The *Next* Wave

Marine Safety Strategic Plan

2003–2010

Canada

The Next Wave

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Message from the Minister

It has long been recognized that the marine sector is a vital component of Canada's transportation network, and of the nation's economy. Its safe and secure operations will always be of paramount importance, whether transporting passengers or goods.

On February 25, 2003, I released *Straight Ahead – A Vision for Transportation in Canada*, a document that provides the framework for the transportation system for the next decade and beyond. Supporting the strategic planning process within Transport Canada is just one of the commitments I made in that publication. With that in mind, I am pleased to present *The Next Wave*, Transport Canada's Marine Safety Strategic Plan 2003-2010.

The Next Wave continues the strategic direction set out in the previous document, *The Way Ahead 1997-2002*, and charts the course for the Marine Safety program in the years ahead. This new plan supports the commitments outlined in *Straight Ahead*, and presents the overall strategies to promote a stronger safety culture within the marine industry both domestically and internationally.

Transport Canada will continue to work in partnership with marine stakeholders to promote a safer and more secure marine transportation system in Canada, and to realize the vision articulated in *Straight Ahead – A Vision for Transportation in Canada.*

Hon. David M. Collenette, P.C., M.P.
Minister of Transport

Foreword from the Director General

One of the commitments in *Straight Ahead – A Vision for Transportation in Canada* was that Marine Safety would articulate its strategic priorities in a new planning document. As many of you are aware, Marine Safety's original strategic plan, *The Way Ahead 1997–2002*, reached full maturity at the end of last year. A key achievement of this plan was the enactment of the *Canada Shipping Act, 2001*, which became a reality in November 2001.

While the strategic direction articulated in *The Way Ahead* is still valid, the Marine Safety Executive felt it was time to revisit the strategic planning process in order to create a new plan that is reflective of today's marine industry and consistent with Marine Safety's ongoing priorities and initiatives. This revitalization process was initiated through a strategic planning session held in fall 2002. From this session, a draft plan was developed and through the collaboration and effort of many Marine Safety personnel, a strategic plan was articulated that will chart the course for the Marine Safety program for the coming years. This plan is entitled *The Next Wave, Marine Safety Strategic Plan 2003–2010*.

Why *The Next Wave*? First, there is the obvious association with the sea, the lifeblood of our industry. Second, just like the waves that roll on to our shores, our commitment to the safety of the marine industry is constant and never ending. Finally, the adjective "next" signifies that this is not our first plan nor will it be our last, but one of a series that will, hopefully, have a positive cumulative effect.

The selection of a 2003–2010 timeframe will align Marine Safety's strategic planning process with that of other modes within the Safety and Security business line and meet Transport Canada's objective of achieving a common planning horizon by 2010 as indicated in *Straight Ahead – A Vision for Transportation in Canada.*

While our previous plan focused on strategies that impacted Marine Safety's internal environment, the new plan is outward looking and builds on Marine Safety's vision, which calls for a marine industry where safety and environmental protection are the top priorities. Our new plan emphasizes the establishment of performance-based requirements and innovation including the development of a quality assurance program and safety management system. The plan also commits to the ongoing development of information systems to ensure data collection systems provide the best possible information for safety planning and decision-making. These initiatives will promote consistency in program delivery throughout the Marine Safety program.

These are busy times at Marine Safety. As always, our efforts are aimed at improving safety at sea, with an ever-increasing focus on small commercial vessels and regulatory reform. The Marine Safety National Training Program, mandated to develop and deliver technical training courses to Marine Safety personnel, has made great strides and is in the process of implementing a mandatory training program for new inspectors. Also on the horizon, Marine Safety will roll out a new safety regime for all domestic vessels, including small vessels previously exempt from inspection.

The success of these and other initiatives presently underway within Marine Safety will be guided by the implementation of this strategic plan. Much progress has already been made including the development of an action plan for each strategic objective and the identification of specific target dates for completion. The plan will be considered a living document and updated on a regular basis, highlighting our accomplishments along the way. Our ability to meet these objectives will be a true measure of our effectiveness as an organization.

In order to put *The Next Wave* into action we must work together towards achieving our objectives. This will require communication, action and reaction involving our employees, our stakeholders and the public. We feel ours is a vision worth pursuing and invite you to participate fully in its realization.

