

## ISBA/26/A/2

### Annex II: Status of implementation by the Secretariat 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 Secretariat	Status	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	Organ responsible	On going	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> ; ISBA/26/A/2).
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	(a) Report on the contribution of the Authority to the work of the United Nations on matters of mutual interest	Associated organ	On going	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> ; ISBA/26/A/2) as well as through the different inputs provided to the various reports prepared by the UN Secretary-General and presented to the meeting of the States Parties to UNCLOS, ICP and for the UN Resolution on the law of the sea.
	(c) Explore opportunities for establishing a memorandum of	Associated organ	On going	During the reporting period no additional MoU has been signed with other relevant

	understanding or any other relevant agreement to foster cooperation between the Authority and the United Nations			UN agencies. However, discussions have been engaged 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	Associated organ	On going	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 Strategic Plan and High-Level Action Plan for the Authority 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	(i) Report on the contribution of the Authority to the work of relevant international and regional organizations	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> ).
	(iii) Explore opportunities for memorandums of understanding or other cooperative arrangements to foster cooperation between the Authority and international and regional organizations	Organ responsible	Ongoing	(1) A MoU between the Secretariat of ISA and the Secretariat of the Sargasso Sea Commission has been signed in February 2020. (2) A MoU between ISA and IORA will be presented to the Council for approval at part II of the 26 <sup>th</sup> session ( <a href="#">ISBA/26/C/16</a> ).

				(3) Discussions are currently being held with ILO for the signing of a MoU.
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	Associated organ	Ongoing	Provide assistance to the LTC in revising the Recommendations for the guidance of contractors for the assessment of the possible environmental impacts arising from exploration for marine minerals in the Area ( <a href="#">ISBA/25/LTC/6/Rev.1</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	(i) Participate and contribute to the discussions at the intergovernmental conference on an international legally binding instrument under the United Nations Convention on the Law of the Sea on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction convened pursuant to resolution <a href="#">72/249</a> of the United Nations General Assembly, with a view to raising awareness of the mandate and role of the Authority	Organ responsible	Ongoing	In the course of the past three meetings of the IGC, ISA has raised awareness of its mandate and work and disseminated related information through statements, side events and suggestions. As of today, a total of 8 statements were delivered and 5 side events were held (ISBA/26/A/2).
	(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	Associated organ	Ongoing	(see <a href="#">ISBA/25/A/2</a> , paras. 108-110; ISBA/26/A/2 ; dedicated page on ISA website).

	of particular interest or of potential concern in relation to the existing legal regime for the Area and the mandate of the Authority			
	(iii) Increase general awareness and understanding of the legal regime through which the Authority contributes to the conservation and sustainable use of ocean resources and their associated marine biodiversity	Organ responsible	Ongoing	<p>(1) The secretariat organized in November 2019, an international conference on the “Legal, Scientific and Economic aspects of Deep Seabed Mining”, which included a presentation on issues related to the BBNJ negotiation, particularly CARICOM’s position on BBNJ. A book including the papers of the Conference is under preparation.</p> <p>(2) In addition, a representative of the Secretariat participated at the Second WMU Regional conference for the Americas, held in Veracruz, Mexico in October 2019 and delivered a presentation on “Opportunities in areas beyond national jurisdiction: the role of the International Seabed Authority”.</p>
1.4.1 Actively engage with members to achieve the effective and uniform implementation of relevant legal instruments through State practice	(ii) Promote and encourage the ratification of or accession to the Protocol on the Privileges and Immunities of the Authority	Associated organ	Ongoing	Correspondence was sent by the Secretary-General on 18 March 2020 to the remaining 16 members of ISA that are not parties to the Protocol on the Privileges and Immunities of the Authority. However, as of June 2020, no additional ratification or accession has been registered (ISBA/26/A/2).
	(iii) Report on the status of national legislation relating to deep seabed mining and related matters	Associated organ	Ongoing	A Note Verbale was circulated on 13 March 2020 to invite submission of national legislation. As of June 2020, no

				submission has been received. A report will be presented to the Council during the second part of the 26 <sup>th</sup> session (ISBA/26/C/19).
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	Associated organ	Ongoing	Report of Secretary-General the implementation of a programmatic approach to capacity development (ISBA/26/A/7).
	(ii) Recommend specific measures to address specific challenges that have been identified	Associated organ	Ongoing	Report of Secretary-General the implementation of a programmatic approach to capacity development (ISBA/26/A/7).
<b>Strategic direction 2: strengthen the regulatory framework for activities in the Area</b>				
2.1.1 Promote the development of rules, regulations and procedures covering all phases of deep sea mining activities	(i) Facilitate the review of inputs from the Council and comments from stakeholders on the draft regulations on exploitation	Associated organ	Ongoing	Two web-based compilations of submissions were prepared during the reporting period; as well as a note by the Secretariat prepared on general comments and observations ( <a href="#">ISBA/26/C/2</a> ); and a collation of specific drafting suggestions by members of the Council ( <a href="#">ISBA/26/C/CRP.1</a> ).
	(ii) Facilitate consultation on and a review of available options to be taken into consideration for deciding on the financial model	Organ responsible	Ongoing	The secretariat organized the III <sup>rd</sup> meeting of the open-ended informal working group (OEWG) on the financial terms in February 2020. The outcomes of the OEWG were reported to the Council ( <a href="#">ISBA/26/C/8</a> ).

