

**ISBA/26/A/9**

**Annex II: Status of implementation by the Assembly of the relevant high-level actions and associated outputs for the reporting period 2019-2020**

No. High-level action	Outputs for 2019-2020			
	Description	Responsibility of the Assembly	Status <sup>1</sup>	Comments
<b>Strategic direction 1: realize the role of the Authority in a global context</b>				
1.1.1 Adjust its programmes and initiatives to contribute effectively to the achievement of goals and targets of the 2030 Agenda for Sustainable Development, in particular Sustainable Development Goal 14	Report on programmes and initiatives contributing to the achievement of relevant goals and targets of Agenda 2030	Associated organ	Ongoing	Annual reporting is made by the Secretary-General in the report presented to the Assembly under article 166(4) of UNCLOS ( <a href="#">ISBA/25/A/2</a> ; <a href="#">ISBA/26/A/2</a> ).
1.2.1 Establish partnerships to foster cooperation with the United Nations, including through the UN-Oceans coordination mechanism, on matters of mutual interest, and provide relevant input and guidance	(i) Report on the contribution of the Authority to the work of the United Nations on matters of mutual interest	Organ responsible	Ongoing	Annual reporting is made by the Secretary-General in the report presented to the Assembly under article 166(4) of UNCLOS ( <a href="#">ISBA/25/A/2</a> ; <a href="#">ISBA/26/A/2</a> ). Information is also shared through the contribution of the Secretariat to the various report of the UN Secretary-General, the resolution on the Oceans and

<sup>1</sup> The different status used to assess the progress of each high-level actions and/or associated outputs are regrouped in three categories, namely: (i) “completed”, (ii) “in progress”, and (iii) “on hold”. In order to reflect the different status of completion, particularly the fact that some outputs are recurring, two different sub-categories of progress status have been identified. One relates to the “ongoing” nature of some outputs, understood as requiring ongoing attention and adjustment. The other one relates to the fact that in some cases, because the output is to be reported against a specific reporting period or action, the status of completion is “achieved”.

				the Law of the Sea as well as other initiatives (ICP, SPLOS) etc.
	(ii) Consider requests for observer status from international organizations in accordance with rule 82 (1) (d) of the rules of procedure of the Assembly	Organ responsible	Ongoing	No request has been presented at the 25 <sup>th</sup> session in accordance with rule 82 (1) (d) of the rules of procedures of the Assembly and as of June 2020, no request has been submitted for the 26 <sup>th</sup> session.
	(iii) Explore opportunities for establishing a memorandum of understanding or any other relevant agreement to foster cooperation between the Authority and the United Nations	Organ responsible	Ongoing	During the reporting period no additional MoU has been signed with other relevant UN agencies. However, discussions have been engaged by the Secretariat with ILO on the possibility of signing a cooperative agreement, following one of the recommendations made by the LTC during the first part of the twenty-sixth session ( <a href="#">ISBA/26/C/12</a> ).
1.2.2 Cooperate with the Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific and Cultural Organization in the planning and implementation of the United Nations Decade of Ocean Science for Sustainable Development, in particular on matters relating to the conduct of marine scientific activities in the Area	Make an effective contribution to the planning of activities during the United Nations Decade of Ocean Science for Sustainable Development and ensure that appropriate attention is given to the need to promote international cooperation for marine scientific research in the Area	Organ responsible	Ongoing	ISA has actively contributed to the planning of the UN Decade of Ocean Science for Sustainable Development. Building on the relevant strategic directions, high-level actions and outputs identified in the ISA Strategic Plan and High-Level Action Plan for 2019-2023, the Secretariat has prepared an Action Plan in support of the UN Decade for consideration and adoption by the Assembly at its 26 <sup>th</sup> session ( <a href="#">ISBA/26/A/4</a> ).

