IALA COUNCIL **December 8 - 10, 2014**
59th Session **IALA Headquarters**

Agenda item 8 – TECHNICAL ACTIVITIES

8.1   **Policy Advisory Panel**

8.1.3   Proposal for Introducing a New Document Scheme

Note by the Secretariat

1   SUMMARY

This paper contains the description of a proposed new scheme for IALA guidance documentation, to meet the Goals and Strategies of the IALA Strategic Vision.

2   BACKGROUND

PAP27 was convened to advise on a future IALA document policy, to take account of and meet the needs of the IALA Strategic Vision.

PAP27 input papers and presentations noted that the present IALA document hierarchy, where Recommendations and Guidelines are paramount, had become less clearly defined, with the distinctions within the hierarchy becoming unclear to some Committee members and with documents thus having inappropriate content. PAP27 also noted the Strategic Vision approved by Council at its 56th session.

Using the general ideas developed at PAP27, the Secretariat prepared a draft input paper to Council 59 for prior consideration by LAP13 and then by PAP28.

LAP13 provided comment on this paper which then became input paper to PAP28, "PAP28-5.1.1 - New Document Policy revised by LAP13.docx".

PAP28 developed this paper further, benefiting from the attendance at PAP28 of the Vice-Chair of LAP and the LAP member from AMSA. The Secretariat then finalised the proposal to Council which now follows.

3   EXISTING IALA DOCUMENTS

The present guidance product line-up of IALA is as follows.

- Recommendations
- Guidelines
- Manuals
- Model Courses (for the World Wide Academy), which are approved by the WWA Board

4   IALA STRATEGIC VISION

The Strategic Vision for IALA 2014-2018 was approved by Council at its 56th session. The portions of its content which is directly relevant to a new policy on IALA Documentation are as follows.

From Goals for 2026

- G1 - Ensure that aids to navigation systems and related services, including e-Navigation, Vessel Traffic Services, and emerging technologies, are harmonised through international cooperation and the provision of standards

From Strategy for 2014-2026

- G1 S1 - Develop standards suitable for direct citation by States in areas deemed important by the General Assembly, and continue to improve strong governance, including document policy and procedure for standards

From Priorities for 2014-2018

- P1 - Transform the IALA product line by redefining and restructuring existing documentation to meet the future needs of the organisation, including document content, the approval process, and accessibility

- P2 - Deliver a limited suite of high level standards suitable for direct citation by States and by other international organisations

5   PROPOSED NEW DOCUMENT STRUCTURE

5.1   Conceptual document structure

PAP27 concluded that the present Recommendations and Guidelines should be replaced by a three-level pyramid of guidance documents.
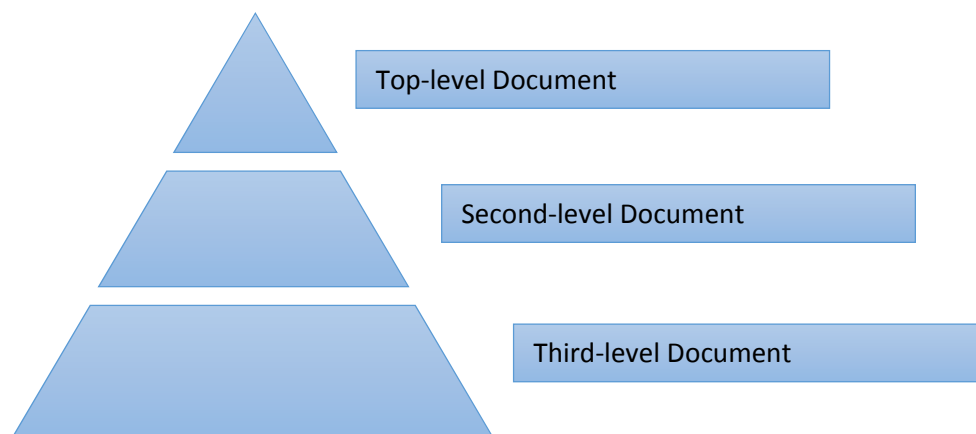

Figure 1   Three-level pyramid of guidance documents

Every Second-level Document should sit under a Top-level Document, and there would one or more Second-level Documents sitting beneath a Top-level document. Similarly there would be Third-level Documents sitting beneath a Second-level Document.