				In line with the decision of the Council ( <a href="#">ISBA/26/C/13</a> ), the secretariat has called for comments on refining assumptions of the financial model by March 2020. The report requested by the Council in relation to further refinement of the two-stage fixed ad valorem royalty mechanism and the two-stage progressive ad valorem royalty mechanism is under preparation with the assistance of a consultant. The comparative study of seabed mining and land-based mining as requested by the Council is also under preparation.
	(iii) Review a possible operating framework for the review, development and integration of standards and guidelines	Organ responsible	In progress	<p>(1) The secretariat organized four virtual meetings for the two Technical Working Group to develop environmental standards and guidelines.</p> <p>(2) The Secretariat assisted the LTC in its work on standards and guidelines associated with the draft exploitation regulations by preparing 4 technical studies and papers and a set of 5 drafts standards and guidelines for consideration by the LTC at the first part of the 26<sup>th</sup> session, held in February/March 2020.</p>
	(iv) Submit revised draft regulations on exploitation for consideration by the Council	Organ responsible	Ongoing	Based on a scoping study on the interface of the competencies of ISA and ILO and the application of international labour instruments to activities in the Area prepared by the secretariat with the

				assistance of a consultant, the secretariat prepared a draft health and safety plan and a draft maritime security plan, adopted by the LTC with some amendments during the first part of the 26 <sup>th</sup> session and included in a draft of annex VI to the draft regulations for the Council's consideration ( <a href="#">ISBA/26/C/17</a> ).
2.1.2 Monitor and keep under review rules, regulations and procedures to ensure that they are consistent with the policies, objectives, criteria, principles and provisions set out in the Convention and the 1994 Agreement	(ii) Recommend measures to promote the compliance of contractors in future	Associated organ	Ongoing	During the reporting period, the Secretary-General has communicated in writing the various issues identified during the LTC's review of the annual reports of contractors to the relevant contractors and their sponsoring States and has held meetings with the contractors and the respective sponsoring States ( <a href="#">ISBA/26/C/3</a> , para.21).
2.1.3 Clarify the roles and responsibilities of the various stakeholders involved, in particular among the Authority, sponsoring States and flag States	Conduct a study on the roles and responsibilities of the various stakeholders involved	Coordinating organ	In progress	A report on the role of the sponsoring States is being finalized and will be published before the end of 2020.
2.6.1 Identify the potential impact of mineral production from the Area on the economies of developing land-based producers and the development of possible criteria for economic assistance	Conduct a study on the potential impact of mineral production from the Area on the economies of developing land-based producers	Organ responsible	Achieved	A draft report on the study prepared by a consultant was submitted to the LTC ( <a href="#">ISBA/26/C/12</a> ). The report has been finalized and an advance unedited version made publicly available on ISA website in May 2020.

<b>Strategic direction 3: protect the marine environment</b>				
3.1.1 Develop the regulatory framework for the protection of the marine environment from harmful effects which may arise from activities in the Area	(i) Review the application of the precautionary approach to activities in the Area	Associated organ	Achieved	(See <a href="#">ISBA/25/C/8</a> )
3.1.2 Implement the regulatory framework for the protection of the marine environment from harmful effects which may arise from activities in the Area	Develop a mechanism and procedure for the independent review of environmental plans and performance assessments under the draft regulations on exploitation	Coordinating organ	Achieved	(see <a href="#">ISBA/25/C/10</a> )
3.1.3 Keep under review the regulatory framework for the protection of the marine environment from harmful effects which may arise from activities in the Area	Review annual reports submitted by contractors	Associated organ	Ongoing	The secretariat conducted a preliminary evaluation of all 29 annual reports submitted by contractors, with a view to assisting the LTC to review those reports at part II of the 26 <sup>th</sup> session.
3.2.1 Develop regional environmental assessments and management plans for all mineral provinces in the Area where exploration or exploitation is taking place	(i) Implementation of the Authority's strategy for the development of regional environmental management plans	Associated organ	In progress	The secretariat co-organized a workshop on "Deep CCZ biodiversity synthesis" (October 2019) and a workshop for the development of a REMP in the northern Mid Atlantic Ridge (November 2019). The reports on the outcomes of the two workshops have been made publicly available on ISA website and summarized in <a href="#">ISBA/26/LTC/2</a> . The secretariat also held an informal workshop for the LTC in February 2020 to discuss key scientific approaches and outcomes of the two workshops (see <a href="#">ISBA/26/C/12</a> ).



