

**WORKSHOP OF THE CHAIR GROUP
OF THE HYDROGRAPHIC SERVICES AND STANDARDS COMMITTEE
Paris/Saint-Mandé, France 1 - 2 June 2016**

DISCUSSION PAPER

Planning Cycle of the IHO and Related Issues

| | |
|--------------------|--|
| Submitted by: | HSSC Secretary |
| Executive Summary: | This document offers guidance for the consideration of the Chair Group to assist the preparation of the HSSC input to the review of the IHO Strategic Plan and to the preparation of the IHO Work Programme for 2017 and for the forthcoming Inter-Conference / Assembly period. |
| Related Documents: | IHO Resolution 12/2002, as amended – <i>Planning Cycle</i> IHO CL 17/2016 dated 31 March - Call for submissions to update the IHO Strategic Plan |
| Related Projects: | None |

Introduction / Background

1. IHO Resolution 12/2002 as amended sets out the timetable for the review of the IHO Strategic Plan and the Inter-Conference / Assembly Work Programme. According to the Resolution, twelve months prior to the next Ordinary International Hydrographic Conference (which is anticipated to be held as the first session of the Assembly subject to the entry into force of the Protocol of Amendments to the Convention on the IHO), Member States and the two programme committees – the Inter-Regional Coordination Committee (IRCC) and the Hydrographic Standards and Services Committee (HSSC), should be invited to submit any proposals to update the Strategic Plan and the Work Programme.
2. In accordance with the Resolution, IHO CL 17/2016 invited Member States and the Chairs of IRCC and HSSC to submit to the Directing Committee any proposals to update the Strategic Plan no later than 1 July 2016, so that any such proposals can be compiled and circulated in accordance with the review timetable.
3. A copy of the current Strategic Plan (2009) is available from the IHO website at: www.iho.int > Letters & Documents > Basic Documents.
4. A copy of the current IHO Work Plan 2013-2017 is available from the IHO website at: www.iho.int > Home > About IHO > IHO Work Program.

Analysis/Discussion

Strategic Plan

5. The Strategic Plan is reviewed periodically to ensure that it continues to reflect the requirements and the object of the Organization as determined by its Member States. The current Strategic Plan has been in force since 2009. The XVIIIth International Hydrographic Conference in 2012 noted that the Strategic Directions were still highly relevant and decided to postpone any revision to the next ordinary session of the Conference / Assembly.
6. The existing Strategic Plan states the vision, mission and object of the Organization. The Plan is then built upon several assumptions, which are stated in the document. This is followed by the identification of a number of Strategic Directions which aim to ensure that the vision, mission and objective of the Organization can be met. The Strategic Directions then form the basis upon which the

IHO Work Programme is formulated. The Strategic plan concludes with comprehensive guidance on progress monitoring and risk management.

7. Given that the Strategic Plan provides the over-arching justification for all aspects of the IHO Work Programme, it is important for the Chair Group to review the current key strategic drivers for the Organization together with any specific and emerging new requirements and priorities within the Committee's scope and to consider whether any adjustment of the Strategic Plan is warranted.

Work Programme

8. In accordance with the Strategic Plan, the IHO Work Programme is divided into the following three programmes:

- Programme 1: Corporate Affairs under the responsibility of the International Hydrographic Bureau (to be replaced by the Secretary General when the revised IHO Convention enters into force);
- Programme 2: Hydrographic Services and Standards under the responsibility of the Hydrographic Services and Standards Committee (HSSC),
- Programme 3: Inter Regional Coordination and Support under the responsibility of the Inter Regional Coordination Committee (IRCC).

9. The Terms of Reference of HSSC include the following provisions requesting that the Committee:

1.6 Prepare a Committee Work Program and propose it to each ordinary session of the International Hydrographic Conference ("each ordinary session of the International Hydrographic Conference" to be replaced by "each ordinary session of the Assembly through the Council" when the Assembly and the Council are established). Consider and decide upon proposals for new work items under the Committee Work Program, taking into account the financial, administrative and wider stakeholder consequences and the IHO Strategic Plan and Work Program.

1.7 Monitor the execution of the Committee Work Program and report to each ordinary session of the International Hydrographic Conference ("ordinary session of the International Hydrographic Conference" to be replaced by "meeting of the Council" when the Council and Assembly are established), including an evaluation of the performance achieved.

1.8 Propose to the International Hydrographic Conference ("the International Hydrographic Conference" to be replaced by "the Assembly through the Council" when the Council and Assembly are established), the establishment of new Sub-Committees, when needed, supported by a comprehensive cost-benefit analysis.

