

**3rd EAS Partnership Council Meeting
Agenda Item 13.0: Technical Session**

**PROCESS FOR DEVELOPMENT AND APPROVAL OF
PEMSEA CODES, GUIDELINES AND GOOD PRACTICES**

Introduction

1. In its pursuit of excellence, PEMSEA will continually assess and improve its secretariat and technical services to the Partners, cutting-edge policies and tools to help countries achieve their SDS-SEA objectives and targets, and comprehensive training, capacity development and knowledge-sharing programs that encourage interaction and cross-learning among local, national, regional and global initiatives. These efforts will enhance PEMSEA's ability to deliver the quality of services required by its Partners.
2. One important aspect of PEMSEA's work is the development and dissemination of value-added informative documents and materials that provide guidance to countries and other stakeholders for planning, development, implementation, monitoring and evaluation of ICM programs. At present, a number of informative documents, including the ICM Code 2010, the Port Safety Health and Environmental Management Code, the State of the Coasts (SOC) guideline, ICM post graduate degree curriculum, and ICM model training courses are being prepared and/or field-tested by the PEMSEA Resource Facility (PRF) in collaboration with various experts, institutions and organizations. In addition to the PRF, PEMSEA Partners are also developing good practices, guidelines and codes, based on their experiences, which may be recognized and shared as significant contributions to SDS-SEA implementation.
3. The purpose of this paper is to outline a standard procedure whereby such informative documents are developed, reviewed and adopted by PEMSEA, and eventually disseminated and put into use as "PEMSEA certified" codes, guidelines, good practices and training/education materials.

Detailed Stages of the Development of PEMSEA's Informative Documents

4. There are a number of guidelines available for the development of international standards, industry codes of practice, educational materials and curricula, and so on. Each of these employ a step-wise process that provides: a) a clearly established need for the material; b) the definition of technical scope of the material by the eventual users; c) preparation and writing of the material by qualified individuals and concerned stakeholders; d) an approval process; and e) a copyright and reviewing and updating procedure.

5. These main requirements for developing, approving and publishing PEMSEA informative documents could be covered through application of a seven-stage process, namely:

Stage 1: Proposal stage

Stage 2: Scoping stage

Stage 3: Preparatory stage

Stage 4: Enquiry stage

Stage 5: Approval stage

Stage 6: Publication stage

Stage 7: Review stage

6. The following is an outline of the seven stage process.

Stage 1: Proposal stage

The first step in the development of a PEMSEA informative document would be to confirm that the particular document is needed. A proposal for the development of a PEMSEA informative document would be submitted to the Technical Session of the EAS Partnership Council by the Executive Committee, a PEMSEA Partner, a PEMSEA Sponsoring Organization, a collaborating regional organization or institution, any Technical Committee or Subcommittee duly established by PEMSEA, or the PEMSEA Resource Facility. The Technical Session would review the objective and rationale for the document and determine the inclusion of the item in the PEMSEA work programme. If accepted, the Technical Session would recommend PEMSEA's commitment to the activity, as well as a proposed project team to undertake the work.

The recommendation would be forwarded to the Intergovernmental Session for review and consideration as part of PEMSEA's overall annual work programme and budget.

Stage 2: Scoping stage

A working group of qualified individuals and concerned stakeholders, the chairman of which is the project leader, would be set up by the PEMSEA Resource Facility in consultation with the Executive Committee. Working groups would consist of 5 to 10 individuals. Other experts may be invited to participate in the working group, as required, to cover specific issues. The PEMSEA Resource Facility would serve as secretariat to the working group.

Scoping of the proposed information document by the working group would entail a review of situations/subject areas to be covered, and an assessment of existing documents, good practices and standards that may guide the working group. In situations where the subject area is covered by available material, either nationally or internationally, the working group would need to decide whether to adopt that document rather than introduce a new one, or adopt and modify the existing material to regional conditions and usage.

Other matters to be considered during the scoping stage would include:

- ⇒ conformity of the proposed document with existing national regulations and international instruments;
- ⇒ an outline of the proposed document;
- ⇒ the work schedule, assignments and timeframe to complete the document; and
- ⇒ production, dissemination and promotion of the document to potential users.

It is important that copies of every PEMSEA informative document would be available and accessible to countries, organizations and individuals who require them, and that the distribution would not be restricted to PEMSEA Partners only.