	(ii) Develop and implement a standardized approach for the design and development of regional environmental management plans	Organ responsible	In progress	A guidance document has been prepared by the secretariat and updated in November 2019. It will be further developed as requested by the Council.
	(iii) Report on progress with the implementation of the Authority's programme for regional environmental management plans	Organ responsible	In progress	Progress are reflected in the proceedings of the experts workshop on "Deep CCZ biodiversity synthesis" (October 2019) and of the workshop for the development of a REMP in the northern Mid Atlantic Ridge (November 2019), both available on ISA's website.
3.2.2 Facilitate the implementation, in cooperation with contractors, sponsoring States and other relevant stakeholders, of regional environmental management plans for all mineral provinces in the Area where exploration or exploitation is taking or will take place	No output against this action	Coordinating organ (in partnership with LTC)	Ongoing	Dialogue with contractors and scientific organizations is being pursued on taxonomic standardization, as a priority action under the CCZ-EMP.
3.2.3 Keep under review the implementation of the regional environmental management plans, including with regard to the challenges and constraints identified therein, for all mineral provinces in the Area where exploration or exploitation is taking or will take place	(iii) Review the effectiveness of existing areas of particular environmental interest and consider the designation of additional areas	Coordinating organ	In progress	The workshop on "Deep CCZ biodiversity synthesis" for the review of the CCZ-EMP was organized in October 2019 by ISA in partnership with the Deep Clarion-Clipperton Zone project and the financial support of the Gordon & Betty Moore Foundation, the Pew Charitable Trust and the University of Hawaii (Oct 2019). The outcomes of the workshop were discussed at the first part of the 26 <sup>th</sup> session of the LTC ( <a href="#">ISBA/26/LTC/2</a> ). The secretariat will

				assist the LTC to carry out the further work during the intersessional period (between March to July 2020) on the placement and configuration of additional areas of particular environmental interest ( <a href="#">ISBA/26/C/12</a> , para.31-33)
3.3.1 Facilitate public access to non-confidential information	(i) Develop procedures and mechanisms to facilitate access to non-confidential environmental information	Organ responsible	In progress	The secretariat compiled all the data submitted by contractors into ISA database (“DeepData”).
	(ii) Ensure the availability of and access to non-confidential environmental information through the Authority’s database	Organ responsible	Achieved	ISA database (“DeepData”) launched during the 25 <sup>th</sup> session of the Assembly ( <a href="#">ISBA/25/A/17</a> , para.40). All environmental data are accessible by the general public through DeepData.
3.3.2 Encourage participation by stakeholders in the development and review of the regulatory framework adopted for the protection of the marine environment	(i) Develop procedures and mechanisms to facilitate the consultation of stakeholders	Organ responsible	In progress	Communications and Stakeholder Engagement strategy under development. The Secretariat is willing to ensure that inputs and views from all relevant stakeholders could be collected before finalisation. It is anticipated that a first draft will be made available in September 2020 for a finalisation before the end of 2020.
	(ii) Ensure the availability on the Authority’s website of the submissions received from all stakeholders in response to the	Organ responsible	Ongoing	All submissions have been made publicly available for each public consultation organized on the draft exploitation regulations ( <a href="#">ISBA/25/C/2</a> ).

	public consultation on the draft regulations on exploitation			
3.4.2 Keep under review the adequacy of the monitoring programmes and methodologies	(i) Review environmental impact assessments for testing collector components in the exploitation areas	Coordinating organ	In progress	The Secretariat has undertaken the preliminary review for completeness of the EIS submitted by India in April 2020, against the template contained in the Recommendations for the guidance of contractors for the assessment of the possible environment impacts arising from exploration for marine minerals in the Area, developed by the LTC ( <a href="#">ISBA/25/LTC/6/Rev.1</a> ). The EIS will be reviewed by the LTC in July 2020.
3.5.1 Monitor, through cooperation with contractors, sponsoring States and other stakeholders, pollution and hazards to the marine environment from seabed activities undertaken in the Area	(i) Develop standards and guidelines for monitoring and ensuring the conduct of risk assessments	Coordinating organ	In progress	This issue was identified by the LTC as part of its work on the standards and guidelines associated with the draft exploitation regulations. During part I of the 26 <sup>th</sup> session, the LTC decided that it would revisit the need for standards and guidelines on that topic in the light of the content of other relevant standards and guidelines currently under development ( <a href="#">ISBA/26/C/12</a> , para.24).
3.5.3 Implement the relevant requirements relating to the protection of the marine environment as contained in part XII of the Convention	Compile relevant guidelines on the development and management of marine protected areas beyond national jurisdictions	Organ responsible	Ongoing	The secretariat provided scientific and technical inputs for the development of standards and guidelines relating to EIA/ERA, EMMP and baseline studies.

