of MSC-MEPC.1/Circ.5/Rev.1 to set out the enhanced process for using the revised checklist as part of the consideration of human element issues by IMO bodies, and introduce the above-mentioned new annex.

13 The annex of the document provides the above proposed amendments to MSC-MEPC.1/Circ.5/Rev.1 using shaded text and strikethroughs to illustrate the changes. Some sections and annexes that are not the subject of amendment are replaced with "[...]" to reduce the length of the document.

14 If it is agreed that a revised checklist can be included as part of an annex to MSC-MEPC.1/Circ.5/Rev.1, the co-sponsors propose that it should be recommended to the Committees that MSC-MEPC.7/Circ.1 can be revoked.

Action request of the Sub-Committee

15 The Sub-Committee is invited to consider the comments and proposals in paragraphs 12, 13 and 14, and take action as appropriate.

ANNEX

ORGANIZATION AND METHOD OF WORK OF THE MARITIME SAFETY COMMITTEE AND THE MARINE ENVIRONMENT PROTECTION COMMITTEE AND THEIR SUBSIDIARY BODIES

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1 INTRODUCTION

Purpose and application

1.1 The purpose of this document is to provide a uniform basis for the Maritime Safety Committee (MSC) and the Marine Environment Protection Committee (MEPC) and their subsidiary bodies to conduct their 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 budget, with a view to achieving IMO's mission over a biennium. This in turn will enable the Committees to respond successfully to the needs for enhanced maritime safety, maritime security and protection of the marine environment, thus providing an efficient mechanism towards achieving the desired goals of the Organization.

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

1.3 The document is applicable to the work of the Committees and their subsidiary bodies as well as to that of working, drafting and correspondence, intersessional working and other groups set up by these bodies. The Chairs of the Committees, subsidiary bodies, and working, drafting, intersessional working and other groups as well as coordinators of correspondence groups should make all efforts to ensure strict compliance with the document.

1.4 The document will be kept under review and will be updated as necessary in the light of experience gained in its application, taking into account the document on *Application of the Strategic Plan of the Organization* (resolution A.1111(30)).

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 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 Committees and their subsidiary bodies;
- .6 to ensure maximum possible participation by all Member States and by organizations with observer status in the work of the Committees and their subsidiary bodies; and
- .7 to establish responsibilities and promote involvement in the planning and reporting processes.

2 DEFINITIONS

For the purpose of this document, the following definitions apply:

- .1 *IMO organs* are the 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 meeting.
- .5 *Biennial agenda* is a list of outputs to be delivered by a Committee or subsidiary body during a biennium.
- .6 *Post-biennial agenda* is a list of outputs accepted by the Committees in one biennium that are to be delivered or initiated in the next biennium.

3 COORDINATION OF WORK

3.1 The Committees should function as policy-making bodies and their subsidiary bodies as purely technical bodies.

3.2 The Committees should routinely examine their outputs, allocate work to their subsidiary bodies, review the allocation of meeting weeks to each body and approve their respective biennial and provisional agendas, taking into account any recommendations made by meetings of the Committees' and subsidiary bodies' Chairs, convened as provided in paragraph 3.4.

3.3 The Committees should regularly review the status of all conventions, protocols and other major instruments under their purview.

3.4 The Committee Chairs may convene a meeting of Chairs of the Committees' subsidiary bodies at least once a year. This meeting should preferably take place at the spring session of MSC or MEPC, to advise the Committees on subjects such as those referred to in paragraph 3.2, ensure coordination of the work and examine other matters pertinent to the effective conduct of business and management of the work of the Committees and their subsidiary bodies.

3.5 The Committee Chairs should, at the end of the first year of the biennium, submit to their respective Committees a joint plan covering the activities, priorities and meetings of the Committees and their subsidiary bodies for the coming biennium, for consideration in the subsequent year.

3.6 When both Committees have been charged by the Council, Assembly or a conference with considering a specific item and one Committee has finalized its consideration, the other Committee should consider it at its first subsequent session.

3.7 When an issue is transferred to one of the Committees 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 Committees shall identify, in a timely manner, the outputs to be included in the list of outputs for the next biennium, and the Secretariat should develop its Business Plan, as such identification provides a basis for making an estimate of the budget required for that biennium.

4.2 In the process of constructing the list of outputs for the next biennium, the following should be included:

- .1 continuous and annual outputs within the current list of outputs;
- .2 outputs that have not been completed;
- .3 outputs from the post-biennial agenda, subject to resource availability; and
- .4 any other proposals for new outputs, following their assessment in accordance with the provisions in paragraph 4.6.

