

Agenda item 7: IALA Documentation Policy

## **Draft Input to IALA Council Proposing a New Policy on IALA Documentation**

### **Background**

A new level of IALA documentation is proposed for approval by the Council at its next session: IALA standards.

Discussions at the General Assembly that approved the new IALA Constitution raised an issue regarding the lack of clarity as to approval of Standards, which fall outside the scope of the Council.

Furthermore, there is a need for a clear definition of what is a standard, and if an IALA standard should become mandatory.

### **Action requested from the Panel**

The LAP is requested to consider the legal implications of an IALA standard, using the document reproduced in the next pages as a basis, and provide advice to the IALA Council, which will be invited to approve it at its session 59 in December 2014.

PAP28	Input
Agenda item	5.1
Author(s) / Submitter(s)	Deputy Secretary-General

## **Draft Input to IALA Council Proposing a New Policy on IALA Documentation**

### **1 SUMMARY**

Draft content of an input paper to Council 59, concerning the proposed new policy on IALA guidance documentation, compatible with the IALA Strategic Vision.

### **2 ACTION**

PAP is requested to consider and advise on content.

## **Agenda item X –IALA DOCUMENTATION**

### **X.X Proposal for Introducing a New Document Scheme**

#### Note by the Secretariat

## **1 SUMMARY**

Description of a new scheme for IALA guidance documentation, to meet the goals and strategy of the IALA Strategic Vision.

## **2 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

## **3 IALA STRATEGIC VISION**

The Strategic Vision for IALA 2014-2018 was approved by Council at its 56<sup>th</sup> session. The portions of its content 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

## **4 BACKGROUND, PAP27**

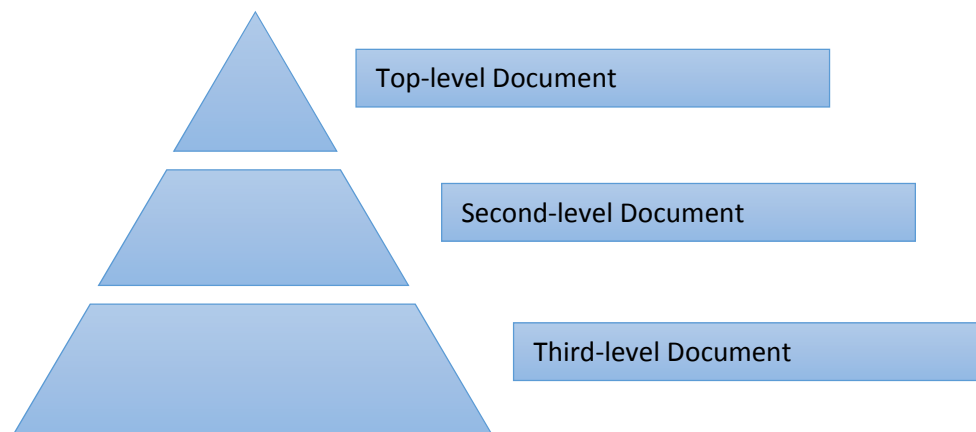
PAP27 was convened to advise on a future IALA document policy, taking account of the Strategic Vision approved by Council.