10. Programme 2 of the IHO Work Programme for 2013-2017 is based on the following concept:

This Programme seeks to develop, maintain and extend technical standards, specifications and guidelines to enable the provision of standardised products and services that meet the requirements of mariners and other users of hydrographic information.

and consists now of twelve elements, following the transfer of former element 2.9 on Marine Spatial Data Infrastructures from Programme 2 to Programme 3 as of 1 January 2015:

- Element 2.1 Technical Programme Coordination
- Element 2.2 Hydrographic Data Transfer Standards
- Element 2.3 Nautical Cartography
- Element 2.4 Digital Data Protection and Authentication
- Element 2.5 Data Quality
- Element 2.6 Nautical Publications
- Element 2.7 Tides and Water Levels
- Element 2.8 Digital Data Updating

- Element 2.10 Hydrographic Data Acquisition and Processing
- Element 2.11 Hydrographic Dictionary
- Element 2.12 ABLOS
- Element 2.13 Surface Currents

Each element of the Programme is broken down in tasks associated with key activities and deliverables.

11. The Chair Group is invited to consider if the progress of the current IHO Work Programme, together with any specific and emerging new requirements and priorities, would require any revision of the current structure of Programme 2 and to discuss the preparation of its proposals for:

- the next instalment (2017) of the current five-year IHO Work Programme;
- the next edition of the multi annual IHO Work Programme.

Risk Management and Performance Monitoring

12. The Strategic Plan includes comprehensive guidance on progress monitoring and risk management in relation to the execution of the IHO Work Programme.

13. In accordance with Decision No. 1 of IHC-18 and as reported in IHO CL 62/2012, progress monitoring and risk management, following the guidance in the Strategic Plan, was implemented in 2012, at the beginning of the Conference inter-sessional period.

14. Risk Management. The risk management element comprises primarily of the identification of significant risks to the completion of tasks in the IHO Work Programme by the designated leader of each task. Significant risks are shown in the Work Programme - if they are provided. Despite the comprehensive guidance on the methodology for the identification and treatment of risk provided in Annex A to the Strategic Plan, experience to date has shown that relatively few task leaders provide any input, and those that do provide a predominantly subjective assessment of any identified risks. These mainly relate to a lack of confidence that sufficient volunteers will come forward to take on tasks identified in the Work Programme.

15. HSSC Progress Monitoring. The progress monitoring element comprises the use of Performance Indicators (PIs) against which the progress in implementing the Strategic Directions can be assessed. The PIs are arranged in two categories: Strategic PIs (SPIs) associated with the Objectives of the IHO, to be agreed by the Conference/Assembly and Working Level PIs (WPIs) associated with the Strategic Directions of the IHO, to be agreed by the appropriate subsidiary organs. A list of agreed SPIs and a list of suggested WPIs are provided in Annex C of the Strategic Plan. The 2009 Strategic Plan indicates that the PIs should be measured and considered on an annual basis.

16. In 2010 HSSC-2 had developed a simplified and pragmatic set of WPIs for consideration by the Directing Committee. HSSC-4 (September 2012) decided to implement the WPIs agreed by HSSC-2, with two minor adjustments, and invited the IHB to include them in the IHO monitoring report for 2012.

17. HSSC-5 agreed to retain its current WPIs until sufficient historical data is available to assess their usefulness. HSSC-5 also tasked the IHB to invite the Working Group on the World-wide ENC Database (WEND-WG), via the IRCC, to assess how representative is the ENC usage indicator based solely on the inputs from PRIMAR and IC-ENC, and to propose alternatives if appropriate.

18. HSSC-6 agreed to retain the current WPIs until the next Conference/Assembly in 2017 when they will be reconsidered as part of the revision of the IHO Strategic Plan.

19. In March 2015, WENDWG-5 reviewed the PIs that are related to WENDWG activities and agreed to retain the current strategic PIs (SPIs) and WPIs until the next Conference/Assembly in 2017. For the future, the WENDWG also suggested that the targets of the SPIs and WPIs should be estimated.

20. Annex A shows the SPIs and WPIs relevant to the HSSC for 2012-2015.

21. As directed by Decision 3 of EIHC-5 in 2014, performance monitoring was supplemented by a biannual reporting mechanism that request the chairs of committees, sub-committees and working

groups to report at year-end and mid-year on the overall status of their respective work programmes by completing a template listing current goals and priorities and current or expected gaps and needs. The outcome of the first three bi-annual assessments was submitted to Member States through IHO CL 17/2015, 66/2015 and 14/2016. Annex B indicates the responses received from HSSC subsidiary organs.