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

- .1 the specific necessity for an output to be started during the current biennium;¹
- .2 the potential impact that the inclusion of an output in the biennial agenda may have in the timely delivery of outputs during the biennium;
- .3 the potential impact that the inclusion of an output may have on the workload of the Committees and their subsidiary bodies delivering the output;
- .4 the personnel and budgetary resources available;
- .5 the potential adverse impacts on the ability of the Organization to meet its objectives if a decision is made not to accept a proposal for inclusion of an output in the biennial or post-biennial agendas; and
- .6 the potential impact that the inclusion of an output may have on small island developing States (SIDS) and the least developed countries (LDCs).

4.4 Outputs may be revised during the biennium by the Committees, taking into account the provisions of paragraph 4.3, if subsequently endorsed by the Council.

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 biennial agenda and current list of outputs.

4.5 The overview of the Organization's overall planning hierarchy and its links to related processes, and of the Organization's strategic planning process and its related planning and reporting flows during the course of a biennium are shown in diagrams 1 and 2 contained in annex 1 to the document on *Application of the Strategic Plan of the Organization* (resolution A.1111(30)).

Submission of proposals for new outputs

4.6 To enable the Committees 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 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 4.3 also apply to the outcomes of an FSA study that may be regarded by the Committees as proposals for new outputs (see also paragraph 4.17).

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

4.9 Proposals for new outputs shall not be submitted to a subsidiary body. A subsidiary body shall not undertake work on outputs or expand the scope of outputs unless directed or authorized to do so by its parent organ.

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

4.11 Proposals for the inclusion of outputs submitted to the Committees by non-governmental organizations shall be co-sponsored by Member States.

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

4.13 In order to facilitate the consideration of proposals for new outputs by the Committees, the Chair of the Committee concerned should undertake a preliminary assessment of such proposals. The Chair should, for that purpose, be supported by the Vice-Chair and the Secretariat and should consult the Chair of any subsidiary body concerned.

4.14 The outcome of the preliminary assessment should be submitted to the Committee concerned for consideration and approval, and should include the appraisal by the Chair of:

- .1 whether the proposal complies with the requirements for the submission of proposals for outputs, as specified in paragraph 4.6;
- .2 whether the proposal complies with the criteria specified in paragraph 4.15;
- .3 whether the demonstrated need of the proposal requires its inclusion on the biennial agenda; and, if so,

- .4 whether the agenda of the Committee can absorb the work associated with the output.

Assessment of proposals for outputs

4.15 Before deciding to accept a proposal for a new output, the Committee concerned shall carry out an assessment of the proposal against the following criteria:

- .1 Is the subject addressed by the proposal considered to be within the scope of the mission of IMO?
- .2 Does the proposal involve the exercise of functions conferred upon a Committee by or under any international convention or related instrument?
- .3 Has a need for the output been justified and documented?
- .4 Has an analysis been provided that justifies and documents the practicality, feasibility and proportionality of the proposed output?
- .5 Has the analysis of the issue sufficiently addressed both the cost to the maritime industry and the relevant legislative and administrative burdens?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?
- .7 Do adequate industry standards exist or are they being developed?
- .8 Has the proposed output been properly specified in SMART terms (specific, measurable, achievable, realistic, time-bound)?
- .9 Does the completed checklist for addressing ~~considering~~ the human element ~~issues by IMO bodies (see annex 5), as set out in MSC-MEPC.7/Circ.1,~~ demonstrate that the human element has been sufficiently ~~considered and~~ addressed?
- .10 If inclusion of the output in the current biennium is proposed, is this action properly justified?
- .11 Would a decision to reject or postpone the commencement of the work in relation to the proposal pose an unreasonable risk to the Organization's overall mission?

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

4.17 Paragraph 4.15 above is also applicable to the outcome of an FSA study (see also paragraph 4.7). Annex 6 provides guidance for considering and reviewing the outcomes of FSA studies.

² Refer to the checklist in annex 65, which should be completed by all proponents of outputs and attached to their proposals for consideration by the Committees. The Committees may also use the 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.