Stage 3: Preparatory stage

The working group would be responsible for the preparation of a working draft. Successive working drafts may be considered until the working group is satisfied that it has developed the best technical solution to the issue/problem being addressed.

Depending on the scope of the document, the size of the working group, and the available budget, the working group would meet face-to-face during key stages of the document preparation only (e.g., scoping; final draft), but would otherwise interact electronically.

Once the working group is satisfied with its product, the draft would be forwarded to the Executive Director of the PEMSEA Resource Facility.

Stage 4: Enquiry stage

At this stage, the draft document would be circulated by the Executive Director to the Executive Committee, all PEMSEA Partners and Sponsoring Organizations, and key national and international organizations and institutions with special interests/experience in the subject area, for review and comment within a period of three months.

The comments would be received and collated by the PEMSEA Resource Facility and evaluated in collaboration with the chairman of the working group. If substantive technical issues have been raised, the working group would be requested to revisit the document to consider the comments. In such cases, the working group would further study the text and prepare the necessary revisions. The revised document would again be circulated for comment among the original group of reviewers, for a period of one month.

If there are no substantive technical issues raised during the enquiry stage, the PEMSEA Resource Facility will finalize the document in collaboration with the chairman of the working group.

Stage 5: Approval stage

The final draft of the informative document would be submitted to the Executive Committee for endorsement to Council, accompanied by a summary report of the

developmental and review process. The document would be submitted to the next meeting of the EAS Partnership Council, along with an advocacy plan for publishing, disseminating and promoting the document.

If technical comments are received during this period, they are no longer considered at this stage, but registered for consideration during a future revision of the document.

If the document is approved by the Council, the document is considered to be ‘PEMSEA certified’ and proceeds to publication and dissemination in accordance with the advocacy plan.

If the Council cannot reach consensus on the approval of the document, the document is referred back to the originating source (as identified in Stage 1) for reconsideration in light of the reasons cited by the Council.

Stage 6: Publication stage

Once a final document has been approved by Council, only minor editorial changes, if and when necessary, would be introduced into the final text. The final text would be prepared by the PEMSEA Resource Facility, which would also be responsible for publishing the document and for the implementation of the approved advocacy plan.

Copyright of the PEMSEA informative document would remain with PEMSEA. The exception would be when:

- ⇒ the final document is adopted in entirety from an existing document of another organization, in which case the copyright would remain with that organization; or
- ⇒ the final document adopts or adapts portions of an existing document, in which case the copyright of the final document would be shared with the original authors.

Stage 7: Review stage

All PEMSEA certified documents would be reviewed at least 3 years after publication, and every 5 years after the first review, by the Technical Session of the EAS Partnership Council. The Technical Session would make recommendations concerning confirmation, revision or withdrawal of the PEMSEA certified document.

The entire cycle (i.e., from Stage 1 to Stage 6) would take up to two years to complete.

Fast-tracking PEMSEA Informative Documents

7. If a document with a certain degree of maturity is already available, and is proposed as a PEMSEA informative document, for example a good practice developed by a Partner or another organization, it would be possible to omit certain stages in the proposed step-wise procedure. In a so-called “fast-track procedure”, consideration may be given for

such documents to be submitted as draft PEMSEA informative documents (Stage 4), without passing through previous stages. A recommendation would be made by the Technical Session of the EAS Partnership Council to employ a fast-track procedure.

International Workshop Products

8. Another possible means of generating a priority document in a short period of time would be for an interested party to propose an International Workshop Product (IWP) with PEMSEA. An IWP would produce a PEMSEA certified document through an international workshop, without going through the seven stage technical process identified above. A PEMSEA Partner, Sponsoring Organization or collaborating organization/stakeholder would propose to co-organize an international workshop resulting in an IWP. Partners, international experts and other stakeholders would directly participate in the workshop, and would contribute to the completion of the IWP. The advantages of this approach would be:

- ⇒ an IWP would be developed rapidly (e.g. published in less than 12 months) to address critical emerging environmental needs or public policy requirements in the region;
- ⇒ the PEMSEA brand would give international recognition and credibility to the IWP; and
- ⇒ IWPs could be precursors to PEMSEA-certified informative documents, and could be pre-tested prior to going through the technical process.

This process may be particularly suitable for training and education materials and model training courses.

Actions for consideration by the Technical Session:

9. The Technical Session is invited to recommend the adoption of the process for development, approval and certification of PEMSEA informative documents, and to request the PRF to pursue the implementation of the process in collaboration with the Executive Committee and Partners.