<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	Associated organ (in partnership with the Council)	In progress	Different initiatives are currently under development to deliver against this action including to strengthen deep sea taxonomic knowledge standardization and sharing.
4.1.3 Establish strategic alliances and partnerships with Governments, international organizations, contractors and other relevant stakeholders to advance research related to the environmental effects of activities in the Area	Create a collaborative network of scientific institutions to support the collection, analysis and archiving of environmental information and the development of long-term observation systems	Organ responsible	In progress	Scientific partnerships have been established with: (i) the Deep CCZ project (University of Hawaii) funded by the Gordon and Betty Moore Foundation and the Pew Charitable Trusts, (ii) as well as the Atlantic REMP Project funded by the European Union. For the reporting period these partnerships have enabled the organization of the Biodiversity Synthesis workshop to review the CCZ-EMP and the workshop for the development of a REMP for the northern Mid-Atlantic Ridge.
4.2.1 Enhance the collection, compilation, analysis and synthesis of research results and analysis, when available, in particular from contractors, including through the Authority's database as the principal repository for data and information related to the deep seabed and associated water column	Facilitate standardized approaches for taxonomic identification among contractors	Organ responsible	In progress	The secretariat is currently in discussion with different potential partners to implement long-term scientific partnerships to enhance deep sea taxonomic knowledge, standardization and sharing.
4.2.2 Ensure the dissemination of research results and analysis, when available, in a timely manner	(i) Collect and disseminate environmental baseline data collected by contractors	Organ responsible	In progress	The secretariat has continued to collect data submitted by contractors together with their reports on annual activities.

				All data have been compiled in DeepData.
	(ii) Implement the Authority's data management strategy	Organ responsible	In progress	A draft data management strategy has been developed and will be finalized before the end of 2020.
	(iii) Expand taxonomic atlases for deep seabed and water column organisms	Organ responsible	In progress	The secretariat is currently in discussion with different potential partners to deliver against this specific output.
4.3.1 Establish and enhance partnerships for improved sharing of data and information	Integrate non-confidential environmental information with the Ocean Biogeographic Information System of the Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific and Cultural Organization	Associated organ	In progress	Due to the unavailability of OBIS team, and competing priorities of the secretariat, the delivery of this output had to be delayed. Nevertheless, technical steps have been taken to start sharing biodiversity data with OBIS and a pilot testing is currently being implemented.
4.3.2 Raise awareness of the Authority's database as the primary repository for data and information related to the deep seabed and associated water columns, and its potential contribution to the advancement of global knowledge and understanding of the deep sea, including in the context of the United Nations Decade of Ocean Science for Sustainable Development	Launch the Authority's database	Organ responsible	Achieved	The ISA database ("DeepData") has been launched during the 25 <sup>th</sup> session ( <a href="#">ISBA/25/A/17</a> , para.40)
4.3.3 Build up, enhance and expand the Authority's database and facilitate the production of data analysis and synthesis, through partnerships with various scientific partners	Develop data visualization tools for multiple stakeholders	Organ responsible	In progress	Data visualization was used in preparation of the data report compiled for the workshop for the development of a REMP in mid-Atlantic Ridge (November 2019), and further collaboration between the Secretariat and

				OBIS on this aspect is in progress. It is envisaged that further collaboration with OBIS will enhance the accessibility to and the analytical functions of DeepData.
4.4.1 Promote and strengthen partnerships with the international scientific community, including by involving it in workshops and technical publications	Co-organize workshops on the synthesis of scientific and environmental data and information and the assessment of data gaps from different mineral provinces	Organ responsible	Ongoing	Workshops on integrating scientific information on mid-ocean ridge and taxonomic standardization are planned for the last quarter of 2020 and early 2021. It is envisaged that such workshops will be used to initiate discussions on scientific collaborative platforms among contractors and the scientific community.
4.4.2 Promote and facilitate access to non-confidential information and data related to the marine environment	Request data from external users	Organ responsible	Ongoing	Environmental data collected by contractors are currently accessible by all users through DeepData.
4.5.2 Develop processes to assess the environmental implications of activities in the Area and disseminate and publish, as appropriate, the results of any such assessment	Publish technical reports on the environmental risk assessments of activities in the Area	Organ responsible	On hold	This output has been temporarily put on hold for the LTC to be able to finalize the development of relevant standards/guidelines for environmental risk assessment by LTC, with a view to ensure that all documents produced be consistent.
<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	(i) Report on initiatives developed to facilitate the identification of the needs of developing States	Organ responsible	Achieved	Report of Secretary-General the implementation of a programmatic approach to capacity development (ISBA/26/A/7).

