INTERNATIONAL MARITIME ORGANIZATION

E

**PERIODIC REVIEW OF ADMINISTRATIVE REQUIREMENTS
IN MANDATORY IMO INSTRUMENTS**

Report of the Ad Hoc Steering Group for Reducing Administrative Requirements

Note by the Secretariat

	SUMMARY
Executive summary:	The annex to this document contains the report of the Ad Hoc Steering Group for Reducing Administrative Requirements (SG-RAR) and presents a work plan for the SG-RAR
Strategic direction:	8
High-level action:	8.0.4
Planned output:	8.0.4.1, 8.0.4.2, 8.0.4.3
Action to be taken:	Paragraph 5
Related documents:	Resolutions A.1037(27), A.1038(27) and A.1043(27); C 108/INF.2, C 108/INF.3, C 108/WP.3, C 108/D and C 109/11

Introduction

1   The Assembly, at its twenty-seventh regular session, adopted resolution A.1037(27) on the *Strategic Plan for the Organization (for the six-year period 2012 to 2017)* of which Strategic Direction 8, inter alia, states:

> "The Organization will periodically review administrative provisions of existing conventions and mandatory instruments with the aim of finding improved, more efficient solutions for those administrative requirements that are necessary. Those provisions of existing conventions and mandatory instruments that have become unnecessary and/or burdensome will also be reformed and/or eliminated without compromising safety, security and the protection of the environment."

2   The Assembly further adopted resolution A.1043(27) on the *Periodic review of administrative requirements in mandatory IMO instruments*, and also adopted, through resolution A.1038(27) on the *High-level Action Plan of the Organization and priorities for the 2012-2013 biennium*, four specific planned outputs on the reduction of administrative burdens (planned outputs 8.0.4.1-8.0.4.4) to be completed during the 2012-2013 biennium.

3   At its 108th session, the Council approved the terms of reference for the Ad Hoc Steering Group for Reducing Administrative Requirements (SG-RAR) and subsequently established the SG-RAR. The Council instructed the SG-RAR to present its work plan to the Council at its 109th session.

4   The annex to this document presents the first report of the SG-RAR and includes its work plan.

Action requested of the Council

5   The Council is invited to:

    .1   note the report of the SG-RAR in the annex to this document;

    .2   endorse the work plan for the SG-RAR (paragraphs 11-14 and annex 3 to the report);

    .3   note the completion of planned outputs 8.0.4.1 and 8.0.4.2 (paragraph 15 of the report); and

    .4   agree with the Group's proposals (a) to extend the completion date for planned outputs 8.0.4.3 and 8.0.4.4 and (b) for interim outputs 2013 (paragraphs 16 and 17 of the report).

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ANNEX

**REPORT OF THE AD HOC STEERING GROUP FOR REDUCING
ADMINISTRATIVE REQUIREMENTS**

General

1   The Ad Hoc Steering Group for Reducing Administrative Requirements (SG-RAR) was established by the Council at C 108. Following the final composition of the SG-RAR (as set out in document C 109/11), it was agreed that it would be beneficial to arrange a face-to-face meeting to start the process on reducing administrative requirements. This meeting was held on 4 September 2012 at IMO Headquarters. At the meeting the SG-RAR elected Mr. Kees Polderman as its Chairman and Ms. Katy Ware as its Vice-Chairman.

2   Following the meeting the SG-RAR continued its work by correspondence, based on the agreed basic principles for the organization and methods of its work, including its Rules of Procedure.

Information management

3   In accordance with paragraphs 5 and 6 of its terms of reference the SG-RAR further agreed on the basic principles for ensuring proper information management, including documentation and record-keeping. These principles included:

.1   appointment of Mr. Jesper Loldrup as an administrative focal point to keep a record of e-mail exchanges amongst the members of the SG-RAR in IMO's records;

.2   establishment of a page on the IMO website in order to keep stakeholders up to date on the work of the SG-RAR, by disseminating information on the process of reducing administrative burdens, including the publishing of summary of decisions from meetings held, the SG-RAR's reports to the Council, as well as any other relevant information on the process; and

.3   ensuring that records of individual comments from stakeholders during the consultation process would be kept for future use (including for the use of the Committees), while recognizing that the details could only be worked out once the consultation process had been agreed.