Decision on acceptance and inclusion of outputs

4.18 Based on its assessment in accordance with paragraph 4.15, having taken due account of the Chair's appraisal of the proposal in accordance with paragraphs 4.13 and 4.14, a Committee may decide that:

- .1 the proposal is not within the scope of the mission of the Organization and should not, therefore, be accepted for inclusion;
- .2 the need has not been sufficiently demonstrated and therefore the output should not be included;
- .3 the human element has not been sufficiently considered and addressed, and therefore the output should not be included;
- ~~3.4~~ for outputs for which extensive work is required, such as the revision of conventions or the preparation of codes, the Chair of the associated body, or the coordinating body if applicable, should be invited, with the support of the Secretariat, to prepare a comprehensive and coherent plan of work in order to inform the Committee of the full impact of the proposed output before it finalizes its decision on the output;
- ~~4.5~~ the urgency of the proposed action did not justify inclusion within the current biennium, and therefore accept the output for inclusion in the next biennium;
- ~~5.6~~ the implications for the present workload of the Organization are unacceptable within the current biennium, and therefore accept the output for inclusion in the next biennium; or
- ~~6.7~~ the demonstrated need for the output is such that it should be included, together with a target date for completion, in the biennial agenda, provided it is satisfied that the implications for the workload and planning are acceptable.

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	Implication of workload and planning are acceptable within the current biennium	Accept output for inclusion within the current biennium
				Implications for the present workload of the Organization are unacceptable within the current biennium	Accept output for inclusion in the next biennium
	Demonstrated	Demonstrated	Not Justified	Acceptable to next biennium	Accept output for inclusion in the next biennium
	Not demonstrated	Not demonstrated	Not Justified	No need to further consider	Output not to be accepted for inclusion
Outside the mission of the Organization	No need to further consider	No need to further consider	No need to further consider	No need to further consider	Output not to be accepted for inclusion

4.19 Following a decision by 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".

4.20 Upon a decision by a Committee to include an output in its post-biennial agenda, the Committee shall include the accepted output, and the timescale for completion, in its proposals for the list of outputs for the next biennium.

4.21 The Committees shall report on their decisions on proposals for outputs in their regular reports to the Council, for endorsement and in order to facilitate the monitoring of the delivery of current biennial agendas and the planning of future work.

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, initiated on acceptance of a proposal for an output concerning new, or amendments to existing, mandatory instruments, against the criteria for identification of capacity-building implications, set out in annex 2.

Decision on inclusion of outputs in the biennial agenda of subsidiary bodies

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

Coordination of outputs included in the agenda of more than one subsidiary body

4.24 In deciding to include an output on the agenda of more than one subsidiary body, the Committee 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 year;
- .3 ensure that only those subsidiary bodies essential for the completion of the work will be involved, in order to avoid superfluous work and documentation;
- .4 ensure that the work is included in the biennial agendas of all the subsidiary bodies concerned;
- .5 ensure that all the subsidiary bodies concerned are provided with the instructions related to the output, including the completed checklist for addressing the human element (see annex 5) for consideration during their inputs to the work;
- ~~.5.6~~ ensure that the coordinating subsidiary body reports to its parent organ(s) on the status of the work; and

- ~~6.7~~ for interrelated outputs contributing to the same overall objective, designate the subsidiary body to oversee the consistency of the work on those outputs.

Additional considerations

4.25 Submissions to the Committees or subsidiary bodies highlighting problems or shortcomings identified in a particular area(s) of maritime safety, maritime security or protection of the marine environment should, in general and where possible, also suggest appropriate solutions.

4.26 When new constructional requirements have been proposed for new ships, the Committees and subsidiary bodies should, in order to minimize the unavoidable gaps in safety standards between new and existing ships, consider applying the proposed new requirements, or any modifications to them, to existing ships using the *Interim guidelines for the systematic application of the grandfather clauses* (MSC/Circ.765-MEPC/Circ.315).

4.27 ~~Recognizing that~~ The human element is complex and multi-dimensional. It affects ~~factor~~ ~~as an integral part of any effort to enhance~~ maritime safety, maritime security and ~~or~~ protection of the marine environment.; ~~that~~ The Committees and subsidiary bodies should consider the human ~~factor~~ element whenever new requirements are developed and existing requirements are reviewed, by taking into account the human element principles, as set out in the annex to resolution A.947(23) on *Human element vision, principles and goals for the Organization.*.; ~~particularly when:~~