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

## 5 PAP27 DOCUMENT ADVICE

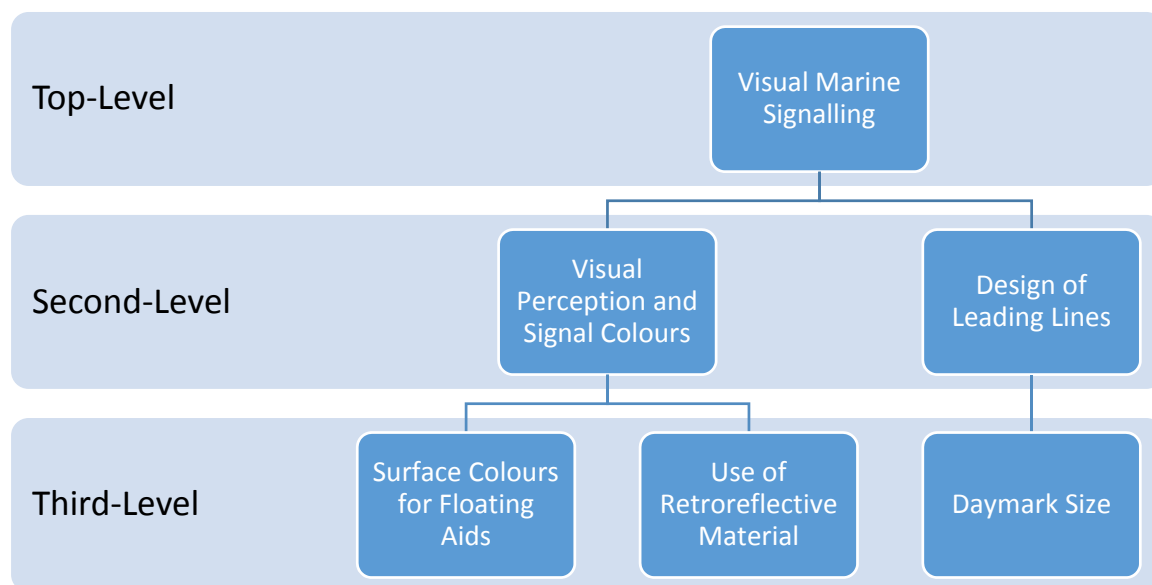
### 5.1 Document structure

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

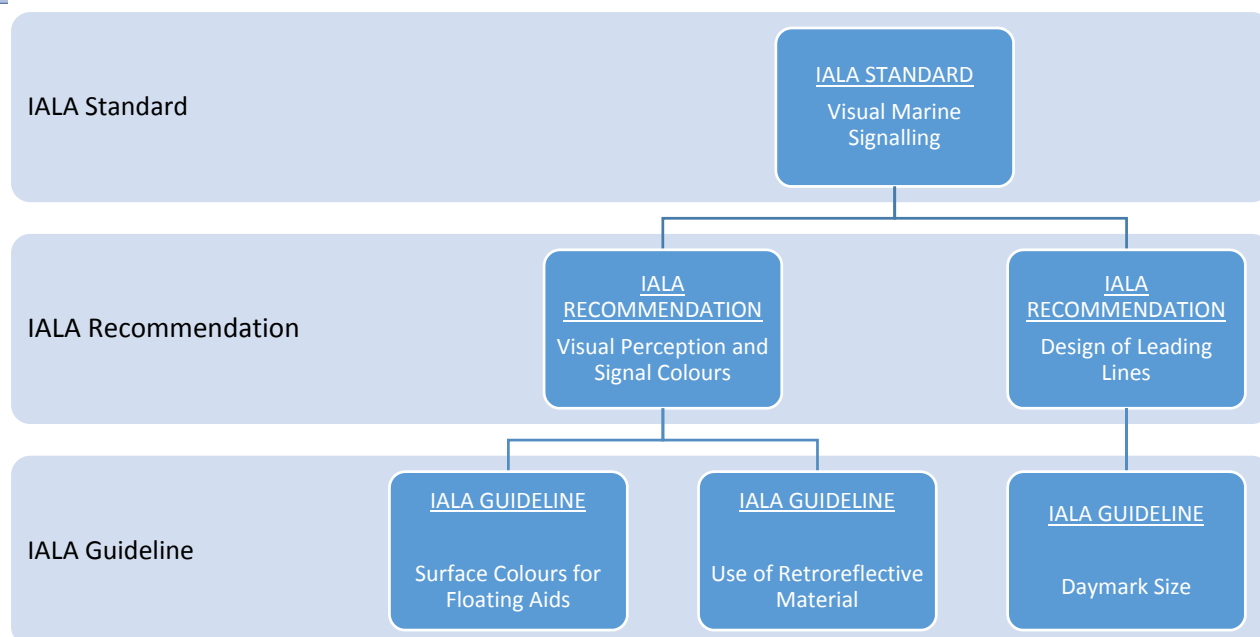


Every Second-level Document should sit under a Top-level Document, and there would one or more Second-level Documents sitting beneath a Top-level document. Similarly there would be Third-level Documents sitting beneath a Second-level Document.

This could be depicted as follows, where the document titles have been created as examples, and do not represent proposed titles.