Inventory of administrative requirements

4   In accordance with paragraphs 3(b) and 7 of its terms of reference, the SG-RAR considered the annex to document C 108/INF.2 (Inventory of administrative requirements in IMO mandatory instruments) and decided that this Inventory, with some minor amendments, should be considered as accurate and complete, and should therefore be the basis for further work of the SG-RAR. The SG-RAR further decided that document FSI 20/INF.14 would be used as a reference document, as there were considerable overlaps between the two documents.

5   The SG-RAR agreed that it may be necessary to further expand the Inventory, either to prepare the consultation process (i.e. both the consultation document and the website) and/or to process and analyse the consultation's responses. Recognizing that the present Inventory comprises over 500 administrative requirements, the Group further agreed that a database would be a very useful tool to support and facilitate the whole process, and

welcomed the offer from Mr. E.J. Terminella to develop and present a prototype database of the Inventory. The flow-diagram in annex 1 depicts the general process of the SG-RAR and the role of a database in that process.

6   The SG-RAR undertook a general analysis of the Inventory of administrative requirements, as a basis for further decisions on the consultation process. For the information of the Council, annex 2 to this document includes some general results of the analysis, in particular:

> .1   an overview of the number of administrative requirements in each of the Conventions, Protocols and other mandatory instruments included in the Inventory (diagram 1); and

> .2   an overview of the number of administrative requirements by the various stakeholders (i.e. the addressee of a requirement) identified in the Inventory (diagram 2).

Consultation process

7   In accordance with paragraphs 3(c) and 8 of its terms of reference, the SG-RAR considered the consultation process, with a view to ensure that consultations would be open and inclusive in terms of gathering views of all stakeholders. The Group was cognizant that a balance needed to be struck between the expectations by the Assembly and the Council for results to be delivered as soon as possible, and the need to ensure an optimal process for the stakeholder consultation, and that it would therefore be vital to analyse and decide how the whole consultation process should be structured.

8   The SG-RAR decided on an "all for all" approach, meaning that all stakeholders (including the general public) should be able to comment on any administrative requirement. The SG-RAR however recognized that a tailored approach would be essential to ensure that commenting on the requirements would not become a cumbersome process for the stakeholders in itself.

9   The Group agreed that it would be vital to decide on the modalities of such a tailored approach as soon as possible, since such a decision would form an essential cornerstone for the Group's further decisions on:

> .1   the further development/expansion of the Inventory;

> .2   the development of the database;

> .3   the preparation of a consultation document ("questionnaire");

> .4   the development of a (smart and user-friendly) consultation website, for which Mr. Jeppe Juhl offered hosting as well as to propose ideas for its development to the SG-RAR; and

> .5   the structure/segmentation of the consultation in different batches, including the possibility of a first trial batch, after which the process would be evaluated and adjusted, as appropriate.

10   The SG-RAR therefore decided to further consider this matter, with a view to concluding in principle on the matters included in paragraph 9 before the end of 2012.

Work plan

11   In accordance with paragraphs 3(a) and 10 of its terms of reference the SG-RAR prepared a work plan for submission to the 109th session of the Council. The work plan is included in annex 3 to this report.

12   The work plan has been structured in accordance with the (sequence of) tasks of the SG-RAR as specified in paragraph 3 of its terms of reference. Additional tasks/milestones that were identified following discussions on the issues included in paragraphs 4 to 9 above have also been included.

13   The work plan in annex 3 has been based on the assumption that the SG-RAR will decide on a certain segmentation of the actual consultation process, the particulars of which are presently under consideration by the Group (see paragraphs 9 and 10). In order to ensure focus and interest in the consultation process it is suggested that consultations on the instruments included in the Inventory are concluded within a year. The process of analysing the responses would, however, need to be carried out over a longer period.

14   The work plan has therefore provisionally been based on a segmentation of the consultation process in four "batches". Should the SG-RAR, however, decide on a lower or higher number of batches, the process offers ample flexibility to do so within the same timeline, aiming for a first set of recommendations to C 112 (mid-2014) and a second, final set of recommendations to C 113 (end 2014).

