

# IMO MEMBER STATE AUDIT SCHEME

## SAFEMED IV Training on the implementation of the III Code

### STRATEGY – PART 2



# Strategy

---

Strategic mechanisms should include:

- Methods for establishing competence and areas of responsibility for entities involved in the State's maritime activities;
- Clear lines of authority of each entity leading to an overall coordinating body, with a mandate, for all maritime activities, which would then constitute the maritime administration;
- Process and procedures for determining each entity's performance against its areas of responsibility and the overall organizational performance of those entities forming the maritime administration; and
- A derived system there from to monitor, evaluate and improve the performance of the maritime administration.

## Strategy (cont.)

---

Policies and related implementing vehicles:

- Action plans and road maps; and
- Management systems and quality standards

# How can a Strategy be recognised

---

- Not possible to re-engineer Administrations
  - De facto acceptance of status quo
- How are corporate functions of the maritime administration undertaken?
- How would planning for a new convention or amendment to existing be done?
- How do entities communicate?

## How can a Strategy be recognised (cont.)

---

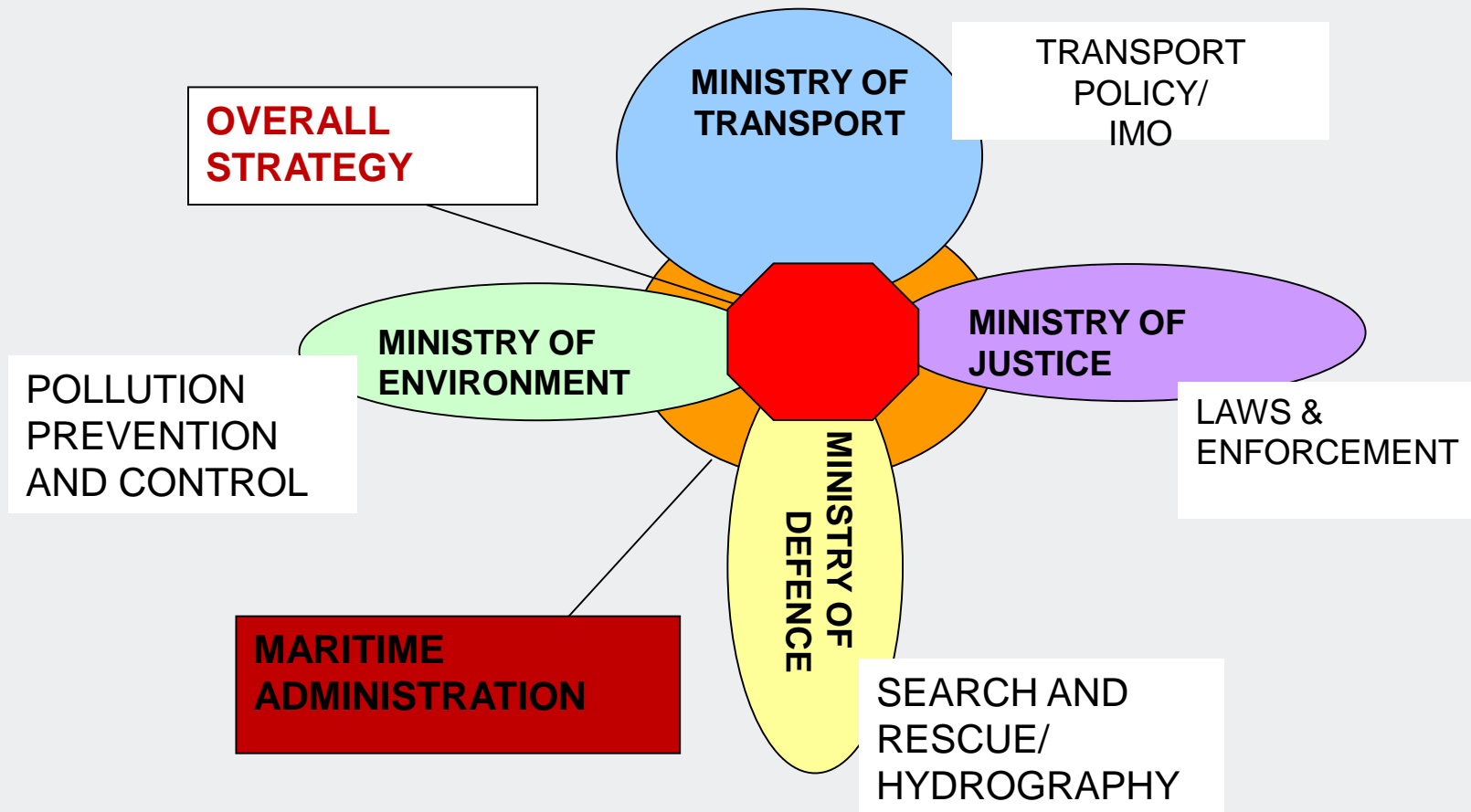
- Where there are joint responsibilities how are these allocated, e.g. MARPOL VI?
- How is performance assessed against convention obligations, future performance indicators?
- The big one – overall assessment!!!