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

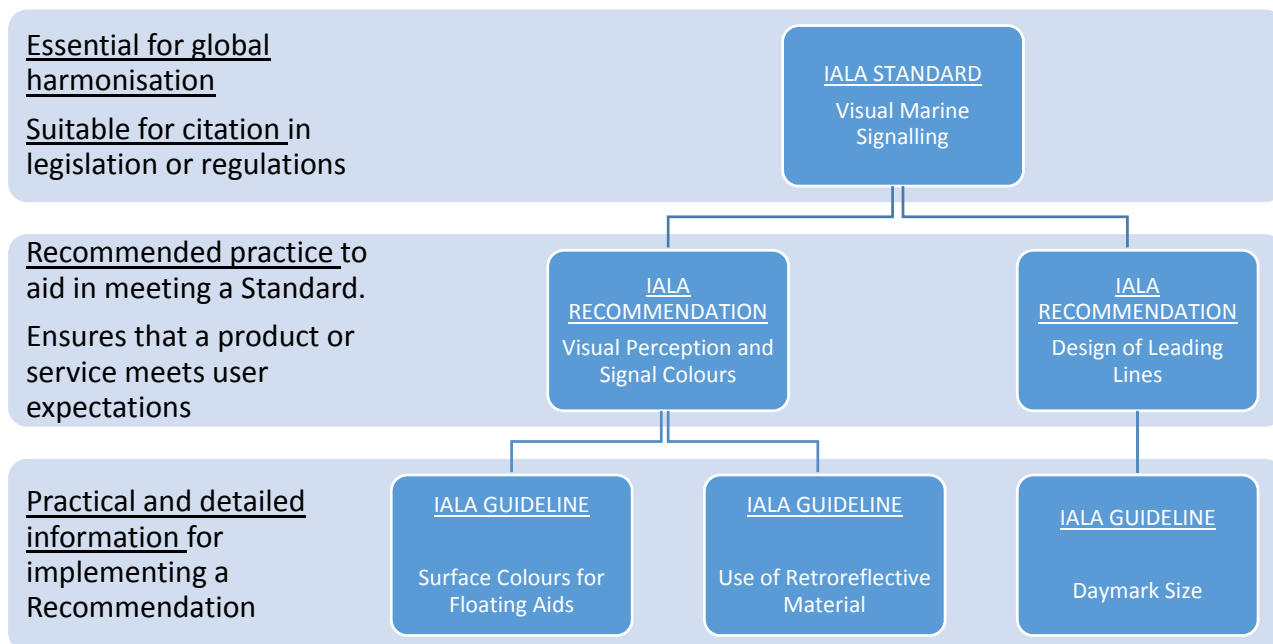


## 5.2 Document definitions

PAP27 did not create definitions of these three levels of document, but developed ideas from which the following definitions are proposed by the Secretariat.

Document	Definition
<b>IALA Standard</b>	IALA Standards are normative documents, adherence to which by all coastal states will harmonize marine aids to navigation worldwide. IALA standards cover technology and services.
<b>IALA Recommendation</b>	IALA Recommendations describe how to plan, operate, and manage marine aids to navigation in order to comply with IALA Standards. Each Recommendation is related to a single IALA Standard.
<b>IALA Guideline</b>	IALA Guidelines provide detailed technical information on an aspect of an IALA Recommendation, indicating best practices for implementation.

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.



## 6 PROPOSED NEW DOCUMENT STRUCTURE FOR IALA TO BE COMPATIBLE WITH THE STRATEGIC VISION

PAP27 agreed on the desired future document structure for IALA, to meet the needs of the new Strategic Vision. There would be five types of documents, including the three mentioned above, as described in the following table.

## 6.1 Proposed new document structure

<i>Document type</i>	<i>Definition</i>	<i>Purpose</i>	<i>Typical users</i>
<b>Standard</b>	IALA Standards are normative documents, adherence to 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	<ul style="list-style-type: none"> <li>• State</li> <li>• National authority</li> <li>• IGO</li> </ul>
<b>Recommendation</b>	IALA Recommendations describe how to plan, operate, and manage marine aids to navigation in order to comply with IALA Standards. Each Recommendation is related to a single IALA Standard.	Recommended practice to aid in meeting a Standard. Ensures that a product or service meets user expectations	<ul style="list-style-type: none"> <li>• National authority</li> <li>• Local authority</li> <li>• Industrial Member</li> <li>• Contractor</li> </ul>
<b>Guideline</b>	IALA Guidelines provide detailed technical information on an aspect of an IALA Recommendation, indicating best practices for implementation.	Practical and detailed information for implementing a Recommendation	<ul style="list-style-type: none"> <li>• Manager or technician</li> <li>• Industrial Member</li> <li>• Contractor</li> </ul>
<b>Manual</b>	IALA Manuals provide an overall view of a wide subject area.	Introduction to broad topic areas, such as VTS, AtoN, and Heritage, for members, non-members, and training institutions.	<ul style="list-style-type: none"> <li>• Manager or technician</li> <li>• WWA</li> </ul>
<b>Model Course</b>	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.	Members, maritime institutes, and teaching staff can use Model Courses in organizing the training of managers and technicians to a recognised level of competence.	<ul style="list-style-type: none"> <li>• Teaching staff</li> <li>• VTS personnel</li> <li>• AtoN Managers</li> <li>• AtoN Technicians</li> </ul>