High-level Action Plan 2012-2013

15   The High-level Action Plan 2012-2013 includes the following planned outputs on the reduction of administrative requirements and, consequently, on the work of the SG-RAR:

.1   PO 8.0.4.1: establishment of the Ad Hoc Steering Group for the Reduction of Administrative Requirements (target completion year 2012); this PO has been completed by Council 108;

.2   PO 8.0.4.2: creation of an inventory of administrative requirements in mandatory IMO instruments (target completion year 2012); this PO has been completed with the decision of the SG-RAR that the annex to document C 108/INF.2 should be considered as accurate and complete (see paragraph 4);

.3   PO 8.0.4.3: identification and assessment of administrative requirements in mandatory IMO instruments that are perceived as being a burden (target completion year 2013); and

.4   PO 8.0.4.4: recommendations regarding reducing or simplifying requirements in mandatory IMO instruments to be forwarded to the relevant Committees for consideration and action (target completion year 2013).

16   The SG-RAR, taking into account (a) that it could only begin its work after its establishment by Council 108 in June 2012 (i.e. after more than six months of the 2012-2013 biennium had passed), and (b) that there is an obvious need for a certain segmentation of the consultation process, concluded that the target completion year for identifying and assessing perceived administrative burdens in all mandatory IMO instruments, as well as making recommendations to the Council, and for the Council to
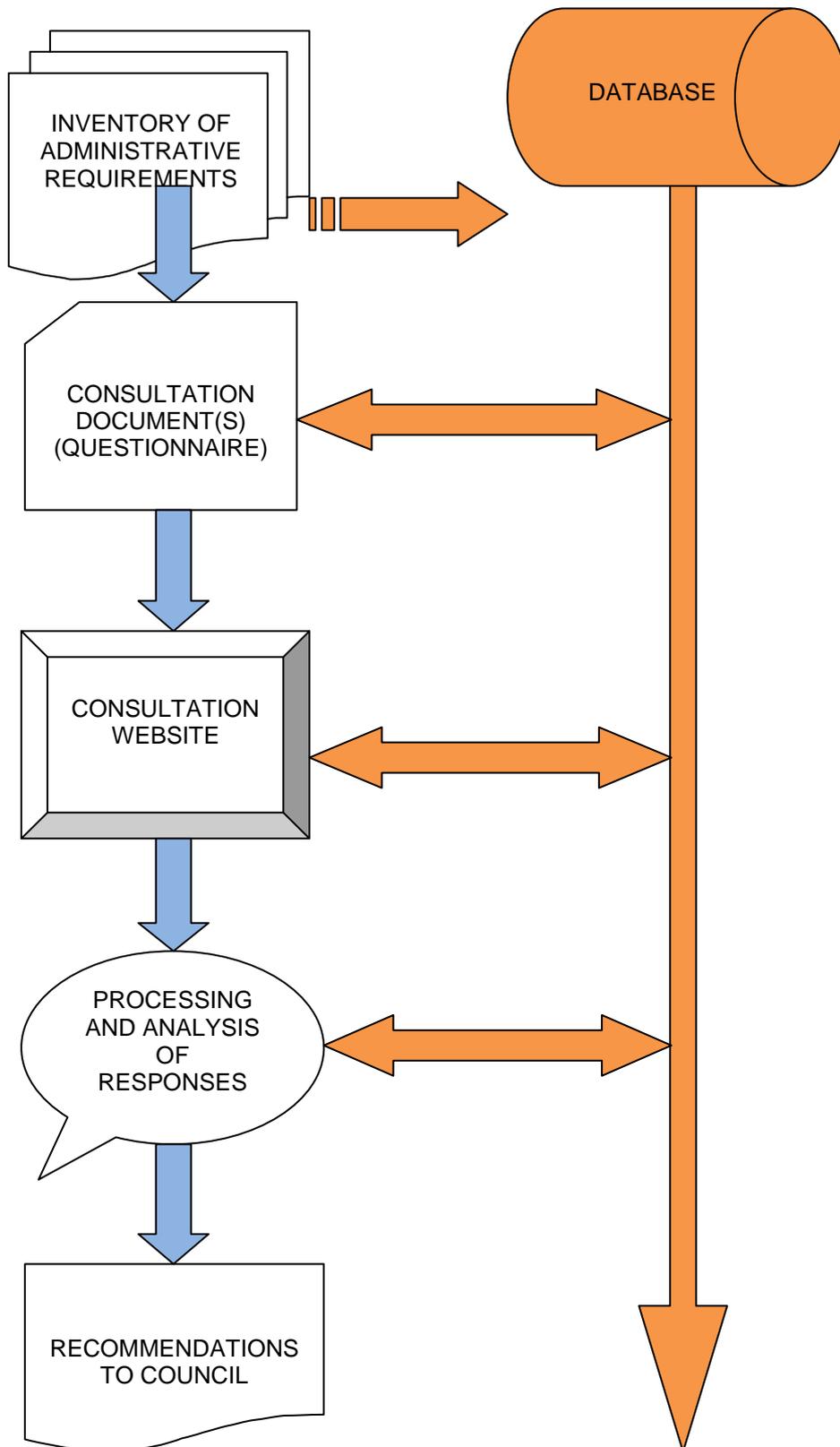
consider and forward the recommendations, as appropriate, to the relevant Committees for consideration and action by 2013 (planned outputs 8.0.4.3 and 8.0.4.4) would be unrealistic.