Gerard McDonald
Director General, Marine Safety

Introduction

Transport Canada's Marine Safety program performs a key role in Canada's marine transportation system by developing and enforcing a safety framework for all segments of the domestic and foreign marine industries. This is done through collaboration with partner organizations such as domestic and international industry associations, labour unions, special interest groups, marine training institutions, classification societies, and federal and provincial government departments. The public is the ultimate beneficiary of our services.

The Marine Safety program's first strategic plan, *The Way Ahead*, was completed in 1997 and had a planning horizon of 2002. Although the program was successful in achieving many of the objectives outlined in the plan, it is clear that some objectives are ongoing and new challenges are constantly emerging. With these challenges in mind, the Marine Safety Executive Management Committee developed a new planning framework to guide future decision-making and resource allocation. The planning framework, once incorporated into the strategic planning process, will identify the links between our activities, key outputs and expected results.

This strategic plan reflects the government's modern comptrollership philosophy and is the foundation for Marine Safety's integrated management improvement

agenda. It articulates Marine Safety's strategic direction for 2003 to 2010 and outlines the strategies chosen to achieve our mandate in the context of the challenges at hand. The plan identifies Marine Safety's objectives and describes how the program will achieve the desired results. How well we achieve these objectives will be the measure of our success.

Canada: A Maritime Nation

- Canada is home to the largest inland waterway open to ocean shipping.
- In 2000, over 40 million passengers and 17 million vehicles traveled by ship in Canada, representing over 15 percent of worldwide ferry traffic.
- Marine is the dominant mode of overseas trade, with annual shipments in excess of $100 billion.
- Over 75,000 small commercial vessels ply our waters.
- In 2001, the Canadian marine transportation sector directly employed more than 25,000 people.

What We Do

The purpose of the Marine Safety program is to protect life, health, property and the marine environment, thereby contributing to an efficient and sustainable marine transportation system in which the public can have continued confidence.

The Marine Safety program encompasses the full spectrum of responsibilities related to the safety of vessels and environmental protection, including:

- developing, administrating and enforcing national and international laws;

- promoting safe practices and procedures;
- overseeing training programs for officers and crews of commercial vessels;
- responding to marine occupational safety and health issues;
- maintaining a Canadian ship registry;
- licensing small commercial vessels; and
- overseeing pilotage matters.

Our Vision

Our vision describes the marine safety environment we want to achieve through the implementation of this plan.

Marine Safety Vision

A marine industry where safety and environmental protection are the top priorities.

Our Mission

Our mission describes how we plan to achieve our vision and the contributions we will make along the way.

Marine Safety Mission

To continuously maintain and enhance safety and the protection of life, health, property and the marine environment through:
- the development, maintenance and implementation of an effective regulatory regime;
- education and awareness; and
- monitoring and enforcement.

Our Values

Values provide guidance when establishing priorities and communicating Marine Safety's strategic direction. We are committed to managing our business, people and financial resources according to professional and ethical standards. The values of Marine Safety reflect those of Transport Canada.

Respect:	for our colleagues and clients by being open, fair and honest in all of our dealings.
Professionalism:	continuous learning and development of our expertise, ongoing innovation, working conscientiously and in a fiscally prudent manner.
Collaboration:	listening and communicating openly, showing trust in our colleagues and clients, sharing responsibility and resources.
Service:	providing excellent service to our clients within the context of our overall commitment to public safety.
Communication:	practicing open communication by meeting face-to-face with our colleagues, clients and stakeholders whenever possible.

Safety Culture

The Marine Safety program has significantly enhanced the safety culture of the marine transportation sector by overhauling the marine legislative regime, including amending the *Canada Shipping Act*. Our continued focus on such initiatives as the implementation of safety management systems and the small vessels inspection program will enable the Marine Safety program to meet its responsibilities for public safety and build a strong safety culture with its stakeholders.

Safety Indicators and Targets

The safety culture within Marine Safety is further enhanced by our ability to report on performance indicators that are linked to the main activities of the program. Senior management has identified four indicators, on which the program will report annually. These indicators derive from official Transport Canada and Transportation Safety Board publications and have enabled the program to set realistic targets for the future.

