

Implementation of the Strategic Plan for the International Seabed Authority: Draft Performance Indicators for the 2019-2023 period

Report of the Secretary-General

Introduction

1. At its twenty-fourth session, the Assembly approved a Strategic Plan for the International Seabed Authority for the period 2019-2023 (ISBA/24/A/10).
2. As the next step in the development of the Strategic Plan, the Assembly requested the Secretary-General *inter alia* “to prepare a high-level action plan and to include key performance indicators and a list of outputs for the next five years, taking into account available financial and human resources” (ISBA/24/A/10, point 3).
3. The present report contains draft performance indicators developed to assess performance of the Authority towards achieving the Strategic Directions set out in the Strategic Plan for 2019-2030. The draft performance indicators are accompanied by a short description of their rationale.

Development of the Performance Indicators

4. The foundation for the development of the Performance Indicators is the Strategic Plan of the International Seabed Authority for the period 2019-2023 (ISBA/24/A/10). The draft Performance Indicators set out in Annex I to the present document relate to the strategic priorities of the Authority against each of the Strategic Directions. Each Performance Indicator has been conceived as the necessary tool to enable monitoring and measuring the achievements of the Strategic Plan throughout its five-year life.
5. It is recognised that the Performance Indicators will continue to be refined and perhaps even reduced in number over time, as they are reported on and used by the Authority.
6. With regard to monitoring and assessment of progress, it should be noted that the first assessment of all Performance Indicators for the year 2019 should form the baseline for monitoring eventual improvements related to the indicators. Therefore, the first assessment of the Performance Indicators at the end of 2019 will present the baseline data going forward.
7. Finally, it should be noted that the development of Performance indicators is a long-term process, particularly in the wake of a newly adopted Strategic Plan. It is therefore appropriate that the Performance Indicators agreed upon at this stage should be kept under review and evaluated regularly to assess their ability to monitor the progress towards achieving the Strategic Directions.
8. Annex I to this report contains the draft Performance Indicators together with an explanation of how specific indicators were developed, as well as how the indicators contribute to assessing progress in achieving the specific Strategic Directions.
9. Annex II to this report contains a draft decision for consideration by the Assembly.

Annex I

Strategic Direction 1: Realize the role of the Authority in a global context

10. As stated in the overview of the 'Context and challenges' faced by the organization in the Strategic Plan, one of the Challenges for the Authority is to contribute to the timely and effective implementation of the Sustainable Development Goals, in particular Goal 14, through implementing the economic, environmental and social mandate assigned to it under the Convention and the 1994 Agreement.
11. A specific indicator that will enable the Authority to assess its efficiency towards this objective is to be found in the programmes and initiatives developed by the organization that contribute to the achievement of relevant goals and targets of Agenda 2030 (**PI 1.1**).
12. Further, the number of strategic alliances and partnerships established with regional and global organizations provide insights into the level of involvement of the Authority in the international efforts invested to achieve the Agenda 2030 including for improving cooperation in the conservation and sustainable use of ocean resources (**PI 1.2**).
13. The ratification of the key founding legal instruments is the first step towards the realization of the full role of the Authority in a global context. Therefore the number of ratifications/accession of the United Nations Convention on the Law of the Sea (**PI 1.3**), the 1994 Agreement (**PI 1.4**) and the 1998 Protocol on Privileges and Immunities of the Authority are also of particular importance (**PI 1.5**). Monitoring the ratification rate of these instruments will enable the Authority to track their development, and if agreed upon, initiate specific activities to encourage ratification of those instruments.
14. Further, the number of Members having deposited charts or lists of geographical coordinates of points with the Secretary-General, establishing the limits of national jurisdictions, including the delimitation of the continental shelf extending beyond 200 nautical miles from the baselines of the territorial sea, is also a valuable indicator (**PI 1.7**).
15. The following Performance indicators are the result of the consideration of those measure factors that relate to **Strategic Direction 1 "Realize the role of the Authority in a global context"**.