This could be depicted as follows, where the document titles have been created as examples, and do not represent proposed titles.
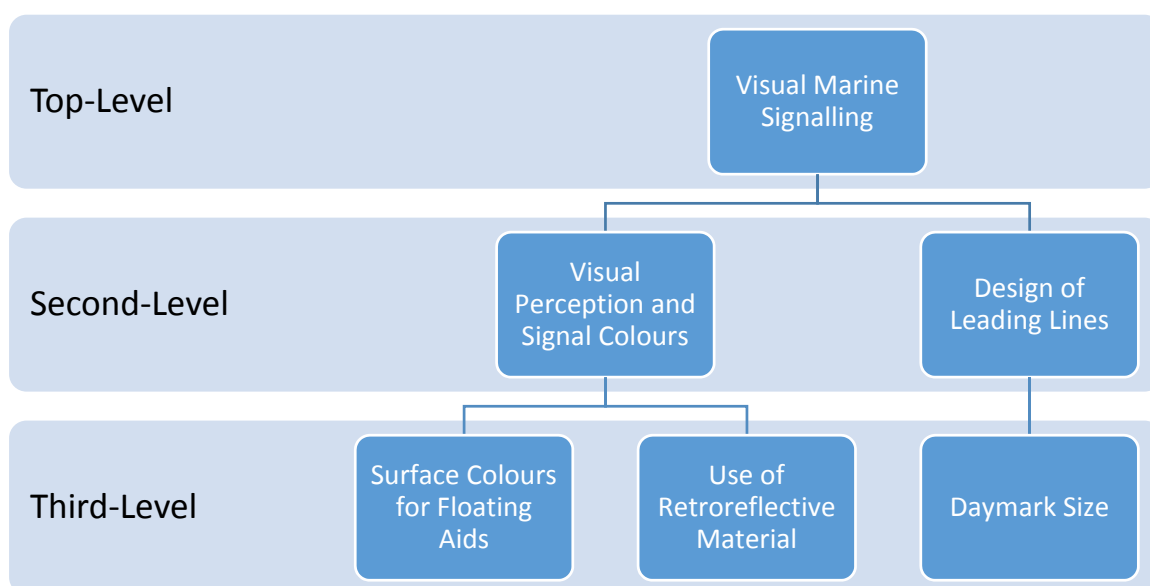
Figure 2   Examples of three-level pyramid of guidance documents