Safety Indicators and Targets (cont'd)

The Marine Safety program has committed to achieving the following safety targets by 2010:

Safety Indicators	5 Year Average (1998–2002)	Target 2010
Number of marine fatalities	33.8	20% reduction of 1998–2002 average
Number of reported marine injuries	80.2	30% reduction of 1998–2002 average
Canadian commercial accident rate* (per 1000 trips)	3.8	20% reduction of 1998–2002 average
Foreign flag commercial accident rate* (per 1000 trips)	2.0	20% reduction of 1998–2002 average

* The accident rate is the number of shipping accidents by Canadian or Foreign Flag commercial vessels involved in domestic and international trade as reported by the Transportation Safety Board.

Source: Transportation Safety Board of Canada, TSB Statistical Summary – Marine Occurrences 2002, Catalogue No. TU1-1/2002, ISBN 0-662-67170-8.

Environmental Scan

Identifying strengths, opportunities and challenges from both an internal and external perspective is an important component of the strategic planning process and will play a key role in realizing the strategic outcomes outlined in this plan.

Internal Environment

Strengths

- professional, dedicated, experienced employees with specialized knowledge

- an evolving national training program for inspectors

- well-developed databases and electronic infrastructure

- a strong domestic and international reputation

- a cohesive management team

- effective communications within the program

- empowered managers and employees

Challenges

- ongoing recruitment and retention challenges due to a combination of demographics and technical requirements

- requirement to achieve program objectives and develop new program systems with finite resources

- increased workload due to new initiatives in areas such as small vessel safety

- need for further standardization of policies and procedures

- new technologies and processes creating additional training and learning requirements

External Environment

Opportunities

- increased environmental awareness and the promotion of environmental protection by other organizations

- technology changes resulting in safer vessels

- improved competency levels in the domestic and international industry

- increased international cooperation supported by International Maritime Organization and International Labour Organization agreements and conventions

- regulations requiring that officer and crew certificates be revalidated

- working with the Transportation Safety Board to identify areas where safety can be enhanced

- greater industry transparency (port state control, classification societies, industry associations)

- industry support of proper regulations and standards (more active involvement, self-inspection potential)

- increased profile of passenger vessels, supporting tourism development

- increased communication within the industry

- increased industry understanding of prevention strategies and safety management systems

- security measures accelerating the development of safer navigational procedures and safety systems such as the Automated Identification System and the Global Marine Distress and Safety System

Challenges

- impact of new technologies on training requirements for seafarers

- economic health of the marine industry and its potential impact on safety

- complexity of the shipping industry, including its various organizations and types of operations

- changing configuration of the shipping industry, including complex ownership and crew management arrangements, creates equally complex safety oversight operations

- participation of multiple federal government departments in marine issues continues to require proper coordination to maximize benefits

- impact of global warming and other environmental factors, such as marine pollution, on marine safety issues

- potential threat of terrorism in the marine industry and the impact of security measures on ship and crew safety issues

Strategic Objectives and Outcomes

The examination of the preceeding internal and external environmental factors supports the planning process by identifying issues that must be resolved to maximize the potential for achieving our goals. These issues form the basis of our strategic objectives, which will guide the future activities of the program.

To streamline the planning process, our strategic objectives are grouped under four key activity areas that make up the Marine Safety program. These activity areas are: compliance and enforcement, education and awareness, program management and regulatory framework. These activity areas, which mirror Marine Safety's performance measurement framework, help facilitate the setting of goals and objectives for easy monitoring and measurement against clearly defined performance indicators. They also promote consistency in planning throughout the program.

Strategic objectives and related activities for each of the four key activity areas have been identified. These activities are primarily short-term initiatives and set out how Marine Safety plans to implement its strategic objectives over the coming years. These activities will be updated regularly and tracked as part of an ongoing and integrated planning process.

Activity Area — Compliance and Enforcement

Strategic Objective	Activity
• Develop a risk-based inspection regime	• Refine the Ship Inspection and Reporting System • Develop a compliance and enforcement program for small vessels less than fifteen gross registered tonnes • Develop and implement the Small Vessel Inspection System • Ongoing analysis of data with annual reports to the Marine Safety Executive • Provide feedback to industry and inspectors • Develop an appropriate and reasonable compliance philosophy for different industry sectors
• Develop appropriate competencies and training for inspectors and crews/operators	• Inspector training for small vessels • Evaluate approved training schemes and standards • Educate the public and disseminate information
• Delegation of inspection responsibility	• Complete the implementation of a monitoring regime • Implement a reporting system • Develop an auditing regime • Maintain compliance agreements with classification societies • Review the inspection regime • Explore further delegation opportunities
• Further enhance the pollution prevention regime	• Optimize surveillance and enforcement • Seek increased penalties • Explore alternative compliance strategies • Support international initiatives

Outcome

Increased compliance with the requirements of the Marine Safety program and enhanced understanding of its delivery.