17   The Group therefore decided to request the Council to extend the target completion dates for those planned outputs until 2014 and 2015, respectively. Should the Council agree to this request, the SG-RAR proposes the following interim outputs for 2013, in line with the work plan in annex 3:

.1   PO 8.0.4.3: first half of the stakeholders' consultation completed, second half ongoing; analysis of the responses (i.e. identification and assessment of administrative requirements in mandatory IMO instruments that are perceived as being a burden) ongoing;

.2   PO 8.0.4.4: based on the first half of the consultation, recommendations under preparation regarding reducing or simplifying requirements in mandatory IMO instruments to be forwarded to the relevant Committees for consideration and action.

ANNEX 1

FLOW DIAGRAM OF THE PROCESS OF THE SG-RAR

INVENTORY OF ADMINISTRATIVE REQUIREMENTS

DATABASE

CONSULTATION DOCUMENT(S) (QUESTIONNAIRE)

CONSULTATION WEBSITE

PROCESSING AND ANALYSIS OF RESPONSES

RECOMMENDATIONS TO COUNCIL

ANNEX 2

ANALYSIS OF THE INVENTORY OF ADMINISTRATIVE REQUIREMENTS

DIAGRAM 1: ADMINISTRATIVE REQUIREMENTS BY INSTRUMENT
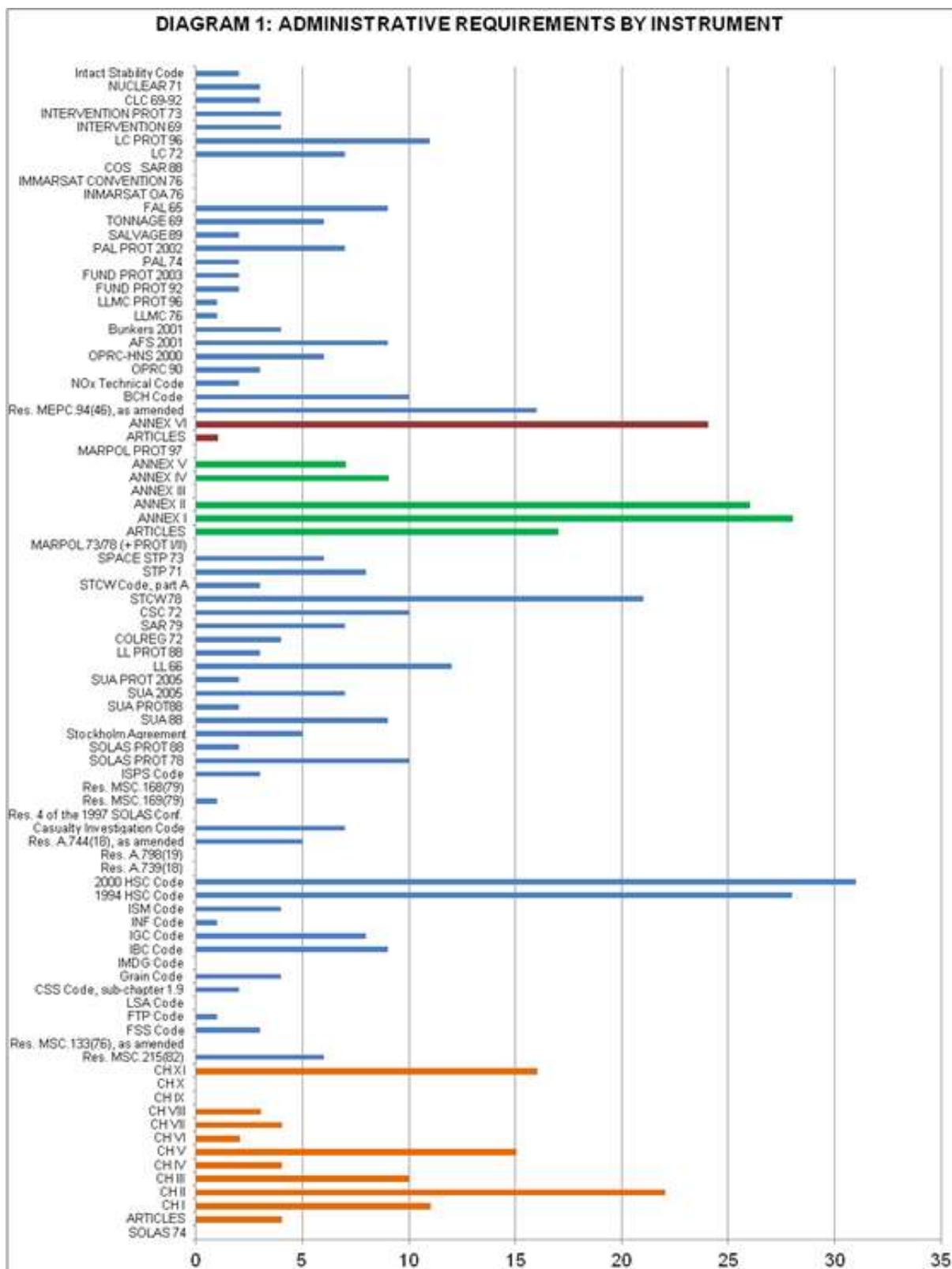
DIAGRAM 2: ADMINISTRATIVE REQUIREMENTS BY STAKEHOLDER
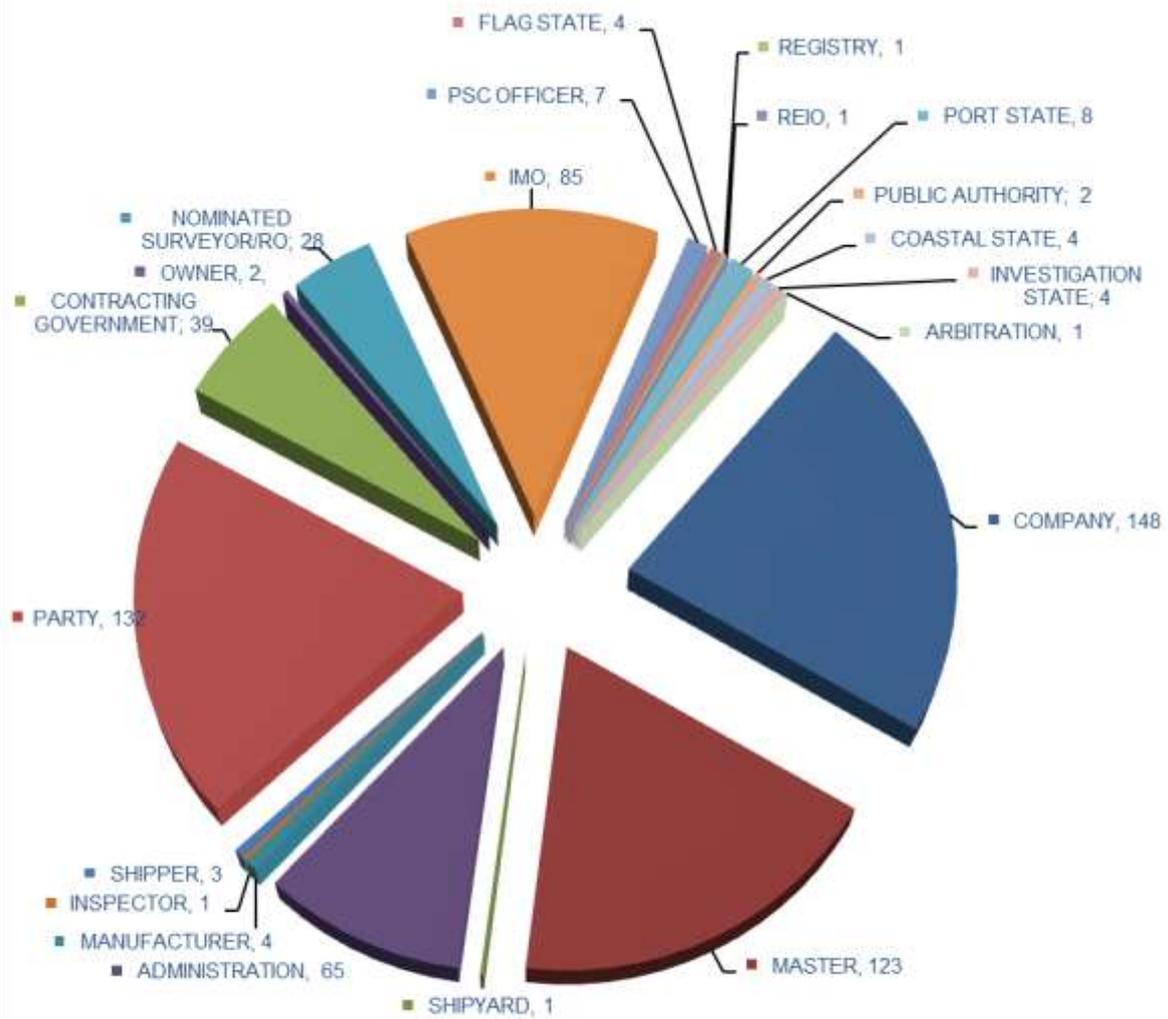
ANNEX 3