	(ii) Collect input on the identification of the emerging needs of developing States, in particular geographically disadvantaged States, small island developing States, least developed countries and landlocked developing countries	Organ responsible	Achieved	Report of Secretary-General the implementation of a programmatic approach to capacity development (ISBA/26/A/7).
	(iii) Develop a capacity-building strategy for the Authority that addresses the needs identified by developing States	Organ responsible	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.
5.1.2 Adjust capacity-building programmes as necessary to meet the needs of developing States	(i) Make adjustments to address the needs identified by developing States	Organ responsible	In progress	Following on the discussions that will be held at the 26 <sup>th</sup> session of the Assembly, the Secretariat will take the necessary steps to adjust the capacity development programmes/initiatives implemented by ISA.
	(ii) Recommend specific measures to address the needs identified by developing States	Organ responsible	Achieved	Report of Secretary-General the implementation of a programmatic approach to capacity development (ISBA/26/A/7).
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	Organ responsible	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	Organ responsible	Achieved	Report of Secretary-General the implementation of a programmatic approach to capacity development (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	Organ responsible	In progress	The secretariat is taking steps to identify ways and means to promote further funding opportunities for the EFMSR.
5.2.2 Participate in global financing mechanisms to foster funding opportunities for the Endowment Fund for Marine Scientific Research in the Area and its beneficiaries	No output against this action	Organ responsible	In progress	Steps have been taken to identify potential relevant financial mechanisms and further is expected to be achieved before the end of 2020.
5.3.1 Promote, prioritize and implement capacity-building measures in all projects and activities, as far as practicable, implemented by the Authority, alone and in partnership,	(i) Ensure the dissemination of and access to all information on capacity-building opportunities on the Authority’s website	Organ responsible	On going	During the reporting period, the secretariat advertised a total of 75 capacity-building opportunities including: 63 training places under 15



with an emphasis on the needs identified by developing States				contractor training programmes, 2 funded internships and 10 national experts secondments with the Secretariat.
	(ii) Ensure that all the Authority's projects and activities, as far as practicable, contain a dedicated capacity-building component	Organ responsible	Ongoing	All projects and activities currently under development contain a capacity-building component.
	(iii) Develop and implement measures and process that ensure the selection of the best qualified candidates	Organ responsible	On going	(1) The secretariat assisted the LTC to continuously improve the process it uses to select candidates through recommendations (2) The secretariat is also upgrading the trainees' database which will further improve evaluation of applicants. (3) In the context of the implementation of the Africa Deep Sea Resources project (ADSR), and in consultation with the geological subgroup of the LTC, the secretariat has developed specific terms of reference including eligible criteria, to attract the best candidates for the two-month secondments to be organized in geology and ocean policy/blue economy within the secretariat. More than fifty applications have been received and ten candidates have been selected including five women.
	(iv) Promote and develop excellence in deep sea research among young scientists and researchers from developing States	Organ responsible	On going	(See <a href="#">ISBA/25/A/2</a> ; ISBA/26/A/2).

	through the Secretary-General's awards			
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	Organ responsible	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	Organ responsible	Achieved	Report of Secretary-General the implementation of a programmatic approach to capacity development (ISBA/26/A/7).
5.4.2 Facilitate the adjustment of contractor training programmes to meet the needs of developing States	(ii) Develop cost-effective measures to improve the delivery of the contractors' training programmes	Organ responsible	In progress	The secretariat has initiated conversations with the training sub-group of the LTC on this matter.
<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	Organ responsible	Ongoing	Some measures have been identified in the report of the Secretary-General relating to capacity development and additional elements are further developed in the ISA MSR Action Plan

				in support of the UN Decade of Ocean Science ISBA/26/A/7 ; <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	Organ responsible	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	Organ responsible	Achieved	Consultation organized 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 States members of the Authority from participating fully in activities in the Area	Organ responsible	In progress	A review of all capacity-building programmes and initiatives implemented by ISA has been commissioned by the 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	(i) Develop a network of entities providing training opportunities for personnel from developing States	Organ responsible	In progress	(1) The secretariat is taking steps to identify relevant national institutions for providing such training opportunities. (2) It is envisaged that the ISA-China Joint Training and Research Centre will further assist in developing the network.
	(ii) Promote and facilitate the establishment of regional centres of excellence for strengthening capacities in developing States	Associated organ	Ongoing	No specific output has been achieved on this matter.
	(iii) Establish and maintain a database of trainees from developing States who have benefited from training opportunities	Organ responsible	In progress	The present database will be revamped into a relational database to provide improved access and maintenance due to its growing size and complexity. It is envisaged that the new database will be available by the end of 2020.
6.3.2 Actively promote partnerships with Governments, contractors and international organizations to maintain and develop training opportunities for personnel from developing States	(i) Facilitate the selection of qualified candidates for training programmes under plans of work	Organ responsible	Ongoing	The Secretariat advertises the training opportunities, collates a list of candidates, pre-evaluates the qualifications of candidates, and provides assistance to the LTC training group during the session or intersessionally ( <a href="#">ISBA/26/LTC/3</a> ).
	(ii) Report on the implementation of training programmes	Organ responsible	Ongoing	Regular report is made during each session of the LTC ( <a href="#">ISBA/26/C/12</a> , para