- ~~.1~~ ~~reviewing the adequacy of requirements and recommendations for equipment and operating manuals on board ships, including the simplification and standardization of terminology; in this respect, when developing new or amending existing performance standards, careful consideration should be given to including recommendations on:~~
 - ~~.1~~ ~~user-friendliness;~~
 - ~~.2~~ ~~safety of use of the equipment;~~
 - ~~.3~~ ~~harmonization of essential safety features of the equipment; and~~
 - ~~.4~~ ~~the need for clear, easily understandable and updated operating and technical manuals and drawings;~~
- ~~.2~~ ~~reviewing the adequacy of requirements and recommendations for operational guidelines on board ships, in particular with respect to their being easily understandable;~~
- ~~.3~~ ~~continuing the simplification and standardization of symbols and signs used on board ships; and~~
- ~~.4~~ ~~identifying words and phrases used in IMO instruments such as "adequate", "sufficient", "to the satisfaction of the Administration", etc. and determining the extent to which they can be more specifically defined.~~

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

4.29 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 development should be encouraged.

4.30 In the context of resolution A.911(22) on *Uniform wording for referencing IMO instruments*, subsidiary bodies should be guided in their work, as appropriate, by the guidelines annexed thereto.

4.31 Substantial modifications of draft amendments to mandatory instruments being considered by the Committees 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 Committees may accept to discuss oral proposals aimed at resolving any problems identified.

Management, control and reporting

4.32 In implementing the list of outputs, proper management and control mechanisms shall be in place to ensure that:

- .1 biennial agendas and agendas are both clearly linked to the Strategic Plan, including the list of outputs;
- .2 the objectives of the Strategic Plan can be met within the resource constraints of the Organization and its membership;
- .3 the Organization's response to changes in the environment within which it operates is consistent with the Strategic Plan; and
- .4 monitoring and reporting are such that progress on biennial agendas is explicitly linked to progress made on outputs.

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

- .1 the list of outputs shall – together with the Secretariat's Business Plan – form the basis of the biennial work of all the IMO organs and the budget of the Organization;
- .2 the items contained in the agendas and biennial agendas of all IMO organs shall all be outputs in the list of outputs or included in the Secretariat's Business Plan;
- .3 the biennial agendas of the Committees and their subsidiary bodies shall follow format 1 set out in annex 3 and should be annexed to the reports of each session;
- .4 for outputs with target completion dates within the current biennium, the biennial agenda shall specify the planned year of completion and include any tasks that are to be completed on an annual basis;
- .5 for an action that is expected to take more than one biennium to complete, the list of outputs shall specify the planned year of completion; the responsible Committee shall review the relevant output at the end of the biennium to assess the progress made and make a recommendation on whether to include it in the next list of outputs;

- .6 continuous items are discouraged, but in those cases where they are deemed unavoidable it is still necessary for them to be given a "SMART" definition so that progress during the biennium can be assessed; and
- .7 documents submitted to the Committees and their subsidiary bodies shall clearly demonstrate the direct relation between the proposals they contain and the output to be delivered under the relevant agenda item, on the basis of the list of outputs.

4.34 Reports on the status of outputs included in the list of outputs shall follow format 1 set out in annex 3, and shall be annexed to the reports of each session of the Committees and their subsidiary bodies.³ Such reports shall identify new outputs accepted for inclusion in the biennial agendas.

4.35 In preparing their own reports, the Committees and their subsidiary bodies shall incorporate all reports they have received since their previous report on the status of outputs.

4.36 The Committees shall establish and maintain post-biennial agendas which should follow format 2 set out in annex 3. These shall be annexed to the reports of each session. For planning purposes, the subsidiary bodies shall also maintain a list of the accepted outputs in the Committees' post-biennial agendas for outputs under their purview.

Responsibilities

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

4.38 Accordingly, the Chairs, Vice-Chairs and Secretaries of the Committees and their subsidiary bodies have a specific responsibility for effective management of the planning and reporting cycle and for consistent and rigorous application of this document and the document on *Application of the Strategic Plan of the Organization* (resolution A.1111(30)).

4.39 In order to fulfil the function mentioned in paragraph 4.38, well-established cooperation and coordination are expected between the Chairs, Vice-Chairs and Secretaries of the Committees and their subsidiary bodies by all available means, including face to face meetings and teleconferences, as deemed necessary.

5 WORKING ARRANGEMENTS

Committees and subsidiary bodies

5.1 The subsidiary bodies should, as necessary, operate under the instructions of both MSC and MEPC and should report on specific outputs directly and separately to the Committee that has sought their expert advice, rather than reporting to both Committees.

5.2 The subsidiary bodies should periodically review their terms of reference to ensure that they accurately reflect the work being carried out.