PAP27 concluded, and PAP28 confirmed, that the three types of document could be named Standard, Recommendation, and Guideline respectively. Thus the above example would become:-
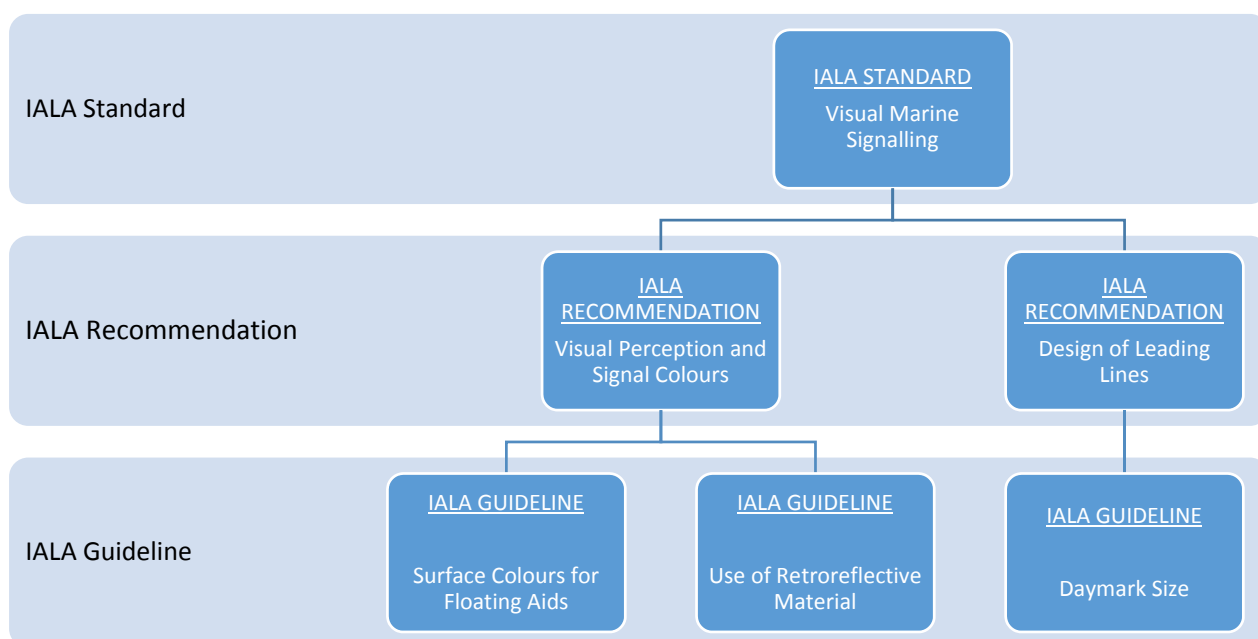

Figure 3   Hierarchy of IALA document products with examples

5.2   Document definitions for Standard, Recommendation, and Guideline

PAP27 did not create definitions for each of these three levels of document, but developed ideas from which definitions were proposed by the Secretariat for consideration by PAP28. PAP28 then finalised these definitions as follows.

Document	Definition
IALA Standard	IALA Standards form a framework, implementation of which by all coastal states will harmonize marine aids to navigation worldwide. IALA standards cover technology and services.
IALA Recommendation	IALA Recommendations describe how to plan, design, operate, and manage marine aids to navigation in order to comply with IALA Standards. Each Recommendation is related to an IALA Standard.
IALA Guideline	IALA Guidelines provide information on aspects of IALA Recommendations, indicating best practices for implementation. Each Guideline is related to an IALA Recommendation.

The logic of the three-level pyramid thus becomes clearer, and the purpose of each level of document can be described in the following revision of the above diagram.
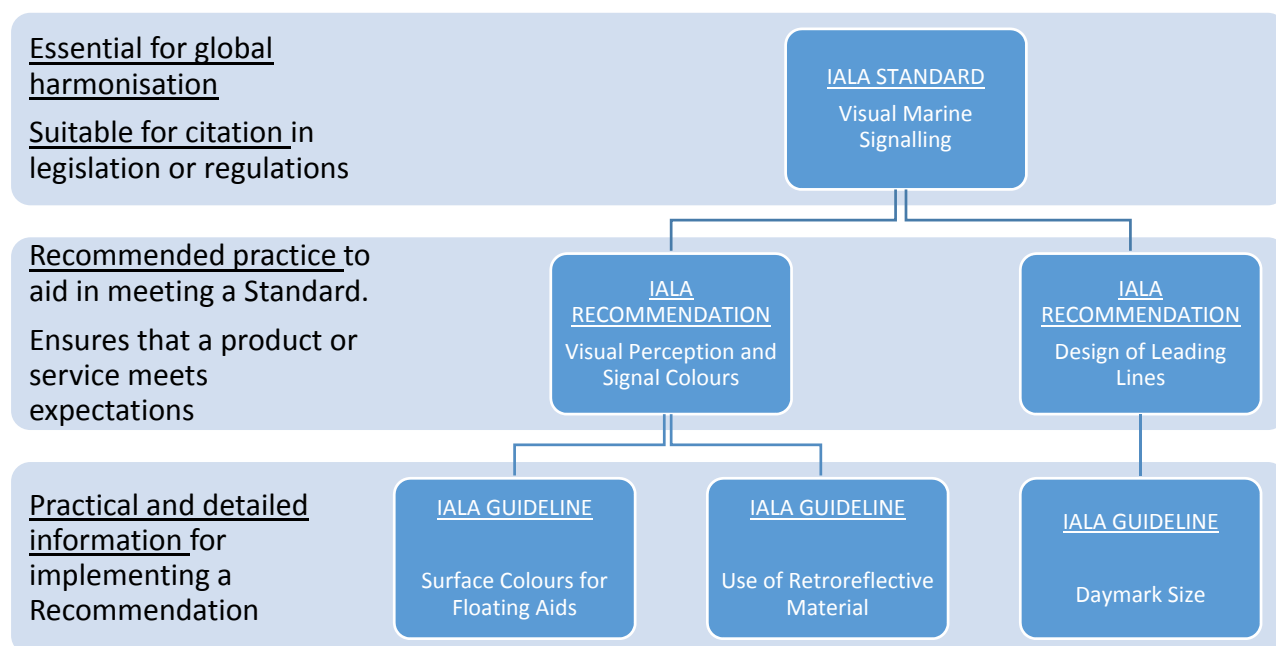