				4; <a href="#">ISBA/25/C/19/Add.1</a> , para 3; and <a href="#">ISBA/25/C/19</a> , para. 6).
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	Organ responsible	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 ( <a href="#">ISBA/26/LTC/3</a> ). Further initiatives are currently under development to foster the action of ISA in that regard.
6.4.1 Update the resource assessment of the reserved areas as new data and information become available	Report on detailed resource assessments of the reserved areas that are available to the Enterprise and developing States	Organ responsible	Achieved	Policy brief on the current status of the reserved areas published in 2019 ( <a href="#">policy brief 1/2019</a> ); and the updated resource assessment has been completed.
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	Organ responsible	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> ).
	(ii) Commission a report from the designated Special Representative of the Secretary-General for the Enterprise on the proposal by the Government of Poland for a joint venture with the Enterprise	Organ responsible	Achieved	(See <a href="#">ISBA/26/C/15</a> ).

	(iv) Establish a voluntary trust fund for the purpose of providing the funds necessary for the work of the Special Representative of the Secretary-General for the Enterprise	Organ responsible	Achieved	The Secretariat prepared the terms of reference for the fund for the consideration by the FC at its 25 <sup>th</sup> session ( <a href="#">ISBA/25/FC/6</a> , para.12-13 and annex). The fund was established on 1 March 2019. A report on the status of the Fund will be presented to the FC at part II of the 26 <sup>th</sup> session ( <a href="#">ISBA/26/FC/2</a> ).
<b>Strategic direction 7: ensure equitable sharing of financial and other economic benefits</b>				
7.1.1 Develop and implement, on a non-discriminatory basis, rules, regulations and procedures for the equitable sharing of financial and other economic benefits derived from activities in the Area	Conduct a study on the equitable sharing of financial and other economic benefits from deep seabed mining	Organ responsible	Achieved	In response to a request made by the FC in 2018, a report on criteria for the equitable sharing of financial and other economic benefits derived from deep seabed mining was developed and submitted for preliminary discussion with the LTC and the FC during part II of the 25 <sup>th</sup> session. In 2020, the FC has been provided with an updated report on this question ( <a href="#">ISBA/25/A/10- ISBA/25/C/31</a> , para.26-33)
<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	Organ responsible	Achieved	(See <a href="#">ISBA/25/A/15</a> ; <a href="#">ISBA/25/A15/corr.1</a> )
	(ii) Develop the secretariat's business plan	Organ responsible	In progress	Preliminary work has been done to deliver against this output and it is

				envisaged that it will be finalised in July-August 2020.
	(iii) Develop and maintain a good working environment based on a strong management culture	Organ responsible	On going	Since 2017, emphasis has been placed on improving the delivery of programmes by ISA through optimization of performance at all levels (ISBA/ST/AI/2017/3 ; ISBA/ST/AI/2018/1).
	(iv) Ensure excellence in the provision of administrative services by the Authority	Organ responsible	On going	(See ISBA/ST/SGB/2020/4)
	(v) Ensure compliance with United Nations security and safety policies	Organ responsible	In progress	The Secretariat is currently reviewing the ISA Security and Safety Plan developed in 2017 in conjunction with UNDSS, in Jamaica. It is envisaged that the plan should be finalized by the end of June 2020.
	(vi) Recommend an alternative methodology benefiting from the ongoing implementation of the International Public Sector Accounting Standards in the accounting of the secretariat	Organ responsible	Achieved	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 Finance Committee for its

				consideration at the 26 <sup>th</sup> session ( <a href="#">ISBA/26/FC/3</a> ).
	(vii) Report the exact cost for supervising and administering the contracts for exploration	Organ responsible	Ongoing	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> ).
8.1.2 Develop and maintain a risk management framework	(i) Review the secretariat's risk management exercise for the biennium 2019–2020	Organ responsible	In progress	The review has been commissioned to a consultant and finalised in June 2020.
	(ii) Establish a risk register and business continuity plan for the Authority	Organ responsible	In progress	The development of the business continuity plan and disaster recovery procedures have been commissioned to a consultant and together with the risk register has been finalised in June 2020.
8.1.3 Implement human resource policies that will attract and retain talents to strengthen the institutional capacity of the Authority	Ensure the performance of the recruitment process	Organ responsible	On going	The secretariat has progressively reviewed and updated the relevant policies since 2017 to improve the performance of the recruitment process, taking into account ISA's immediate short and long term needs as well as ensuring alignment with UN agencies and