PI Index	PI Name
PI 1.1	# of programmes and initiatives overseen by ISA that contribute to the achievement of relevant goals and targets of Agenda 2030.
PI 1.2	# of strategic alliances and partnerships established with regional and global organizations to improve cooperation in the conservation and sustainable use of ocean resources.
PI 1.3	# of States that have ratified/accessed to the United Nations Convention on the Law of the Sea
PI 1.4	# of States that have ratified the 1994 Agreement.
PI 1.5	# of States Parties that have ratified the 1998 Protocol on Privileges and Immunity of the International Seabed Authority
PI 1.7	# of Members of ISA that have deposited charts or lists of geographical coordinates of points with the Secretary-General, establishing the limits of national jurisdictions, including the delimitation of the continental shelf extending beyond 200 nautical miles from the baselines of the territorial sea.

16. The data for Performance Indicators 1.2, 1.3, 1.4, 1.5, 1.6 is available and can be reported. The data for Performance Indicators 1.1 will become available gradually as it depends on the implementation of the programmes and initiatives by the Authority.

Strategic Direction 2: Strengthen the regulatory framework for activities in the Area

17. The primary means by which ISA is required to organize, carry out and control activities in the Area on behalf of mankind as a whole is to adopt and uniformly apply rules, regulations and procedures. Furthermore the 1994 Agreement stipulates that rules, regulations and procedures relating to the conduct of activities in the Area are to be adopted as those activities progress. However, as stated by the Strategic Plan (ISBA/24/A/10, para.11), if “*regulations governing exploration have been adopted (...) the challenge now is to adopt sound and balanced regulations for exploitation*”. Therefore, the first indicator to track the performance of the Authority in strengthening the regulatory framework for activities in the Area should be the adoption of the rules, regulations and procedures as well as standards and guidelines that will cover all phases of mineral exploration and exploitation (PI 2.1).
18. In addition to this, two other indicators are considered important. One is the number of technical workshops convened to support Members in the implementation of the legal regime governing deep seabed activities in the Area (PI 2.2). Another is the number of programmes and initiatives implemented by the Authority that contribute to address the specific challenges faced by developing States to implement effectively relevant international legal instruments governing activities in the Area (PI 2.3).
19. The considerations regarding Performance Indicators for **Strategic Direction 2 “Strengthen the regulatory framework activities in the Area”** resulted in the identification of the following indicators:

PI Index	PI Name
PI 2.1	Adoption of rules, regulations and procedures as well as standards and guidelines covering all phases of deep sea mineral exploration and exploitation.
PI 2.2	# of technical and targeted workshops convened to support Members in the implementation of the legal regime governing deep seabed activities in the Area, in particular on the international responsibility and liability regimes.
PI 2.3	# of programmes/initiatives of ISA that contribute to address the specific challenges faced by developing States to implement effectively relevant international legal instruments governing activities in the Area.

20. The data for all Performance Indicators currently proposed under this Strategic Direction is available and can be reported.

Strategic Direction 3: Protect the marine environment

21. Ensuring effective protection for the marine environment from harmful effects which may arise from activities undertaken in the Area, through the development of rules, regulations and procedures is a core component of the Authority’s mandate. Accordingly, the 1994 Agreement provides that the adoption of rules, regulations and procedures incorporating applicable standards for the protection and preservation of the marine environment (1994 Agreement, annex, sect. 1 (5) (g)) is one of the matters on which the Authority needs to concentrate during the time intervening between the entry into force of the Convention and the approval of the first plan of work for exploitation.
22. Therefore the performance of the Authority in achieving this will be assessed through its capacity to adopt an adaptive, practical and technically feasible regulatory framework as well

as environmental, standards for environmental management of deep seabed activities (**PI 3.1**).