Figure 4   Hierarchy of IALA document products showing the purpose of each level of document

5.3   Total proposed new document structure for IALA including Manual and Model Course

Adding Manuals and Model Courses to the hierarchy results in five types of documents, as described in the following table.

5.4 Proposed new document structure

Document type	Definition	Purpose	Typical users
Standard	IALA Standards form a framework, implementation of which by all coastal states will harmonize marine aids to navigation worldwide.	Essential for global harmonisation. Suitable for citation in legislation or regulations.	• State • National authority • IGO
Recommendation	IALA Recommendations describe how to plan, design, operate, and manage marine aids to navigation in order to comply with IALA Standards. Each Recommendation is related to an IALA Standard.	Recommended practice to aid in meeting an IALA Standard, and which may be suitable for citation in legislation or regulations. Ensures that a product or service meets expectations	• State • National authority • Local authority • Industrial Member • Contractor
Guideline	IALA Guidelines provide information on aspects of IALA Recommendations, indicating best practices for implementation. Each Guideline is related to an IALA Recommendation.	Practical and detailed information for implementing an IALA Recommendation	• Manager or technician • Industrial Member • Contractor
Manual	IALA Manuals provide an overall view of a wide subject area.	Introduction to broad topic areas, such as Vessel Traffic Services, Aids to Navigation, and Heritage.	• State • National authority • Manager or technician
Model Course	IALA Model Courses are training documents which define the level of training and knowledge needed to reach levels of competence defined by IALA.	For training of managers, operators and technicians to the IALA recommended level of competence.	• State • National authority • Teaching staff • VTS personnel • Managers • Technicians

6   THE APPROVAL PROCESS FOR DOCUMENTS IN THE IALA CONSTITUTION

6.1   Comments on the Constitution of IALA, as approved 2014-05-27, concerning guidance documents and their approval

The Constitution of IALA was amended by the IALA General Assembly on 2014-05-27. The following table lists and comments on those portions of the Constitution that are concerned with guidance documents.