				other relevant intergovernmental organizations. Particular attention has been given to ensure gender balance as well as consistent competency based interviews in recruitment, the use of INSPIRA and the development of ISA recruitment portal.
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	(i) Enhance the Authority's capacity through professional development and learning	Organ responsible	On going	In line with the learning and development policy of the secretariat (ISBA/ST/SGB/2018/1), a Learning and Advisory Board has been established (ISBA/ST/SGB/2018/3; ISBA/ST/IC/2019/3) to advise the senior management group on the learning and development priorities and plans for staff. As a result, 44 staff members have benefited of training in 2019 and 2020.
8.1.5 Develop, implement, enhance, support and manage information systems and standard operating procedures in support of a knowledge- and information-based organization	(i) Develop, implement and keep under review the communications and information technology services to ensure the efficient delivery of services by the Authority	Organ responsible	On going	The secretariat has continued, on the basis of the recommendations received from the Communications and Information Technology Steering Committee established in 2017 (ISBA/ST/SGB/2017/8; ISBA/ST/IC/2018/5; ISBA/ST/IC/2020/6) to improve and streamline CIT services utilizing upgraded network servers, virtualization and upgraded features particularly to allow the Secretary-General, staff, members of the LTC/FC as well as permanent representatives and relevant

				experts to meet remotely and progress discussion on the work of the secretariat.
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	Associated organ	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	Associated organ	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> ; <a href="#">ISBA/25/A/17</a> , para.12 and <a href="#">ISBA/25/A/16</a> ).
	(ii) Develop measures and mechanisms to encourage contributions by members and relevant stakeholders to the programmes, projects and initiatives of the Authority	Organ responsible	Achieved	(See <a href="#">ISBA/25/A/16</a> , enclosure 1, para.13 -17)
8.2.2 Implement and keep under review working methods and processes of the organs of the Authority	(i) Issue a report of the Secretary-General on the implementation of the decision of the Council	Organ responsible	On going	(See <a href="#">ISBA/25/C/12</a> ; <a href="#">ISBA/25/C/12/Add.1</a> ; <a href="#">ISBA/26/C/3</a> ).
	(iv) Review the financial rules and regulations, as needed	Coordinating organ	On going	No amendment has been identified as necessary for the reporting period.
	v) Revise the guidelines on the organization and method of work, as needed	Organ responsible	On going	(see ISBA/ST/SGB/2020/4).

8.3.1 Adopt, implement and keep under review measures for the effective, efficient and transparent utilization and management of the Authority's resources	(i) Ensure proactive communication and engagement with member States on the status of assessed contributions	Organ responsible	On going	Regular communications was sent to respective member between November 2019 and May 2020. Furthermore, the Secretariat has developed a mailing list of all focal points for each Member with a view to ensure proactive communication and engagement on the status of assessed contributions.
	(ii) Ensure the timely submission of financial reports	Organ responsible	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	Organ responsible	On going	(See <a href="#">ISBA/25/FC/6</a> ; <a href="#">ISBA/26/FC/2</a> ).
	(iv) Introduce a result-based budget	Organ responsible	Achieved	While the result-based budget framework is not formally requested by ISA's financial rules and regulations, the budget formulation of ISA defined the objectives and expected results and outputs which justify the resource requirements. This is essentially used for the financial management of the different programmes.

8.4.1 Identify long-term options for the sustainable financing of the Authority's operations	(ii) Develop a resource mobilization strategy for the Authority	Organ responsible	In progress	Preliminary work has been undertaken in this and it is envisaged that this strategy will be finalised by the end of 2020.
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	Organ responsible	In progress	Preliminary work has been undertaken 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, contractors and other stakeholders to develop and enhance the impact of the Authority's operations	Report on strategic partnerships established to support the Authority's programmes and activities	Organ responsible	On going	(See ISBA/26/A/2).
<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	(i) Organize informational workshops to raise awareness of the Authority's role and mandate, as well as of benefits associated with the sustainable development of deep seabed resources	Organ responsible	On going	The most recent informational workshop has been organized in September 2019, in partnership with Myanmar and the Korean Maritime Institute in Nay Pyi Taw ("ASEAN & BIMSTEC workshop on deep seabed resources and the Blue Economy"). A dedicated program is included in the budget proposal for 2021-2022 (ISBA/26/A/2; ISBA/26/A/7).
	(ii) Develop communications tools (e.g., briefing papers and technical studies) to support outreach activities	Organ responsible	On going	(See ISBA/26/A/2).
	(iii) Develop communications activities to celebrate 25 years of contribution by the Authority to the	Organ responsible	Achieved	(See ISBA/26/A/2).

	implementation of the Convention, the strengthening of ocean governance and the implementation of the sustainable development agenda			
	(iv) Report on the activities undertaken by the Authority to increase public outreach	Organ responsible	On going	(See ISBA/26/A/2).
9.1.2 Raise awareness of the role of the Authority in global ocean governance and for the implementation of the 2030 Agenda, in a timely and cost-effective manner	Strategically position the Authority in international meetings and forums to raise awareness of its role in global ocean governance and the implementation of the 2030 Agenda	Organ responsible	On going	(See ISBA/26/A/2).
9.2.1 Promote and enhance the availability of, and access to, non-confidential information and, in particular, consider a wider dissemination of information, analyses and decisions relating to the work of the Authority, especially through the Authority's database	(i) Explore with contractors the possibility for making contracts for exploration and associated programmes of activities publicly available	Associated organ	In progress	Work is currently in progress to draw up a summary template, for public release, that would cover the key elements of the non-standard provisions of each contract (ISBA/25/C/12, paras. 24–25). Further discussion took place on that matter at the 3 <sup>rd</sup> Contractors Meeting held in October 2019 in Changsha, China. The format of the template was finalized, and it was agreed that the Secretary-General would report on the decision of contractors to voluntarily submit the completed templates to the Council for publication and would inform the Council of the number of contractors that had already submitted the template at that time ( <a href="#">ISBA/26/C/3</a> , para 18).
	(ii) Develop a new website of the Authority that meets the needs of	Organ responsible	Achieved	The new website of ISA has been formally launched in June 2020.