WORK PLAN 2012-2015 FOR THE AD HOC STEERING GROUP FOR REDUCING ADMINISTRATIVE REQUIREMENTS (SG-RAR)

YEAR/QUARTER	2012/3	2012/4	2013/1	2013/2	2013/3	2013/4	2014/1	2014/2	2014/3	2014/4	2015/1	2015/2	2015/3	2015/4
PREPARATORY WORK														
Development of a work plan	■	C 109												
Organization and method of work/RoP	■													
Principles of information management	■													
Development/expansion of Inventory	■	■												
Development of a database	■													
Decisions on structure of consultation		■												
Identification of stakeholders		■	■											
Preparation of consultation document		■	■											
Development of dedicated website		■												
Advertising of the process		■												
Inform stakeholders (SG-IMO)			1st		2nd	3rd	4th							
CONSULTATION: 1st (TRIAL?) BATCH														
Launch			Mar											
Response period			■	■										
Analysis of responses				■	■									
Identification of AB					■									
Recommendations on AB					■	■								
Report to Council						■	■	C 112						
Feedback to stakeholders									■					
Follow-up by Committees											▓	▓	▓	▓
CONSULTATION: 2nd BATCH														
Launch					Sep									
Response period					■	■								
Analysis of responses						■	■							
Identification of AB							■							
Recommendations on AB							■							

YEAR/QUARTER	2012/3	2012/4	2013/1	2013/2	2013/3	2013/4	2014/1	2014/2	2014/3	2014/4	2015/1	2015/2	2015/3	2015/4
Report to Council								C 112						
Feedback to stakeholders									■					
Follow-up by Committees									■	■	■	■	■	■
CONSULTATION: 3rd BATCH														
Launch						Nov								
Response period							■							
Analysis of responses							■	■						
Identification of AB								■						
Recommendations on AB									■					
Report to Council										C 113				
Feedback to stakeholders											■			
Follow-up by Committees											■	■	■	■
CONSULTATION: 4th BATCH														
Launch							Jan							
Response period								■						
Analysis of responses								■	■					
Identification of AB									■					
Recommendations on AB										■				
Report to Council										C 113				
Feedback to stakeholders											■			
Follow-up by Committees											■	■	■	■
REPORTING														
Progress reports to Assembly						A 28								A 29
Progress reports to Council		C 109		C 110		C/ES.27		C 112		C 113		C 114		C/ES.28

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