Strategic Objectives and Outcomes

Activity Area   Education and Awareness

Strategic Objective	Activity
• Develop an education and awareness plan	• Develop an inventory of the existing initiatives • Form working groups using headquarters and regional expertise • Draft communications and education plans • Present the plans to the Marine Safety Executive for approval • Implement the plans • Monitor the plans • Review and refine the plans
• Engage key players in extending communications in their areas	• Identify key players by program • Create a national stakeholder database • Engage key players • Establish and enhance partnerships
• Implement specific program education and awareness plans	• Form working groups • Develop strategies and action plans and include key players • Implement plans • Monitor plans • Review and refine plans

Outcome

Increased awareness of safe and environmentally sound marine practices.

Strategic Objectives and Outcomes

Activity Area

Program Management

Strategic Objective	Activity
• Achieve robust internal communications	• Hold regular staff meetings • Hold national managers meetings • Hold national inspectors meetings • Hold headquarters staff information sessions • Provide regional and international updates electronically • Enhance communications tools (e.g., virtual bookshelf, examnet, inspectornet) • Hold regular information sessions (regional, inter-regional and national) • Hold regular planning sessions • Implement a communications plan to monitor the progress of strategic objectives and related activities
• Complete the service line review	• Establish the terms of reference • Collect and analyze data • Determine service level standards and resource requirements
• Establish an integrated planning framework	• Complete the development of performance measures • Implement systems for data collection and reporting • Implement the National Time and Activity Reporting System
• Establish a national quality assurance program	• Implement the Marine Safety Management System online • Develop policies and procedures • Initiate regional quality assurance programs • Develop an internal audit program
• Establish a formalized National Training Program for inspectors	• Staff the manager's position for the National Training Program • Develop and implement a formal training policy • Finalize the roles and responsibilities document • Approve the mandatory training program • Secure permanent funding for the program • Develop course curricula • Develop a training database

Strategic Objectives and Outcomes

Activity Area

Program Management (cont'd)

Strategic Objective	Activity
• Build upon the program's strength in human resources	• Present staff with continuous learning opportunities • Support workforce renewal through the development of succession plans and mentoring programs • Develop knowledge transfer solutions • Establish goals and objectives with staff • Consolidate regional human resource plans for review by the Marine Safety Executive • Develop tools and systems to support audit and alternative inspections methods • Continue to promote the evolution of the inspection role (e.g., audit, delegation) by developing competencies and tools
• Develop a comprehensive Information Management/ Information Technology strategy	• Prepare a situational analysis highlighting existing and emerging systems • Marine Safety Executive review of priorities for systems development

Outcome

Marine Safety program established and managed responsibly to achieve maximum results with allocated resources.

Strategic Objectives and Outcomes

Activity Area

Regulatory Framework

Strategic Objective	Activity
• Develop a comprehensive regulatory reform support strategy	• Develop a change management strategy • Formulate a consultation plan • Integrate reform into regional and national Canadian Marine Advisory Council processes
• Bring the *Canada Shipping Act, 2001* into force through regulatory development	• Articulate the scope • Develop a regulatory reform plan with revised timelines • Develop discussion papers for each proposed regulation • Draft and publish new regulations • Bring the *Canada Shipping Act, 2001* and related regulations into force

• Implement the regulatory regime	• Internally, provide:
	  – orientation
	  – training
	  – new tools
	  – publicity
	• Externally, provide:
	  – orientation
	  – seminars
	  – publicity
	  – industry champions

• Fine-tune the regulations	• Assess the revised regulations of Phase II regulatory reform • Undertake operational fine-tuning of the regulations • Make adjustments to the regulations as required
• Assist Pilotage Authorities in the development of a modern, efficient regulatory regime for pilotage	• Realize unresolved recommendations of the *Ministerial Review of Outstanding Pilotage Issues* • Make progressive adjustments to regulations as required • Attempt to resolve any outstanding issues of concern within the system

Outcome

A streamlined, modern regulatory framework relevant to the marine industry.