5.3 The Committees should periodically review the necessity for the continued existence of their subsidiary bodies.

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.

5.4 The subsidiary bodies should not recommend the convening of working groups during sessions of a Committee without prior consultation by the Chair of the subsidiary body concerned with the Chair of that Committee.

5.5 A subsidiary body may request a contribution from another body, in which case the latter should be allowed sufficient time to prepare its contribution, taking into account its outputs.

5.6 The Committees should not, as a rule, permit any subsidiary body to commence work on the review or improvement of provisions already approved by it until sufficient experience has been gained from the application of such existing provisions.

5.7 Subsidiary bodies should focus their efforts on carrying out the technical work entrusted to them and should not normally, without good reason, reopen discussions on the need or the compelling need for an output, whether it is on their agenda or not.

5.8 With the aim of facilitating the technical work being carried out effectively and efficiently, the proponent(s) of proposals for new outputs should ensure that sufficient and relevant information, in line with the need or compelling need as determined by the Committee, is made available to the subsidiary body when embarking on its technical work. This shall include the completed checklist on addressing the human element (see annex 5) to ensure that the human element is considered and addressed during the course of the work.

5.9 Subsidiary bodies should not expand the scope of existing outputs unless directed or authorized to do so by a Committee. Subsidiary bodies should not develop amendments to, or interpretations of, any relevant IMO instrument without prior authorization from a Committee. However, in compliance with paragraph 4.9, when seeking a Committee's authorization to act as provided in the previous two sentences (or when spontaneously proposing an output for the current biennium or a new output to be accepted for inclusion in a Committee's post-biennial agenda), subsidiary bodies should ensure that their request complies with the provisions of paragraphs 4.3, 4.6 and 4.15, as appropriate. As subsidiary bodies may not have sufficient time to develop the required information, given that their biennial agendas are usually only discussed at the end of their sessions, interested delegations should, in consultation with the subsidiary body Chair and the Secretariat, prepare the information, which should accompany the proposal, necessary for the Committee to decide whether an output should be included in the subsidiary body's biennial agenda or in a Committee's post-biennial agenda.

5.10 Subsidiary bodies should not, as a rule, issue circulars, which are supposed to be issued only after approval by the Committees. However, in exceptional cases, subsidiary bodies may issue circulars within their area of competence, subject to endorsement of their action by the Committee or Committees concerned at their first subsequent session.

5.11 Subsidiary bodies should avoid developing unified interpretations of guidelines. In cases where the existing text of guidelines is vague and therefore needs modification, the subsidiary body concerned should amend the guidelines accordingly, in lieu of developing a unified interpretation.

5.12 When considering their outputs and/or their provisional agendas for the following session, subsidiary bodies should seek the advice of the Committees in the case of outputs for which no submissions have been received for two consecutive sessions.

Guidance on the selection of outputs for the provisional agenda

5.13 Subsidiary bodies should select outputs for their provisional agendas in a manner ensuring that proper consideration is given to important and urgent issues, taking into account:

- .1 the number of working days of each session; and
- .2 the number of working and drafting groups that the subsidiary body intends to establish.

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

5.15 The total number of selected outputs and the workload of the subsidiary bodies' provisional agendas should be kept at an appropriate and manageable level, ensuring high-quality output. Outputs selected from the Committees' post-biennial agendas should be included in the subsidiary bodies' agendas only when the outputs of the relevant biennial agenda are completed and the capacity of the subsidiary body allows the inclusion of additional outputs.

5.16 The remaining outputs not selected will be kept in abeyance and will be transferred to the provisional agendas of the subsidiary bodies as and when selected by them and endorsed by the Committee concerned, taking into account the overall workload of the subsidiary bodies responsible for the work.

Working, drafting, correspondence, intersessional working and other groups

Working groups

5.17 The Committees and their subsidiary bodies should keep the number of working groups formed during their sessions to a minimum; however, a maximum of three working groups may be established when 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. To that end, subsidiary bodies should endeavour to consider, as appropriate, items on their agenda in plenary, rather than establishing groups to deal with them.

5.18 Where more than three working groups are needed to deal with different subjects in one session, the Committees and subsidiary bodies 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 and subsidiary body concerned, within the maximum of three working groups per session.