# Evidence

---

- A high-level document decree or official government paper setting out national strategy, including the appointment of a coordinating body or council and its powers
- Setting of quality targets and key policy objectives
- Records of continuous review and verification of the State's effectiveness in respect of its international obligations
- Assessment or performance evaluation of overall organizational effectiveness and capability, including administrative capacity to implement the instruments, e.g. qualified mariners, ship detentions, etc.

# NEW NORM FOR PARTICIPATING STATE ENTITIES IN A MARITIME ADMINISTRATION

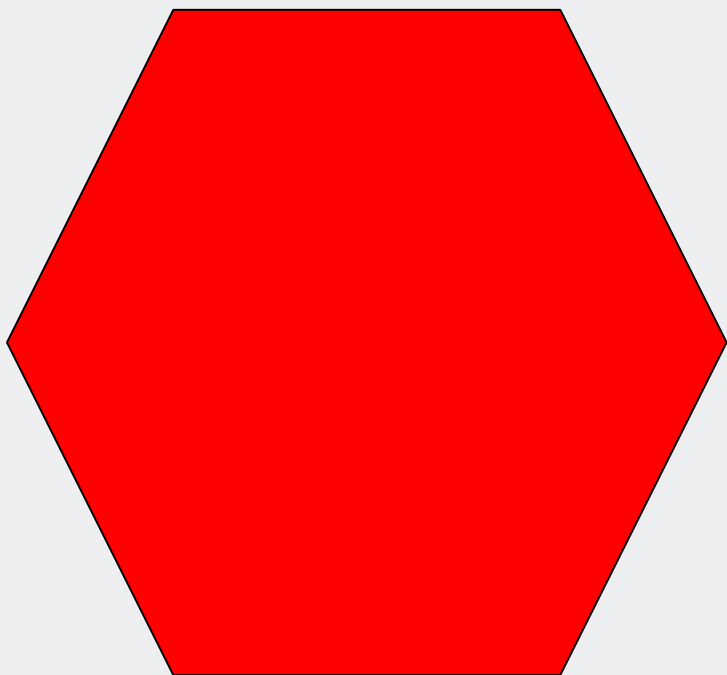


# Developing a Strategy

## OBJECTIVES

Specific, Measurable, Achievable, Realistic, Time-bound

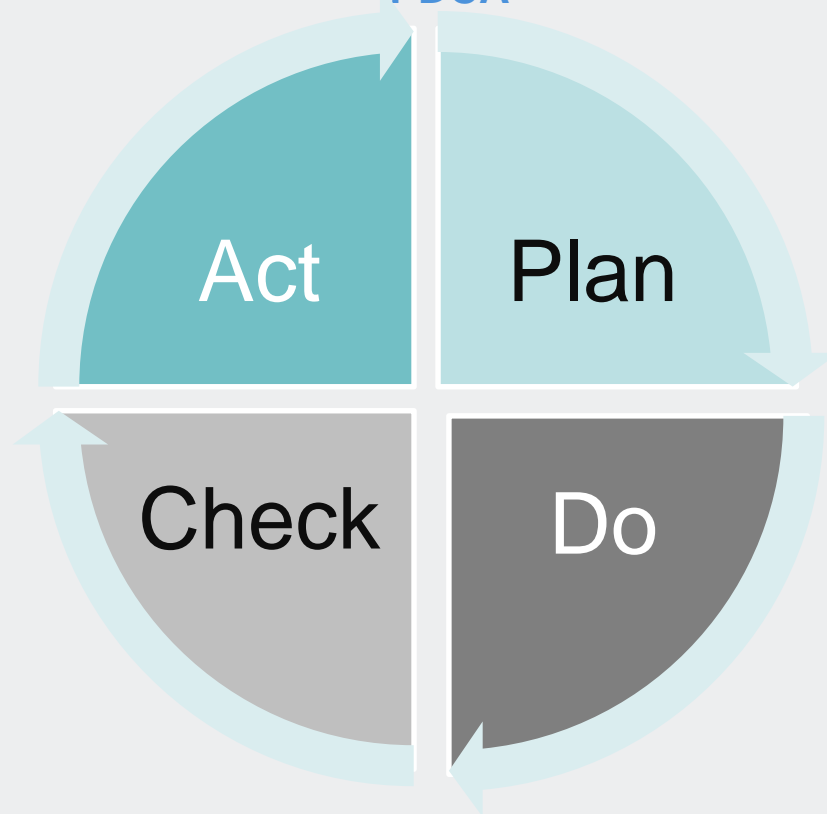
**SMART**



## EVALUATION & REVIEW

Plan, Do, Check, Act

**PDCA**



A Strategy for the State of Zenith: [STRATEGIC FRAMEWORK 2010 TO 2015.doc](#)



## Strategy – Examples of Observations (OB) on Strategy from IMSAS audits

---

### Example OB 1

The State had developed and adopted an overall strategy, however, it was not comprehensive enough to provide a basis for the State to fully meet its obligations and responsibilities under the applicable mandatory IMO instruments. Besides, a methodology to monitor and assess that the strategy ensures the effective implementation and enforcement of the applicable mandatory instruments, as well as a mechanism for continuous review in order to ensure improvement of the overall organizational performance and capability as a flag, port and coastal State were not established (III Code, paragraph 3).