Article Number	*Concerning*	*Text extract from the Article*	*Comment*
3	The aim of IALA	• formulating and publishing appropriate recommendations, standards and guidelines, manuals and other appropriate papers;	The sequence and punctuation are unusual, but the creation by IALA of standards, recommendations, and guidelines is clearly stated
7.1	Functions of the General Assembly	The General Assembly, among other things: • Decides the overall policy of IALA. • Elects the members of the Council (see Article 8). Councillors are elected for the period between two General Assemblies. Councillors may be re-elected. • Decides upon changes to the Constitution.	There is no specific provision in the Constitution for a General Assembly to make decisions on standards, recommendations, guidelines, or manuals. However this article does not limit the functions of the General Assembly, nor preclude the General Assembly from making other decisions. Therefore approval of standards could be made by the General Assembly. There is no mention in Article 7 of electronic or postal voting.
8.2.3	Functions of the Council	• approves recommendations, guidelines, manuals and other appropriate papers;	Clearly states that Council approves recommendations, guidelines, and manuals. Standards are not mentioned. The meaning of "other appropriate papers" is not described, but would include other low level documents.
8.2.3	Functions of the	• convenes General	Taking note of Article 7.1,

Article Number	Concerning	Text extract from the Article	Comment
	Council	Assemblies;	the Council can convene a General Assembly to approve standards.
9	Committees	Committees are established by the Council to study matters relevant to the aim of IALA with the objective of preparing standards, recommendations, guidelines and manuals for IALA members and submissions to other organisations. Recommendations, guidelines, manuals and submissions require the approval of the Council.	Clearly states that the Committees prepare (draft) standards, recommendations, guidelines and manuals for approval by Council. There is no prescribed approval process here for standards.

Taking note of the above table, the following points seem clear.

- Formulating and publishing "appropriate recommendations, standards and guidelines, manuals end other appropriate papers" is part of the work of IALA

- Recommendations, guidelines, manuals, and "other appropriate papers" are approved by the IALA Council. The meaning of "other appropriate papers" is not defined but would include other low level documents

- The General Assembly should ordinarily approve standards at the next session.

6.2   Content of the IALA Strategic Vision 2014-2026

It is valuable to look again at the IALA Strategic Vision, where we find the following. (Emphasis added by the Secretariat.)

From Goals for 2026

- G1 - Ensure that aids to navigation systems and related services, including e-Navigation, Vessel Traffic Services, and emerging technologies, are harmonised through international cooperation and the provision of standards

From Strategy for 2014-2026

- G1 S1 - Develop standards suitable for direct citation by States in areas deemed important by the General Assembly, and continue to improve strong governance, including document policy and procedure for standards

The IALA Council, in approving the Strategic Vision, presumably envisaged that the IALA General Assembly would determine the areas in which IALA standards should be developed. If this is so, then the approval process for standards should involve a decision by the General Assembly.

This decision might be via an instruction or guidance to Council to proceed in a specific way with the approval of standards, for example by the General Assembly deciding that Council

can approve some or all standards. Another way would be for the General Assembly to vote on individual draft standards, after being convened for that purpose by the Council.

7   APPROVAL OF DOCUMENTS

7.1   Provisions in the Constitution

Recommendations, guidelines, and manuals should be approved by Council, according to the Constitution.

Model Courses are presently approved by the WWA Board and endorsed by the Council.

If IALA is to "develop standards suitable for direct citation by States in areas deemed important by the General Assembly[1]" then the method for their approval is by the General Assembly.

7.2   Proposed approval scheme

The approval mechanism for all IALA guidance documents is proposed in the table, at 8.3.

The following comments apply to the table.

1) The process for securing General Assembly approval (or rejection) of a draft standard might involve a series of actions

   a) The draft standard is developed by the Committee(s)

   b) PAP considers the draft standard and if PAP agrees on the need then PAP forwards the draft standard to Council for consideration

   c) If Council decides that there is a need for the draft standard it submits the draft to the IALA General Assembly for approval.

   d) The General Assembly decides in accordance with Article 7.1 of the Constitution

2) The decision of a General Assembly by simple majority of votes cast is defined by Article 7.3

3) Standards should ordinarily be approved at regular General Assembly. If convening a General Assembly for standard(s) approval, it is recommended to have a number of draft standards if possible. On the other hand a standard of great importance, for example a modernisation of the maritime buoyage system, might alone justify a General Assembly

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[1] Standards are non-mandatory