5.19 Working groups may start work on the first morning of a session under draft terms of reference presented by the Chair of the Committee or subsidiary body concerned, pending formal discussion of those terms of reference under the relevant agenda item. However, these measures should be an option and be decided at the meeting with caution. Whenever possible, terms of reference for working groups should be agreed at the previous sessions of the parent Committee or subsidiary bodies. Another option is for the draft terms of reference of working and drafting groups issued at the beginning of a session, in accordance with paragraph 5.36, to identify items on which groups may start working on the first morning of the session, without prior consideration of the related agenda items in plenary.

5.20 In principle, a working group should not have splinter groups. However, where it is necessary to establish one or more splinter groups to facilitate efficient work, the working group should do so by unanimous agreement and should consider and agree to 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 to improve the efficiency of the work.

5.21 Subsidiary bodies' working groups, if circumstances and time constraints so dictate, may submit their reports directly to the Committees if authorized to do so by the parent body, following consultations between the Chair of the group, the Chair of the parent body and the Chairs of the Committees concerned.

5.22 When appropriate, working groups should make full use of the five working days of a session in submitting their reports to the next session of their parent body. When working group reports are to be prepared during a session, all efforts should be made to keep them as short as possible.

5.23 Permanent working groups should be avoided, however, if there is a need for such a group, a clear justification and appropriate terms of reference should be provided by the subsidiary body concerned.

Drafting groups

5.24 In addition to working groups, the Committees and their subsidiary bodies 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

5.25 In addition to working and drafting groups, the Committees and their subsidiary bodies may form other groups, such as technical or review groups, as required under relevant conventions. 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

5.26 To facilitate the consideration of an issue, correspondence groups may be established by the Committees or subsidiary bodies and be 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 endorsed terms of reference for the group (see also paragraph 5.36). Thus, through consultation between interested delegations by correspondence, the volume of documents submitted and processed can be reduced.

5.27 Correspondence groups should utilize modern communications technology, such as the Internet, as much as possible.

5.28 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 parent body concerned or the positions taken by Member States or international organizations participating in the group.

5.29 Normally, the Committees and subsidiary bodies should not establish more than three correspondence groups, although this number may be increased where the urgency of the matter under consideration so justifies. Sub-groups 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(s).

5.30 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 a correspondence group once the group is established; and the group should accept contributions at any stage of its work.

5.31 When establishing a correspondence group, a "lead country", "lead organization" or the Secretariat should be designated to coordinate the group's work. Responsibilities of group coordinators 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 5.35); and
- .5 introduction of the above-mentioned report and consolidated draft texts to the appropriate Committee or subsidiary body.

5.32 Responsibilities of participants 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.

5.33 The responsibilities of the Secretariat, in cases where the Secretariat acts as a group coordinator, should be the same as those described in paragraph 5.31 above. The Secretariat may also be requested to circulate consolidated draft texts, etc. on behalf of the group coordinator.

5.34 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.

5.35 Correspondence groups' reports should be submitted to the first session of the parent body 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 6.12. Normally the work of correspondence groups should not overlap with sessions of the parent Committee or subsidiary body. If the group has not finalized its work in time to meet the applicable deadline, a progress report should be made to the parent body.

Terms of reference of working, drafting and correspondence groups

5.36 When working, drafting and correspondence groups are to be formed, draft terms of reference should be prepared, following consultations between the Chair of the relevant Committee or subsidiary body and the Secretariat, for approval by plenary. In the case of working and drafting groups, these draft terms of reference should be issued by the Secretariat at the beginning of the session for agreement by plenary before the groups in question start their work. Thereafter, the agreed terms of reference should not be modified or extended without the parent body's prior consent.

Intersessional working groups

5.37 Subject to endorsement 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 relevant 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 a session of the parent body concerned. 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. Intersessional working groups and technical groups should not be held at the same time as committee or sub-committee meetings.

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 directions, 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 outputs in the biennial's list of outputs. 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, sub-committee, etc.
<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 the relevant body is invited to take; and
- .3 information documents should conclude with a summary of the information they contain.

6.2 To facilitate their processing, documents should be submitted in Microsoft Word, using Arial font size 11, by email to:

info@imo.org	–	for consideration by MSC or MEPC;
ccc@imo.org	–	for consideration by the CCC Sub-Committee;
htw@imo.org	–	for consideration by the HTW Sub-Committee;
iii@imo.org	–	for consideration by the III Sub-Committee;
ncsr@imo.org	–	for consideration by the NCSR Sub-Committee;
ppr@imo.org	–	for consideration by the PPR Sub-Committee;
sdcc@imo.org	–	for consideration by the SDC Sub-Committee;
sse@imo.org	–	for consideration by the SSE Sub-Committee;
etgroup@imo.org	–	for consideration by the E&T Group;
esph@imo.org	–	for consideration by the ESPH Working Group; and
fsa@imo.org	–	for consideration by the FSA Experts' Group;

Hard copies of documents may also be submitted or requested, to check that none of the text has been garbled during sending or conversion.