### Example OB 2

A comprehensive overall maritime strategy could not be presented during the audit. The State had strategic directions and yearly work plans, which did not fully demonstrate how its obligations and responsibilities under the mandatory IMO instruments to which it is Party were going to be met and how implementation and enforcement of international mandatory instruments were going to be monitored and assessed (III Code, paragraph 3).

### Example OB 3

Although the State had strategic plans for various government entities, it was established that an overall strategy covering all of its obligations and responsibilities under the applicable mandatory IMO instruments as a flag, port and coastal State had not been developed and implemented (III Code, paragraph 3.1).

## Strategy – Examples of Root Causes (RC) of OBs on Strategy from IMSAS audits

---

### Example RC OB 1

The strategy did not fully capture the roles and responsibilities of all stakeholders with respect to the implementation of the mandatory IMO instruments in order to avoid duplication, because these roles and responsibilities were established in their legislative mandate. Due to the recent adoption of the strategy, the methodology for monitoring and assessing the effectiveness of the Strategy lacked key performance indicators.

## Strategy – Examples of Root Causes (RC) of OBs on Strategy from IMSAS audits

---

### Example RC OB 2

The lack of coherence in coordination of actions among entities of the State sharing the responsibility in the implementation and enforcement of the mandatory IMO instruments.

## Strategy – Examples of Root Causes (RC) of OBs on Strategy from IMSAS audits

---

### Example RC OB 3

There was a lack of national legislation/regulation and an absence of coordination among the State's entities.

## Strategy – Examples of Corrective Actions (CA) of OBs on Strategy from IMSAS audits

---

### Example CA OB 1

The Strategy will be amended to include specific roles and responsibilities of all stakeholders with respect to the implementation and enforcement of the mandatory IMO instruments, which will be extracted from their legislative mandate. The Strategy will be reviewed annually based on monitoring and evaluation reports from all involved Government entities in order to improve organizational performance. Key performance indicators will be included in the Strategy to serve as a basis for monitoring and evaluating its effectiveness. This corrective action will be completed by XXX.

### Example CA OB 2

The national strategy will be reviewed, taking into account models of other maritime administrations as a benchmark, in order to ensure that it provides a comprehensive mechanism for the State to give full and complete effect to the mandatory IMO instruments to which it is Party. The review will also cover identification of key performance indicators and development of a methodology for evaluation and improvement of the overall performance and capability as a flag, port and coastal State. This corrective action will be completed by XXX.



# Strategy – Examples of Corrective Actions (CA) of OBs on Strategy from IMSAS audits

---

## Example CA OB 3

The overall maritime strategy of the State will be developed, taking into account the requirements of III Code paragraph 3. The State had treated the strategy in various documents; therefore, a group comprising representatives from all relevant State's entities and stakeholders will be established in order to create a single document and a policy statement that will progressively become the overall maritime strategy.

Stages for gradual implementation of the overall strategy will be determined and the related responsibilities assigned to the concerned entities of the State, under the coordination of an appointed entity.

Besides, the following actions will be taken:

- .1 methods will be defined for establishing competence and areas of responsibility for entities involved in the State's maritime activities;
- .2 clear lines of authority will be determined for each entity with a mandate for maritime activities;
- .3 processes and procedures will be developed and implemented for determining each entity's performance in their area of responsibility and the overall organizational performance of those entities involved in the implementation and enforcement of the mandatory IMO instruments;
- .4 a system will be derived therefrom to monitor, evaluate and improve the performance of the maritime administration as a flag, coastal and port State with annual meetings; and
- .5 a mechanism will be implemented for continuous review of the strategy in order to improve the organizational capability and performance by organizing meetings on a semi-annual basis.

## International Maritime Organization

---

4 Albert Embankment  
London  
SE1 7SR  
United Kingdom

Tel: +44 (0)20 7735 7611  
Fax: +44 (0)20 7587 3210  
Email: [msa@imo.org](mailto:msa@imo.org)  
<http://www.imo.org>



[twitter.com/imohq](https://twitter.com/imohq)

[facebook.com/imohq](https://facebook.com/imohq)

[youtube.com/imohq](https://youtube.com/imohq)

[flickr.com/photos/  
imo-un/collections](https://flickr.com/photos/imo-un/collections)