23. The number of Regional Environment Management Plans (REMPs) adopted and implemented will also provide an important indication of the performance of the Authority to fulfil its mandate and responsibilities as reflected in the Convention and the 1994 Agreement (**PI 3.2**). In the same spirit, monitoring the number of Areas of Particular Environmental Interest (APEIs) established in the context of the design and adoption of REMPs will provide a good indication (**PI 3.3**).
24. The Authority is also committed to ensuring that a collaborative and transparent approach to both the collection and the sharing of environmental data is followed. A relevant Performance Indicator will lie in the capacity of the Authority to ensure public access to environmental information (**PI 3.4**).
25. The consideration regarding Performance Indicators for **“Strategic Direction 3: Protect the environment”** resulted in the identification of the following indicators:

PI Index	PI Name
PI 3.1	Adaptive, practical and technically feasible regulatory framework as well as environmental standards and guidelines, for the environmental management of deep seabed activities adopted.
PI 3.2	# of regional environmental management plans (REMPs) adopted and implemented.
PI 3.3	# of Areas of Particular Environmental Interest (APEIs) established.
PI 3.4	Public access to environmental information ensured.

26. The data for all Performance Indicators currently proposed under this Strategic Direction is available and can be reported.

Strategic Direction 4: Promote and encourage marine scientific research in the Area

27. The focus of Strategic Direction 4 is the duty for the Authority to promote and encourage the conduct of marine scientific research in the Area as well as the coordination and dissemination of the results of such research and analysis when available (art.143 (2) of the Convention). This necessarily involves the need to improve coordination among relevant stakeholders including the adoption of strategies designed to increase synergies as well as mobilize adequate resources. In light of this the number of strategic alliances and partnerships established that contribute to the achievement of this Strategic Direction will be monitored (**PI 4.1**). Another important indicator is to be found in the number of such strategic alliances and partnerships that contribute effectively to enhance and expand sharing of data and information (**PI 4.3**).
28. In addition to this the ability of the organization to disseminate the research results and analyses available through its database should also be considered as a key Performance Indicator (**PI 4.2**).
29. The following Performance indicators are the result of the consideration of those measure factors that relate to **SD 4 “Promote and encourage marine scientific research in the Area”**.

PI Index	PI Name
PI 4.1	# of strategic alliances and partnerships established that contribute to the promotion and encouragement of marine scientific research in the Area.
PI 4.2	# of research results and analyses disseminated, including from contractors, through ISA database.
PI 4.3	# of strategic alliances and partnerships that contribute to enhance and expand sharing of data and information.

30. The data for all Performance Indicators currently proposed under this Strategic Direction is available and can be reported.

Strategic Direction 5: Build capacity for developing States

31. Strategic Direction 5 focuses on the role of the Authority in ensuring that capacity-building measures are developed and implemented effectively and that they reflect the needs of developing States, identified through transparent processes in which developing States are fully participants (**PI 5.1**).
32. As such, the performance of the Authority in achieving this Strategic Direction will be monitored through a series of indicators. The numbers of qualified personnel from developing States having participated in the capacity-building activities of the Authority will of course provide an important indication on the overall performance of the programmes implemented by the Authority (**PI 5.2**). However it will also be important to identify the percentage of capacity-building activities implemented by the Authority that have effective results for the receiving member States (**PI 5.3**) as well as the percentage of capacity-building activities with long-term impact for the receiving States (**PI 5.4**).
33. The number of women from developing States that have participated in the Authority capacity-building programmes will also be a critical indication of the commitment of the Organization in addressing the existing gender gap (**PI 5.5**).
34. Particular attention will also be given to the number of qualified personnel that have benefited from training funded by the Endowment Fund for Marine Scientific Research in the Area (**PI 5.6**). Considering that such indicators will depend on the availability of funding collected to the Endowment Fund, monitoring the number of members and non-members of the Authority having contributed to the Endowment Fund will also be assessed (**PI 5.7, 5.8**).
35. The following Performance Indicators are the result of the considerations of those measurable factors that relate to **SD 5 “Build capacity for developing States”**.