6.3 Documents made available at IMO, 13 weeks or more before a session, should not be introduced in the plenary unless the Chair decides that this is essential for the proper consideration of the matter concerned. Information documents and documents requiring no action by the Committees or their subsidiary bodies other than for their contents to be noted should not be introduced in the plenary.

6.4 To indicate the importance of documents containing proposed amendments to IMO instruments related to maritime safety, maritime security and protection of the marine environment which have been approved for adoption by MSC or MEPC, such documents will be identifiable on the IMO document website (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 Committees and their subsidiary bodies 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 or the Secretariat;
- .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 The Chairs of subsidiary bodies should **not** introduce their reports to the Committees as these should be taken as read.

6.9 With respect to urgent matters emanating from sessions of subsidiary bodies or IMO bodies other than the Council and the Assembly, which have taken place less than 13 weeks before a session of a Committee, the Committee should consider only such urgent matters as may have been specified by it at a prior session. As a general rule, the Committee should not consider reports or matters emanating from any subsidiary body session which has taken place less than nine weeks prior to the Committee's session. In exceptional cases, a subsidiary body may invite the Committee to take action on a matter that the subsidiary body considers to be urgent and important emanating from a session that took place less than nine weeks prior to the Committee's session. In such cases, the subsidiary body Chair should consult the Committee Chair for approval of the contemplated action.

6.10 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 in the Secretariat for the production of working papers during meetings are described in annex 4.

6.11 To encourage the action referred to in paragraph 6.10 above, documents other than information documents and reports from the Committees and subsidiary bodies, working, drafting, correspondence and other reporting groups and the Secretariat, 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 may be needed, for example, by working groups.

Submission of documents

6.12 To ensure that all documents are available at IMO Headquarters in all three working languages well in time for a session of a Committee or subsidiary body, so as to enable the timely study of documents and promote participation by all Members in the decision-making process of the Committees and their subsidiary bodies, the following provisions apply:

- .1 as a general rule, documents, other than information documents and reports of Committees and subsidiary bodies, 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, correspondence or other reporting 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 subparagraphs .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 made available at IMO Headquarters and on the IMO document website, in the Organization's three working languages, not later than five weeks before the opening of the session;
- .3 documents (including information documents) containing more than six pages of text (bulky documents) should be received by the Secretariat no later than 13 weeks before the opening of the relevant session of a Committee or subsidiary body. However, bulky information documents submitted in electronic format may be accepted by the Secretariat if they are received no later than nine weeks before the session concerned. They should be made available at IMO Headquarters and on the IMO document website, 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 subparagraphs .2 and .3 above, or on items already on the agenda, should be received by the Secretariat no later than nine weeks before the opening of the relevant session of a Committee or subsidiary body. They should be made available at IMO Headquarters and on the IMO document website, in the Organization's three working languages, not later than five weeks before the opening of the session;
- .5 notwithstanding the provisions of subparagraph .4 above, documents commenting on those referred to in subparagraphs .2, .3 and .4 above containing four pages or less should be processed if received by the Secretariat not later than seven weeks before the opening of the relevant session of a Committee or subsidiary body. 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 6.12.5 of this document. They should be made available at IMO Headquarters and on the IMO document website, 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 a Committee or subsidiary body. They should not be translated and should be made available at IMO Headquarters and on the IMO document website 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 addition and with reference to reports of subsidiary bodies on the basis of which a Committee is normally invited to take action, every possible effort should be made to ensure that such reports are made available at IMO Headquarters and on the IMO document website, in the Organization's three working languages, not later than five weeks before the opening of the session; and
- .8 in the case of basic documents submitted to a Committee reporting on urgent matters emanating from sessions of subsidiary bodies referred to in paragraph 6.9 which met less than 13 weeks before the Committee's session, such basic documents should include as an annex the text (e.g. draft Assembly resolutions, draft MSC circulars) on which the Committee will be invited to take action.

6.13 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 just by the relevant deadlines.

6.14 The Secretariat should strictly apply the above provisions concerning the submission of documents and not accept late submissions from Member States or international organizations. Any exemption from these provisions should have the prior authorization of the Chair of the Committee concerned, following consultations with the Secretariat. 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 body concerned and be made available at IMO Headquarters, 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 only if it decides to do so at the opening of its session.