Commitment to Results

The Marine Safety program is committed to introducing results-based performance measurement and has adopted a logic model that is consistent with Transport Canada's results model. (A logic model is a map that explains the links between activities, key outputs and expected results. It provides a framework for building a focused set of results indicators and is a means of shifting focus from inputs and outputs to the achievement of expected results.)

The Marine Safety logic model is presented in Figure 1. The key elements of the model are described below.

- **Activity Areas:** These are core elements of Marine Safety's business and are not meant to be function specific. While most functions may fit primarily within one activity, it is conceivable that some functions will fit into multiple activity areas.

- **Key Outputs:** These are the primary products or services delivered with each activity area. These outputs are not exhaustive, but instead are meant to clarify the scope of the activity area.

- **Immediate Outcomes (Tier I):** These are the results for which Marine Safety managers can be held accountable. Associated indicators focus on what was delivered and how it was delivered.

- **Intermediate Outcomes (Tier II):** These are the results over which Marine Safety managers have a direct influence. Associated indicators reflect how or whether activities are facilitating behavioral changes that are expected to lead to an "improved state".

- **Ultimate Outcomes (Tier III):** These are the results over which Marine Safety managers have an indirect influence. Associated indicators measure changes in the desired end state.

While the model clarifies the relationship between activities and their outcomes, it is important to understand the nature of these links. Specifically, while there is a direct link between activities, outputs and immediate outcomes, the links between these and the intermediate and ultimate outcomes do not necessarily represent a one-to-one relationship. Achieving the two latter outcomes will only be possible if all the activities of the Marine Safety program are undertaken.

The strategic plan is not an action plan or work plan. Rather, it is a blueprint intended to offer direction. Specific action plans with targeted completion dates will flow from each of the identified activities. These plans will be updated annually and will be used in the preparation of performance agreements and the service line plan.

A communications plan will also be implemented to ensure Marine Safety employees are kept informed of progress made against each of the identified activities. The Marine Safety program is committed to achieving results, and the strategic plan will be revised as necessary to reflect changing priorities and to ensure the most effective and efficient use of the program's resources.

Figure 1 – Marine Safety Logic Model

Marine Safety

Activity Areas

Compliance and Enforcement	Education and Awareness	Program Management	Regulatory Framework

Key Outputs

Compliance and Enforcement	Education and Awareness	Program Management	Regulatory Framework
• Certificates (e.g., inspection, personnel, registration) • Approvals (e.g., product, equipment) • Reports [e.g., Inspection, Investigation, Pollution, Occupational Health and Safety, Enforcement (planned), Compliance (planned)] • Penalties	• Safety and environmental promotional/awareness materials • Information for external stakeholders • External training courses, manuals and guidance materials • Consultation materials and reports	• Information for internal stakeholders (e.g., virtual bookshelf, databases) • Resource management services (e.g., HR, $, IM/IT) • Administrative Services (e.g., contracts, purchase orders) • National Training Program • Directives • Ministerial correspondence and briefing notes • General correspondence • Plans (e.g., Strategic Plan, Service Line Plan) • Service standards (planned) • Performance analysis and reporting • Quality assurance reports • Management activities • Organizational issues	• Legislation and Regulation • Policy • Technical Standards • Participation reports (e.g., International Maritime Organization, United Nations) • Agreements (e.g., MOUs, conventions, treaties) • Research and development results/findings

Immediate Outcomes

Compliance and Enforcement	Education and Awareness	Program Management	Regulatory Framework
Increased compliance with the requirements of the Marine Safety program and enhanced understanding of its delivery	Increased awareness of safe and environmentally sound marine practices	Marine Safety program established and managed responsibly to achieve maximum results with allocated resources	Streamlined, modern regulatory framework relevant to the marine industry

Intermediate Outcomes

Compliance and Enforcement	Education and Awareness	Program Management	Regulatory Framework
Ongoing compliance with regulations	Acceptance of greater responsibility by the marine community for the safety regime and for the protection of the environment	Constructive relationships between Marine Safety and stakeholders	Effective harmonization of regulatory requirements with other jurisdictions

Ultimate Outcome
Protection of life, health, property and the marine environment