1.2.3 Establish partnerships to foster cooperation, consistent with the Convention and international law, with relevant international and regional organizations on matters of mutual interest, and provide relevant input and guidance	(ii) Consider requests for observer status from international and regional organizations in accordance with rule 82 (1) (c) and (d) of the rules of procedure of the Assembly	Organ responsible	Ongoing	No request was submitted to the Assembly at its 25 <sup>th</sup> session in accordance with rule 82 (1) (c) and (d) of the rules of procedure of the Assembly and as of June 2020, no request has been submitted for the 26 <sup>th</sup> session.
1.2.4 Consider problems of a general nature arising in relation to activities in the Area in a manner consistent with the Convention and international law and relevant to the role of the Authority	Provide advice and guidance on issues relevant to the mandate of the Authority and the implementation of relevant legal instruments	Organ responsible	Ongoing	At its 25 <sup>th</sup> session, the Assembly considered relevant issues through the examination of the annual report of the Secretary-General, particularly the information provided in sections XIII to XVIII of the report ( <a href="#">ISBA/25/A/2</a> ).
1.2.5 Promote and raise awareness of the role and specific mandate of the Authority for the conservation and sustainable use of ocean resources and marine biodiversity	(ii) Report on the contribution of the Authority to the discussions at the intergovernmental conference on an international legally binding instrument under the Convention on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction and highlight elements of particular interest or of potential concern in relation to the existing legal regime for the Area and the mandate of the Authority	Organ responsible	Ongoing	(See <a href="#">ISBA/25/A/2</a> , paras. 108-110; <a href="#">ISBA/26/A/2</a> ; dedicated page on ISA website).
1.3.1 Ensure that activities in the Area are carried out for the benefit of mankind as a whole	No output against this action	Organ responsible	Ongoing	Monitoring is ensured through the annual report presented to the Assembly by the Secretary-General under article 166(4) of UNCLOS ( <a href="#">ISBA/25/A/2</a> , <a href="#">ISBA/26/A/2</a> ) and has been reinforced with the

				adoption of the ISA Strategic Plan and the High-Level Action Plan for the period 2019-2023 ( <a href="#">ISBA/24/A/10</a> ; <a href="#">ISBA/25/A/15</a> ; <a href="#">ISBA/A/15/Corr.1</a> ).
1.4.1 Actively engage with members to achieve the effective and uniform implementation of relevant legal instruments through State practice	(i) Promote and encourage the ratification of or accession to the 1994 Agreement	Organ responsible	Ongoing	Annual reporting is made by the Secretary-General in the report presented to the Assembly under article 166(4) of UNCLOS ( <a href="#">ISBA/25/A/2</a> ; <a href="#">ISBA/26/A/2</a> ).
	(ii) Promote and encourage the ratification of or accession to the Protocol on the Privileges and Immunities of the Authority	Organ responsible	Ongoing	Follow-up on information related to the promotion and encouragement to members of ISA, which have not done so, to become parties to the Protocol on the Privileges and Immunities of the Authority. As of June 2020, no additional ratification or accession has been registered ( <a href="#">ISBA/26/A/2</a> ).
1.4.2 Identify specific challenges faced by developing States and recommend ways and means to address them	(i) Report on the specific challenges faced by developing States in implementing relevant international legal instruments governing activities in the Area	Organ responsible	Ongoing	The Assembly will be invited at its 26 <sup>th</sup> session to consider the report of Secretary-General on the implementation of a programmatic approach on capacity development to deliver more effectively for the benefits of the members of ISA ( <a href="#">ISBA/26/A/7</a> ).
	(ii) Recommend specific measures to address specific challenges that have been identified	Organ responsible	Ongoing	The Assembly is expected to make specific recommendations in the basis of the report of Secretary-General on the implementation of a programmatic approach on capacity development to

				deliver more effectively for the benefits of the members of ISA (ISBA/26/A/7).
1.5.1 Promote and strengthen dialogue among States, relevant international organizations and stakeholders to foster the use of practical tools for mutual “reasonable regard” in order to accommodate activities in the Area and other activities in the marine environment	Develop practical tools to facilitate the implementation of “reasonable regard”	Organ responsible	Ongoing	No specific action has been taken by the Assembly on this matter at its 25 <sup>th</sup> session.
<b>Strategic direction 2: strengthen the regulatory framework for activities in the Area</b>				
2.3.2 Ensure that rules, regulations and procedures governing mineral exploitation reflect the establishment of an adaptive management system	No output against this action	Organ responsible	Ongoing	The Council is in the process of negotiating the draft exploitation regulations ( <a href="#">ISBA/25/C/CRP.1</a> ; <a href="#">ISBA/26/C/2</a> ).
2.4.1 Keep under review the regulatory framework to ensure that it gives due consideration to developing States and promotes their participation in activities in the Area	No output against this action	Organ responsible	Ongoing	No concrete output has been developed by the Assembly against this item.
<b>Strategic direction 3: protect the marine environment</b>				
3.2.4 Encourage and facilitate strategic partnerships to support the work of the Authority in developing, implementing and keeping under review regional environmental assessment and management plans	No output against this action	Organ responsible	In progress	The Council endorsed different initiatives ( <a href="#">ISBA/25/C/17</a> , para.7 ; <a href="#">ISBA/26/C/13</a> , para.25-26) but the Assembly has not decided on any specific element yet.
3.4.3 Encourage and facilitate strategic partnerships to support the work of the	No output against this action	Organ responsible	Ongoing	The secretariat has initiated planning of a workshop on marine scientific