7.3 Proposed document structure and approval mechanism

Document type	Definition	Purpose	Approval method
Standard	IALA Standards form a framework, implementation of which by all coastal states will harmonize marine aids to navigation worldwide. IALA standards cover technology and services.	Essential for global harmonisation Suitable for citation in legislation or regulations	**By the IALA General Assembly in accordance with Article 7.3 of the Constitution.**
Recommendation	IALA Recommendations describe how to plan, design, operate, and manage marine aids to navigation in order to comply with IALA Standards. Each Recommendation is related to an IALA Standard.	Recommended practice to aid in meeting an IALA Standard, which may be suitable for citation in legislation or regulations. Ensures that a product or service meets expectations	**By the IALA Council in accordance with Article 8.4 of the Constitution.**
Guideline	IALA Guidelines provide information on aspects of IALA Recommendations, indicating best practices for implementation. Each Guideline is related to an IALA Recommendation.	Practical and detailed information for implementing an IALA Recommendation	**By the IALA Council in accordance with Article 8.4 of the Constitution.**
Manual	IALA Manuals provide an overall view of a wide subject area.	Introduction to broad topic areas, such as Vessel Traffic Services, Aids to Navigation, and Heritage.	**By the IALA Council in accordance with Article 8.4 of the Constitution.**
Model Course	IALA Model Courses are training documents which define the level of training and knowledge needed to reach standards of competence defined by the IALA WWA.	For training of managers, operators and technicians to the IALA recommended level of competence.	**By WWA Board and endorsed by the IALA Council.**

8 DOCUMENT DESIGN AND STYLE

The Secretariat intends to commission a style guide for IALA. This would cover layout, colours, fonts, etc. and would be compatible with the new website. The style guide would be extended to all visual material, including business cards, liaison notes, letterhead, etc..

9 DISTRIBUTION PROCESS FOR IALA DOCUMENTS

9.1 Electronic or printed documents

Electronic distribution is the logical method for IALA guidance documents and is the method now in use, via the IALA website, for recommendations, guidelines, and model courses.

At present, manuals are still distributed in printed form, but the general feeling at PAP27 and PAP28 was that manuals should also move to electronic distribution. The merits are that sections/chapters could be kept up to date, and information would be more accessible to users than at present.

Following the decision taken at Council Session 54 (Report clause 18.2), all downloads from the IALA website require the user to register first. This allows the Secretariat to gather statistics and also permits charging when required. It would be logical to include manuals within this requirement.

9.2 Proposed distribution process

The proposed distribution method is as follows.

Document type	Distribution method
Standard	Download from IALA web*
Recommendation	Download from IALA web*
Guideline	Download from IALA web*
Manual	Download from IALA web*
Model Course	Download from IALA web*
	* Registration required

10 CONSEQUENT ACTIVITY

If the above proposals are agreed by Council, then the following new activities will need to be carried out. The precise timing of these activities will need consideration.

Action	Carried out by	Comment
Formulate a draft pyramid scheme for the new standards, recommendations, and guidelines	PAP, ARM Committee, and Secretariat	For Council approval
New templates for standards, recommendations, and guidelines	Secretariat & PAP	For Council approval. Would be subcontracted to expert supplier.
New document numbering system	PAP & Secretariat	For Council approval

Migration plan for website	Secretariat	
Changes to website	Secretariat	Subcontracted
Plan for first General Assembly to approve standards	Secretariat	For Council approval. Could be 2018.
Promotion of the change	Secretariat	Bulletin, Maritime press, IALA website, email shots
Overall supervision of the change	PAP & Secretariat	

11   ACTION REQUESTED

The Council is requested to approve

- The proposed document structure and approval mechanism at 7.3 above
- The proposed distribution process at 9.2 above

The Council is requested to consider the points 1) to 3) in clause 7.2 above, in particular Point 1) concerning the process for bringing a draft standard to a vote by the General Assembly

And to make decisions on these as it sees fit.

END