PI Index	PI Name
PI 5.1	Specific capacity-building needs of developing states by developing States identified and stated.
PI 5.2	# of qualified scientists and technical personnel from developing States having participated in ISA capacity-building programmes.
PI 5.3	% of capacity-building activities with effective results for the receiving member States.
PI 5.4	% of capacity-building activities with long-term impact for the receiving member States.
PI 5.5	# of women qualified personnel from developing States that have participated in ISA capacity-building programmes.
PI 5.6	# of qualified personnel that have benefited from training funded by the Endowment Fund for MSR in the Area.
PI 5.7	# of members of ISA that have contributed to the Endowment Fund for MSR in the Area.

PI 5.8	# of non-members of ISA that have contributed to the Endowment Fund for MSR in the Area.
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36. The data for Performance Indicators 5.1, 5.2, 5.5, 5.6, 5.7 and 5.8 is available and can be reported. Data for Performance Indicators 5.3 and 5.4 need to be developed.

Strategic Direction 6: Ensure fully integrated participation by developing States

37. An important part of the mandate of the Authority is to promote the participation of developing States in the activities undertaken in the Area. This starts with the need to address the specific challenges faced by developing States to attend and participate in the meetings of the Authority. Therefore, monitoring the total number and rate of attendance of Members of the Authority from developing States, including land-locked and geographically disadvantaged States, small island developing States and least developed States, to the official meetings of the Authority is necessary (**PI 6.1**).
38. Dedicated voluntary trust funds have been established for the purpose of defraying the cost of participation of members of the Finance committee and the Legal and Technical Commission as well as the Council. Monitoring the numbers of Members of these organs that have benefited from these funds every year will provide a useful indication of the impact and necessity of such funds (**PI 6.2, 6.3**). Accordingly, monitoring the numbers of contributors, either Members of the Authority or not, to these funds will be a good indication of the efforts of the Authority in encouraging Members, observers and other stakeholders to contribute to these funds (**PI 6.4, 6.5**).
39. Another mechanism listed by the Strategic Plan to ensure fully integrated participation by developing States in activities in the Area is the identification of possible approaches to the independent operation of the Enterprise (ISBA/25/A/10, SD 6.5). Considering the importance of such strategic objective, a specific Indicator will be attached to it (**PI 6.6**)
40. The consideration regarding Performance Indicators for “**Strategic Direction 6: Ensure fully integrated participation by developing States**” resulted in the identification of the following indicators:

PI Index	PI Name
PI 6.1	# and % of Members from developing States attending ISA meetings (by meetings) including land-locked and disadvantaged States, small island States and least developed States.
PI 6.2	# of members of the Finance Committee and the Legal and Technical Commission from developing countries that have benefited from the Voluntary Trust Fund.
PI 6.3	Voluntary trust fund for supporting participation of members of the Council from developing States established.
PI 6.4	# of members of ISA that have contributed to the voluntary trust funds (by fund).
PI 6.5	# of non-members of ISA that have contributed to the voluntary trust funds (by fund).
PI 6.6	Identification of possible approaches to the establishment of the Enterprise.

41. The data for all Performance Indicators currently proposed under this Strategic Direction is available and can be reported.

Strategic Direction 7: Ensure equitable sharing of financial and other economic benefits

42. Strategic Direction 7 focuses on the obligation for the Authority to adopt rules, regulations and procedures for the equitable sharing of financial and other economic benefits derived from activities in the Area (art. 140 (2) of the Convention). The performance of the Organization to progress this will be assessed through the adoption of an appropriate mechanism that will provide for the equitable sharing of financial and other economic benefits.
43. The following Performance Indicator is the result of the considerations above:

PI Index	PI Name
PI 7.1	Appropriate mechanism to provide for the equitable sharing of financial and other economic benefits adopted.