Authority in developing robust monitoring programmes and methodologies				research in the Area in collaboration with COMRA. It is envisaged that this workshop will contribute to establishing mechanisms for collaboration among and between contractors, as well as with the scientific community with a view to support the development of monitoring programmes.
3.5.4 Encourage and facilitate strategic partnerships to support the work of the Authority in developing regulations, procedures, monitoring programmes and methodologies	No output against this action	Organ responsible	Ongoing	Under the framework of the MoU between WMU and ISA, WMU provided technical cooperation to prepare a draft health and safety plan and maritime security plan to be incorporated as Annex VI to the draft regulations ( <a href="#">ISBA/26/A/2</a> ).
<b>Strategic direction 4: promote and encourage marine scientific research in the Area</b>				
4.1.1 Actively promote and encourage the conduct of marine scientific research with respect to activities in the Area	Build collaborative initiatives to strengthen marine scientific research infrastructure in the Area	Organ responsible	In progress	Different initiatives are currently under development to deliver against this action including to strengthen deep sea taxonomic knowledge standardization and sharing. Further progress will be reported by the Secretariat in due course.
4.1.2 Promote and encourage research related to the environmental effects of activities in the Area	Facilitate long-term observation programmes for monitoring the environment and the development of environmentally sound technology in the Area	Organ responsible	In progress	The Secretariat has initiated dialogue with key stakeholders on facilitating initiatives to deliver against this action, including a collaborative program for long-term observation and monitoring in the Area, and further progress will be reported in due course.

<b>Strategic direction 5: build capacity for developing States</b>				
5.1.1 Assist developing States, in particular geographically disadvantaged States, small island developing States, least developed countries and landlocked developing countries, in identifying their needs	(iii) Develop a capacity-building strategy for the Authority that addresses the needs identified by developing States	Associated organ	In progress	Following on the discussions that will be held at the 26 <sup>th</sup> session of the Assembly, the Secretariat will progress the development of the strategy which will be submitted to public consultation before finalisation before the end of 2020.
5.1.3 Undertake regular assessments of the effectiveness and relevance of capacity-building programmes and initiatives implemented by the Authority	(i) Report on key findings of the assessments undertaken	Associated organ	Achieved	The secretariat has commissioned the assessment of all capacity-building/development programmes and initiatives implemented by ISA since 1994 in preparation of the workshop on “Capacity-development, resources and needs assessment” held in Kingston in February 2020. The report has been submitted to public consultation in May 2020 and revised on the basis of the discussions held at the workshop and the submissions received from members and observers. A summary of the key findings is included in the report of the Secretary-General to the Assembly (ISBA/26/A/7).
	(ii) Recommend specific measures to improve the delivery of capacity-building programmes and measures implemented by the Authority	Associated organ	Achieved	(See ISBA/26/A/7).

5.2.1 Promote and strengthen partnerships with Governments, international organizations and the private sector to maximize funding opportunities and in-kind contributions for the Endowment Fund for Marine Scientific Research in the Area and its beneficiaries	Report on partnerships established to maximize funding opportunities for the Endowment Fund for Marine Scientific Research in the Area and its beneficiaries	Associated organ	In progress	The secretariat is taking steps to identify ways and means to promote further funding opportunities for the EFMSR.
5.4.1 Undertake regular assessments of contractors' training programmes and their long-term impact on capacity-building	(i) Analyse the long-term impact of the contractors' training programmes	Associated organ	In progress	Preliminary steps have been taken including through dissemination of surveys to past trainees in preparation of the workshop on "Capacity development, resources and needs assessment" held in February 2020 in Kingston. Further efforts will be made to analyse the response received in conjunction with the long-term reports of past trainees to determine impact at the individuals' level. Consideration will also need to be given to better understand the impacts at national or institutional level.
	(ii) Recommend measures to improve the impact of the contractors' training programmes	Associated organ	Achieved	Report of the Secretary-General on the implementation of a programmatic approach on capacity development to deliver more effectively for the benefits of the members of ISA (ISBA/26/A/7).