6.15 In the exceptional cases referred to in paragraph 6.9, when a subsidiary body invites a Committee to take action on urgent matters emanating from a session that took place less than nine weeks prior to the Committee's session, documents commenting on those urgent matters containing four pages or less should be processed if received by the Secretariat not later than seven weeks before the opening of any session of the Committee concerned. Such 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 6.15 of this document. They should be made available at IMO Headquarters, in the three working languages, not later than four weeks before the opening of the session.

7 OBSERVANCE OF THE DOCUMENT

This document shall be observed strictly. This 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 prevent delegations from experiencing difficulties when developing national positions on subjects on the agenda of the two Committees or their subsidiary bodies. In order to promote efficiency in the conduct of work overall, Committee members should ensure that their colleagues attending sessions of other committees are fully informed of the outcome of the meeting that they have attended. Committee members should also ensure that their experts attending meetings of subsidiary bodies and working, drafting or correspondence groups are adequately informed and instructed with regard to any action necessary to give effect to decisions made by the Committees.

ANNEX 1

**INFORMATION REQUIRED IN SUBMISSIONS OF PROPOSALS
FOR INCLUSION OF AN OUTPUT**

- 1 **IMO's objectives:** Provide evidence whether and how the proposal:
 - .1 is within the scope of IMO's mission; 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 which are 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.
- 4 **Analysis of implications:** Provide an analysis of the implications of the proposal, addressing the cost to the maritime industry as well as the relevant legislative and administrative burdens (including the proposed method(s) of fulfilling any resulting administrative requirement).
- 5 **Benefits:** Provide evidence that the benefits vis-à-vis enhanced maritime safety, maritime security or protection of the marine environment expected to be derived from the inclusion of the new item justify the proposed action.
- 6 **Industry standards:** Provide information on whether adequate industry standards exist or are being developed and the intended relationship between such standards and the proposed output.
- 7 **Output:** Specify the intended output in SMART terms (specific, measurable, achievable, realistic, time-bound) including the scope of application. If work on an output is expected to go beyond one biennium, the expected deliverables for each biennium should be detailed.
- 8 **Human element:** ~~Provide the completed checklist contained in MSC-MEPC.7/Circ.1 to 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.~~
Demonstrate that the human element has been sufficiently considered and addressed during the development of the proposal by providing the completed checklist set out in annex 5 to this document.
- 9 **Urgency:** Provide, with reference to the current Strategic Plan, evidence of:
 - .1 the urgency of the proposed output including any proposal to include the proposed output on the biennial agenda; and
 - .2 the date that the proposed output should be completed.
- 10 **Action required:** Specify the action required by the IMO organ.

ANNEX 2

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

[...]

ANNEX 3

FORMAT 1: BIENNIAL STATUS REPORT

[...]

FORMAT 2: POST-BIENNIAL AGENDAS OF COMMITTEES

[...]

ANNEX 4

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

[...]

ANNEX 5

MONITORING AND CONTROLLING CONSIDERATION OF THE HUMAN ELEMENT BY IMO BODIES

1 Introduction

1.1 Resolution A.947(23) on the *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 multi-dimensional 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.

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 proposal for new output

3.2 A proposal for a new output shall involve completion of the checklist set out in appendix 1 and its provision to the relevant Committee as per annex 1 of MSC-MEPC.1/Circ.5/Rev.[X].

3.3 Any human element considerations, and the means by which they will be addressed, shall be identified in the checklist.

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

Assessment of a proposal for new output

3.5 The relevant Committee shall:

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

Work carried out on the output

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

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

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

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

Approval of work completed under the output

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

4 Guidance for completing the checklist

General principles

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

4.2 It should also take into account the effects of both the circumstances prior to the implementation date, where modification 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.

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

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

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

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

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

APPENDIX 1

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

1.1.1	Operations including navigation, cargo and engineering				
1.1.2	Maintenance of the ships structure and its equipment				
1.1.3	Onboard administration in support of the ships' management systems				
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	Companys' 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 Strikethrough 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 Strikethrough 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 due to noise, vibration, temperatures, dust and other contaminants				

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

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 Strikethrough 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 56

CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS

[...]

ANNEX 67

**GUIDELINES FOR CONSIDERING AND REVIEWING
THE OUTCOMES OF FSA STUDIES**

[...]