44. The data for this Performance Indicator is available and can be reported.

Strategic Direction 8: Improve the organizational performance of the Authority

45. The purpose of Strategic Direction 8 is to enhance the performance of the Organization as a whole, including the Authority's organs and subsidiary bodies as well as the Secretariat. This will be assessed through the successful completion of outputs as set out in the target date specified (**PI 8.1**).
46. Assessing the overall effectiveness of the Authority also covers process and services as well as human and financial resources. With regard to process and services, the development and implementation of a Strategic Plan, completed by a High-Level Action Plan and other relevant work plans and planning documents necessary for the achievement of the Authority's mandate will be a critical indicator of performance of the organization (**PI 8.2**).
47. It will also be necessary to monitor the financial health of the Authority. This will be assessed by the collection rate of the annual contributions against assessed contributions (**PI 8.3**). Monitoring the percentage of unpaid contributions by Members will also be key (**PI 8.4**). As the organization follows a more programmatic approach in the delivery of its activities two factors will be assessed. First, in order to ensure that all planned activities including capacity-building activities be carried out, it will be of utmost importance that the necessary resources be mobilized (**PI 8.5**). Second, consideration will need to be given to develop a diverse donor base to reduce the risk of funding shortfall (**PI 8.6**).
48. The consideration regarding Performance Indicators for "**Strategic Direction 8: Improve the organizational performance of the Authority**" resulted in the identification of the following indicators:

PI Index	PI Name
PI 8.1	# of outputs completed by the original target completion date.
PI 8.2	Strategic Plan, the High-Level Action Plan and other relevant work plans necessary for the achievement of ISA's mandate adopted and implemented.
PI 8.3	% of assessments received from Members (collection rate).
PI 8.4	% of unpaid contributions by Members.
PI 8.5	% of extra-budgetary contributions to the budget.
PI 8.6	% of contributions provided by top-five donors

49. Data for all the Performance Indicators above is already being collected within the Organization and can be reported.

Strategic Direction 9: Commit to transparency

50. Transparency is an essential element of good governance and is therefore a fundamental guiding principle of the Authority in the conduct of its activities. The performance of the organization in delivering against this Strategic Direction will be assessed through four factors. First the number of outreach activities undertaken by the Authority to draw awareness of relevant stakeholders on its mandate and responsibilities for the Area (**PI 9.1**). Second, the number of initiatives launched by the Authority to receive stakeholder inputs will certainly provide a good indication of the performance of the Organization in delivering against this Strategic Direction (**PI 9.2**). Third, the number of official documents made available to the general public through the website of the Authority (**PI 9.3**). Last, the adoption and implementation of a Communications and Stakeholder Engagement Strategy will provide an essential indication on the action of the Authority to ensure open and meaningful dialogue with all stakeholders (**PI 9.4**).

51. The consideration regarding Performance Indicators for “**Strategic Direction 9: Commit to transparency**” resulted in the identification of the following indicators:

PI Index	PI Name
PI 9.1	# of outreach activities undertaken by ISA to draw awareness of relevant stakeholders on its mandate and responsibilities for the Area.
PI 9.2	# of initiatives launched by the Authority to receive stakeholder inputs.
PI 9.3	# of official documents made available to the general public through the website of the Authority.
PI 9.4	Communications and Stakeholder Engagement Strategy adopted and implemented.

52. Data for all the Performance Indicators above is already being collected within the Organization and can be reported.