<b>Strategic direction 6: ensure fully integrated participation by developing States</b>				
6.1.1 Develop measures to increase participation by developing States in the implementation of the regime for the Area	(i) Identify measures to increase the participation of developing States in the work of the Authority	Associated organ	Ongoing	Some measures have been identified in the report of the Secretary-General on the implementation of a programmatic approach on capacity development to deliver more effectively for the benefits of the members of ISA (ISBA/26/A/7) and additional elements are further developed in the ISA MSR Action Plan in support of the UN Decade of Ocean Science ( <a href="#">ISBA/26/A/4</a> ). It is envisaged that further measures will be identified as the efforts of ISA to implement the recommended measures and actions progress.
	(ii) Identify measures to increase the participation of developing States in marine scientific programmes carried out in the Area	Associated organ	Ongoing	As above
6.2.1 Consult developing States members of the Authority to identify potential barriers to participation and devise mechanisms to address them	(i) Organize consultations with developing States members of the Authority with a view to identifying potential barriers to their participation in activities in the Area	Associated organ	Achieved	The Secretariat has organised a consultation in April-May 2020 with all members of ISA, particularly developing States, to identify national capacity development priorities as they relate to the role and mandate of ISA. The results will be presented by the Secretary-general to the Assembly at its 26 <sup>th</sup> session (ISBA/26/A/7).
	(ii) Report on potential mechanisms identified to remove the barriers that stop developing	Associated organ	In progress	A review of all capacity-building programmes and initiatives implemented by ISA has been commissioned by the

	States members of the Authority from participating fully in activities in the Area			secretariat in preparation of the international workshop on “Capacity development, needs and resources assessment” organized in February 2020. The review has been revised on the basis of the outcomes of the workshop and the comment made by stakeholders as a result of the public consultation that was held between April and May 2020. These elements constitute the foundation of the report presented by the Secretary-General to the Assembly (ISBA/26/A/7).
6.3.1 Identify training opportunities for personnel from developing States in marine science and technology	(ii) Promote and facilitate the establishment of regional centres of excellence for strengthening capacities in developing States	Organ responsible	In progress	No concrete output has developed by the Assembly against this item.
6.3.3 Identify and develop measures to strengthen the role of women in deep seabed-related activities and, in particular, deep seabed research	Report on the measures identified or developed that could be implemented by the Authority to strengthen the role of women in deep sea research	Associated organ	Ongoing	Since 2018, the secretariat has assisted the LTC in implementing the gender balancing measures as far as is practicable during selection of candidates for contractor training programmes (ISBA/26/LTC/3). Further initiatives are currently under development to foster the action of ISA in that regard.
6.5.1 Identify possible approaches to the independent operation of the Enterprise, including procedures and criteria for joint venture operations	(i) Commission a study on the operationalization of the Enterprise	Associated organ	Achieved	During part II of the 25 <sup>th</sup> session, the LTC took note of the study prepared by consultants on “Issues on the operationalization of the Enterprise” and conducted a preliminary discussion of the study. The LTC made some

				substantive recommendations on the content ( <a href="#">ISBA/26/C/12</a> , para.37-41). The study has also been published on ISA website ( <a href="#">technical report 1/2019</a> ).
<b>Strategic direction 7: ensure equitable sharing of financial and other economic benefits</b>				
7.1.2 Develop equitable sharing criteria for benefits distributed through the Authority pursuant to article 82 (4) of the Convention	No output against this action	Organ responsible	In progress	The report on criteria for the equitable sharing of financial and other economic benefits derived from deep seabed mining provided and discussed by the FC in 2019, has been updated in 2020 in response to feedback from the FC ( <a href="#">ISBA/25/A/10-ISBA/25/C/31</a> , para.26-33). This report also covers equitable sharing under article 82(4) of UNCLOS. The FC decided to continue to consider issues relating to article 82(4) in connection with its work on equitable benefit-sharing.
<b>Strategic direction 8: improve the organizational performance of the Authority</b>				
8.1.1 Identify opportunities to strengthen management culture, reduce risk and introduce best practices through the planning, development and implementation of organizational reforms	(i) Develop the high-level action plan of the Authority	Associated organ	Achieved	(See <a href="#">ISBA/25/A/15</a> ; <a href="#">ISBA/A/15/Corr.1</a> )
	(vii) Report the exact cost for supervising and administering the contracts for exploration	Associated organ (in partnership with the Council, FC)	On going	In 2018, the FC requested the Secretariat to establish a more accurate methodology benefiting from the ongoing implementation of IPSAS in the accounting of the secretariat and to report by the 26 <sup>th</sup> session the exact costs