22. The Chair Group is invited to review the lessons learned in relation with progress monitoring and risk management and to consider if the current framework and the associated PIs are adequate.

Impact of the new IHO structure on the planning cycle

23. The establishment of the Council will have a direct impact on the working cycle of the Committees. Considering the functions of the Council, as defined by the new General and Financial Regulations, it is likely that the Council will meet in October each year. Noting that proposals need to be submitted at least three months before the meeting of the Council, it is expected that the Committees will have to meet in June at the latest, in order to provide their input to the Council. Any proposal requiring adoption by the Member States will need to be submitted to the Council.

Action Required of the Chair Group

24. The Chair Group is invited to:

- a. consider whether any amendments are required to the vision, mission or object of the Organization, noting that the object of the Organization is embedded in Article II of the amended Convention on the IHO;
- b. identify any specific new areas of potential IHO activity that do not fit within the existing Strategic Plan;
- c. consider whether the existing Strategic Directions remain suitable to drive the work programme of the IHO or require amendments or additions;
- d. consider its contribution to the preparation of the next instalment (2017) of the current five-year IHO Work Programme;
- e. consider its contribution to the preparation of the multi annual IHO Work Programme for the forthcoming Inter-Conference / Assembly period;
- f. consider the existing progress monitoring and risk management framework in relation to the HSSC, and identify any adjustments, if they are required; and
- g. consider the impact of the establishment of the Council on its methods of work.

Annex A

Performance Indicators related to HSSC

| No PI | Designation | Source | Status 31 Dec. 2012 | Status 31 Dec. 2013 | Status 31 Dec. 2014 | Status 31 Dec. 2015 |
|--------------|--|---------------|---|---|---|---|
| SPI5 | Number of standards issued (including new editions), per category: hydrographic standards to enhance -safety of navigation at sea, - protection of the marine environment, - maritime security, - economic development. | HSSC | 9 Safety of navigation: 8 Protection of the marine environment: 1 Maritime security: 0 Economic development: 0 | 4 Safety of navigation: 2 Protection of the marine environment: 2 Maritime security: 0 Economic development: 0 | 5 Safety of navigation: 4 Protection of the marine environment: 0 Maritime security: 0 Economic development: 1 | 4 Safety of navigation: 4 Protection of the marine environment: 0 Maritime security: 0 Economic development: 0 |

| | | Rationale | | | | |
|-------|---|--|------------|------------|------------|------------|
| HSSC1 | Number of S-100 based product specifications approved | Relative indicator of uptake of IHO standards including for purposes other than SOLAS navigation | 1 | 0 | 0 | 0 |
| HSSC2 | Percentage of annual work programme achieved | Progress against objectives in the strategic plan | 17% | 19% | 52% | 46% |

| | | | | | | |
|-------|---|--|--|--|--|--|
| HSSC3 | Total number of participants at meetings (MS and Expert Contributors) | Indicates participation of MS and wider community in execution of the plan | 168 MS: 131 Expert Contr.: 37 | 258¹ MS: 172 Expert Contr.: 86 | 171 MS: 128 Expert Contr.: 43 | 158 MS: 130 Expert Contr.: 28² |
| HSSC4 | Number of technical revisions and clarifications approved | Indicative of ability to provide comprehensive, safe and effective standards | 5 | 3 | 2 | 7 |
| HSSC5 | Number of ENC distributed annually under license (equivalent annual licences) | Relative indicator of ENC usage throughout SOLAS market | 2,052,269 | 2,202,4871 | 2,272,923 | 2,678,741 |

¹ The higher participation results from the increase in the number of meetings (10 in 2013 instead of 8 in 2012).

² When taking into account the IHO Stakeholders' forum held during HSSC-7, the participation of Expert Contributors in 2015 remains equivalent to 2014 (44).

Annex B

Inventory of the responses from HSSC subsidiary organs to the three bi-annual surveys

| IHO bodies and inter-organizational bodies | Reports at end of 2014 | Reports at mid-2015 | Reports at end of 2015 | Comments |
|---|-------------------------------|----------------------------|-------------------------------|-----------------|
| HSSC | Yes | Yes | Yes | |
| S-100WG | Yes | Yes | Yes | |
| ENCWG | Yes (DIPWG) | Yes | Yes | |
| DPSWG | Yes | Yes | Yes | |
| NIPWG | | Yes | Yes | |
| NCWG | Yes | Yes | Yes | |
| DQWG | Yes | Yes | No report | |
| TWCWG | Yes (SCWG) | Yes | No report | |
| HDWG | No report | Yes | Yes | |
| ABLOS | No report | (late submission) | No report | |