	member States and other relevant stakeholders			
	(iii) Ensure that the Authority's website is regularly updated and provides information in a timely manner	Organ responsible	On going	Updates are systematically uploaded on ISA website.
	(iv) Ensure the publication of workshop reports and technical studies in a timely and effective manner	Organ responsible	On going	During the reporting period, 4 technical studies, 1 report, 4 workshop reports, and 8 other general publications have been made publicly available on ISA website.
	(v) Maintain and develop the Satya N. Nandan Library as a primary source for information on deep seabed mining and the law of the sea	Organ responsible	Ongoing	(See <a href="#">ISBA/25/A/2</a> ; ISBA/26/A/2).
9.3.2 Develop clear, open and cost-effective working practices and procedures to ensure that the chain of responsibility and accountability is properly managed in the development, implementation and enforcement of technical, environmental, operational, scientific and safety regulations and standards for activities in the Area	(i) Undertake periodic reviews of the implementation of approved plans of work for exploration	Organ responsible	Ongoing	The periodic review process continued to be refined during the 25 <sup>th</sup> and 26 <sup>th</sup> Sessions. As a result, the role of LTC was defined more clearly, recommendations on the standardisation of the format of periodic reports was finalised by the LTC and the Secretariat implemented its standardised process of reviewing periodic reports ( <a href="#">ISBA/26/C/4</a> ).
	(ii) Report on the status of contracts for exploration and related matters, including information on the periodic review	Coordinating organ	Ongoing	(See <a href="#">ISBA/25/C/9</a> ; <a href="#">ISBA/25/LTC/2</a> ; <a href="#">ISBA/26/C/4</a> )

	of the implementation of approved plans of work for exploration			
	(iii) Encourage contractors to provide detailed programmes of activities for five-year periods that include clear objectives	Coordinating organ	Ongoing	During part I of the 26 <sup>th</sup> session of the LTC, the secretariat assisted in developing a template for the content of periodic reports and presented the template to the contractors ( <a href="#">ISBA/26/C/12</a> ).
	(iv) Develop a framework for establishing a registry of contracts in accordance with best international practice	Organ responsible	In progress	Work will be undertaken to identify best international practice for registry of contracts which will provide the basis for developing and implementing the a framework within the Secretariat. It is envisaged that this will be finalised by 2020.
	(v) Organize meetings with contractors to ensure dialogue between them and the Authority, monitor the implementation of training programmes and encourage contractors to share relevant data and information on the Authority's database	Organ responsible	Ongoing	The 3 <sup>rd</sup> annual contractors meeting was held in October 2019 in Changsha, China. Tentatively, the 4 <sup>th</sup> meeting will be held in October 2020. (see <a href="#">ISBA/26/C/3</a> )
	(vi) Report on the outcomes of the contractors' meetings.	Organ responsible	On going	(See <a href="#">ISBA/26/C/3</a> )
9.3.3 Keep under review the effectiveness of working practices and procedures	No output against this action	Organ responsible	Ongoing	(See 8.1.1 (iii)).

9.4.1 Promote the adoption of a communications and stakeholders' engagement strategy	(i) Develop and implement a communications and stakeholders' engagement strategy	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.
9.4.2 Actively engage relevant stakeholders in the work of the Authority, as appropriate	(i) Develop administrative elements and processes to engage relevant stakeholders in the work of the Authority	Organ responsible	Ongoing	Processes have been regularly put in place to allow stakeholders to engage in the work of ISA.
	(ii) Facilitate the consultation of relevant stakeholders in the development of the draft regulations on exploitation	Organ responsible	On going	The Secretariat called for comments to the Refining assumptions of the Financial model with deadline by 23 March 2020. The Secretariat invited written comments on the draft regulations on exploitation of mineral resources in the Area (see <a href="#">ISBA/25/C/WP.1</a> ) and received 39 submissions of comments on the draft regulations. ( <a href="#">ISBA/26/C/2</a> )
	(iii) Consider the implications of holding open meetings for the Legal and Technical Commission and how such meetings could be structured to facilitate meaningful input and exchanges in specific subjects	Coordinating organ	Achieved	(See <a href="#">ISBA/25/C/19</a> , para. 26).