				for the supervision and administration of the contracts for exploration ( <a href="#">ISBA/24/A/6-ISBA/24/C/19</a> , para.22-25). A revised methodology for annual overhead charges has been developed by the Secretariat and will be submitted to the FC for consideration at the 26 <sup>th</sup> session ( <a href="#">ISBA/26/FC/3</a> ).
8.1.4 Provide, as far as practicable, capacity development for staff to ensure that skills and aptitudes meet the evolution and emerging needs of member States	(ii) Allocate the resources necessary to support capacity development for staff	Organ responsible	On going	A dedicated budget was allocated to this for 2020 (\$53,000) and the budget proposal for 2021-2023 also includes an element on this matter (\$130,000) ( <a href="#">ISBA/24/A/5-ISBA/24/C/11</a> ; <a href="#">ISBA/26/A/5-ISBA/26/C/18</a> ).
8.1.6 Explore the needs of the organs and subsidiary bodies of the Authority, as well as necessary institutional adjustments to their set-up and functioning, in line with the evolutionary approach, so that they may effectively discharge their respective responsibilities at the various stages of development of activities in the Area	Issue a report identifying the needs and the adjustments necessary to accompany the evolution of the Authority	Organ responsible	In progress	The terms of reference of the report is under development. It is envisaged that the report will be finalised by the end of 2020 for submission to the Assembly at its 27 <sup>th</sup> session.
8.2.1 Further encourage the active participation of members and relevant stakeholders to achieve the Authority's mission objectives through cooperation and collaboration	(i) Develop and keep under review guidelines and criteria for the application process for and the participation of observers	Organ responsible	On going	During the 25 <sup>th</sup> session, the Assembly approved the guidelines for observer status of non-governmental organizations with ISA ( <a href="#">ISBA/25/A/16</a> ).
8.2.2 Implement and keep under review working methods and processes of the organs of the Authority	(iii) Review the Staff Regulations and Rules of the Authority, as needed, to follow the recommendations of the	Organ responsible	On going	The Assembly adopted a decision approving amendments to the Staff

	International Civil Service Commission			regulations at its 25 <sup>th</sup> session. ( <a href="#">ISBA/25/A/13</a> ).
	(iv) Review the financial rules and regulations, as needed	Organ responsible (in partnership with the Council)	On going	No amendment has been identified as necessary for the reporting period.
8.3.1 Adopt, implement and keep under review measures for the effective, efficient and transparent utilization and management of the Authority's resources	(ii) Ensure the timely submission of financial reports	Coordinating organ (in partnership with the Council)	On going	An enterprise resource management system has been implemented within the secretariat in January 2020. This new system will ensure transparent and timely recording of the financial transactions as per prevailing ISA financial rules and regulations. As a result, it will be possible to produce a variety of financial reports all IPSAS compatible
	(iii) Report on the status of the various voluntary trust funds	Coordinating organ (in partnership with the Council)	On going	(See <a href="#">ISBA/25/FC/6</a> ; <a href="#">ISBA/26/FC/2</a> ).
	(v) Issue a report, with recommendations, of the Finance Committee	Coordinating organ	On going	(See <a href="#">ISBA/25/A/10-ISBA/25/C/31</a> )
8.4.2 Undertake regular assessment of long-term options for financing the Authority's operations	Report on potential long-term options for financing the Authority's operations	Associated organ (in partnership with the Council and the FC)	In progress	Preliminary work has been undertaken by the Secretariat and it is envisaged that this report will be finalised by the end of 2020.
8.4.3 Actively promote and encourage contributions from Governments, international organizations,	Report on strategic partnerships established to support the	Associated organ	On going	(See <a href="#">ISBA/26/A/2</a> ).

contractors and other stakeholders to develop and enhance the impact of the Authority's operations	Authority's programmes and activities			
<b>Strategic direction 9: Commit to transparency</b>				
9.1.1 Enhance the Authority's public outreach programme in a timely and cost-effective manner	(iv) Report on the activities undertaken by the Authority to increase public outreach	Associated organ	On going	(See <a href="#">ISBA/26/A/2</a> )
9.4.1 Promote the adoption of a communications and stakeholders' engagement strategy	(ii) Consider requests for observer status from non-governmental organizations in accordance with rule 82 (1) (e) of the rules of procedure of the Assembly	Organ responsible	In progress	This strategy is under development and it is envisaged that a first draft will be ready in September 2020 and shared for public consultation with a view of finalising the document by the end of 2020.