ANNEX II: DRAFT PERFORMANCE INDICATORS

SD	PI Index	PI Name
<i>SD 1: Realize the role of the Authority in a global context</i>	PI 1.1	# of programmes and initiatives overseen by ISA ISA that contribute to the achievement of relevant goals and targets of Agenda 2030.
	PI 1.2	# of strategic alliances and partnerships established with regional and global organizations to improve cooperation in the conservation and sustainable use of ocean resources.
	PI 1.3	# of States that have ratified/accessed to the United Nations Convention on the Law of the Sea
	PI 1.4	# of States that have ratified the 1994 Agreement.
	PI 1.5	# of States Parties that have ratified the 1998 Protocol on Privileges and Immunity of the International Seabed Authority
	PI 1.6	# of Members of ISA that have adopted dedicated laws, regulations and administrative measures with regard to activities in the Area.
	PI 1.7	# of Members of ISA that have deposited charts or lists of geographical coordinates of points with the Secretary-General, establishing the limits of national jurisdictions, including the delimitation of the continental shelf extending beyond 200 nautical miles from the baselines of the territorial sea.
<i>SD 2: Strengthen the regulatory framework for activities in the Area</i>	PI 2.1	Adoption of rules, regulations and procedures as well as standards and guidelines covering all phases of deep sea mineral exploration and exploitation.
	PI 2.2	# of technical workshops convened to support Members in the implementation the legal regime governing deep seabed activities in the Area, in particular on the international responsibility and liability regimes.
	PI 2.3	# of programmes/initiatives of ISA that contribute to address the specific challenges faced by developing States to implement effectively relevant international legal instruments governing activities in the Area.
<i>SD 3: Protect the marine environment</i>	PI 3.1	Adaptive, practical and technically feasible regulatory framework as well as environmental standards, for environmental management of deep seabed activities adopted.
	PI 3.2	# of regional environmental management plans (REMPs) adopted and implemented.
	PI 3.3	# of Areas of Particular Environmental Interest (APEIs) established.
	PI 3.4	Public access to environmental information ensured.

<i>SD 4: Promote and encourage marine scientific research in the Area</i>	PI 4.1	# of strategic alliances and partnerships established that contribute to the promotion and encouragement of marine scientific research in the Area.
	PI 4.2	# of research results and analyses disseminated, including from contractors, through ISA database.
	PI 4.3	# of strategic alliances and partnerships that contribute to enhance and expand sharing of data and information.
<i>SD 5: Build capacity for developing States</i>	PI 5.1	Specific capacity-building needs of developing states by developing States identified and stated.
	PI 5.2	# of qualified scientists and technical personnel from developing States having participated in ISA capacity-building programmes.
	PI 5.3	% of capacity-building activities with effective results for the receiving member States.
	PI 5.4	% of capacity-building activities with long-term impact for the receiving member States.
	PI 5.5	# of women qualified personnel from developing States that have participated in ISA capacity-building programmes.
	PI 5.6	# of qualified personnel that have benefited from training funded by the Endowment Fund for MSR in the Area.
	PI 5.7	# of members of ISA that have contributed to the Endowment Fund for MSR in the Area.
	PI 5.8	# of non-members of ISA that have contributed to the Endowment Fund for MSR in the Area.
<i>SD 6: Ensure fully integrated participation by developing States</i>	PI 6.1	# and % of Members from developing States attending ISA meetings (by meetings) including land-locked and disadvantaged States, small island States and least developed States.
	PI 6.2	# of members of the Finance Committee and the Legal and Technical Commission from developing countries that have benefited from the Voluntary Trust Fund.
	PI 6.3	Voluntary trust fund for supporting participation of members of the Council from developing States established.
	PI 6.4	# of members of ISA that have contributed to the voluntary trust funds (by fund).
	PI 6.5	# of non-members of ISA that have contributed to the voluntary trust funds (by fund).
	PI 6.6	Identification of possible approaches to the establishment of the Enterprise.
<i>SD 7: Ensure equitable sharing of financial and other economic benefits</i>	PI 7.1	Appropriate mechanism to provide for the equitable sharing of financial and other economic benefits adopted.
<i>SD8: Improve the</i>	PI 8.1	# of outputs completed by the original target

<i>organizational performance of the Authority</i>		completion date.
	PI 8.2	Strategic Plan, the High-Level Action Plan and other relevant work plans necessary for the achievement of ISA's mandate adopted and implemented.
	PI 8.3	% of assessments received from Members (collection rate).
	PI 8.4	% of unpaid contributions by Members.
	PI 8.5	% of extra-budgetary contributions to the budget.
	PI 8.6	% of contributions provided by top-five donors
<i>SD9: Commit to transparency</i>	PI 9.1	Communications and Stakeholder Engagement Strategy adopted and implemented.
	PI 9.2	# of outreach activities undertaken by ISA to draw awareness of relevant stakeholders on its mandate and responsibilities for the Area.
	PI 9.3	# of initiatives launched by the Authority to receive stakeholder inputs.