## 7 THE APPROVAL PROCESS FOR DOCUMENTS IN THE IALA CONSTITUTION

### 7.1 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	<ul style="list-style-type: none"> <li>formulating and publishing appropriate recommendations, standards and guidelines, manuals and other appropriate papers;</li> </ul>	<p>The sequence and punctuation are unusual, but the creation by IALA of standards, recommendations, and guidelines is clearly stated</p>
7.1	Functions of the General Assembly	<p>The General Assembly, among other things:</p> <ul style="list-style-type: none"> <li>Decides the overall policy of IALA.</li> <li>Elects the members of the Council (see Article 8). Councillors are elected for the period between two General Assemblies. Councillors may be re-elected.</li> <li>Decides upon changes to the Constitution.</li> </ul>	<p>There is no specific provision in the Constitution for a General Assembly to make decisions on standards, recommendations, guidelines, or manuals.</p> <p>However this article does not limit the functions of the General Assembly, nor preclude the General Assembly from making other decisions. Therefore it might be assumed that approval of standards could be made by the General Assembly.</p> <p>There is no mention in Article 7 of electronic or postal voting. Would this be possible?</p>
8.2.3	Functions of the Council	<ul style="list-style-type: none"> <li>approves recommendations, guidelines, manuals and other appropriate papers;</li> </ul>	<p>Clearly states that Council approves recommendations, guidelines, and manuals.</p> <p>Standards are not mentioned, but since standards are mentioned in Article 3, it might be judged that standards are included within "other appropriate papers".</p> <p>On the other hand it might be judged that this is not the case (and therefore that there</p>



Article Number	Concerning	Text extract from the Article	Comment
			is no specified procedure for approving standards).  The meaning of “other appropriate papers” is not described, but we can assume that it does not mean “submissions to other organisations”, as these are covered separately in Article 8.2.3.
8.2.3	Functions of the Council	<ul style="list-style-type: none"> <li>convenes General Assemblies;</li> </ul>	Taking note of Article 7.1, we might presume that Council can convene a General Assembly to vote on standards.
9	Committees	<p>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.</p> <p>Recommendations, guidelines, manuals and submissions require the approval of the Council.</p>	<p>Clearly states that the Committees prepare (draft) standards, recommendations, guidelines and manuals for approval by Council.</p> <p>There is no prescribed approval process here for standards.</p>

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

- Formulating and publishing “appropriate recommendations, standards and guidelines, manuals and 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
- There is no stated approval process for standards
- Council could approve standards if they fall within “other appropriate papers”
- The General Assembly could be convened by Council to approve standards

## 7.2 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.

## **8 APPROVAL OF DOCUMENTS**

### **8.1 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 noted by the Council.

Standards have no clear approval process in the Constitution. If they are considered as “other appropriate documents” then they can or could be approved by Council.

However if IALA is to “develop standards suitable for direct citation by States in areas deemed important by the General Assembly” then, as stated above, one method for their approval is by voting at a General Assembly.

### **8.2 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 it, and if in agreement forwards the draft standard to Council for consideration
  - c) If agreeing to the need for a standard, Council convenes a General Assembly under its powers according to Article 8.2.3 of the Constitution
  - d) The General Assembly votes
    - i) In accordance with Article 7.3 of the Constitution
- 2) The decision of a General Assembly by simple majority of votes cast is defined by Article 7.3
- 3) The note under the following table suggests that Council might delegate its approval powers for guidelines and recommendations, and retain approval power for draft standards which are to go to General Assembly and for recommendations

- 4) Convening of a General Assembly should probably not be done frequently, and a minimum interval between General Assemblies could be, for example, two years
- 5) It might be good practice, when convening a General Assembly for standard(s) approval, to have a number of draft standards if possible
  - a) On the other hand a standard of great importance, for example a modernisation of the maritime buoyage system, might alone justify a General Assembly
- 6) There is no provision in the Constitution for General Assembly postal or electronic voting, but it is something that would increase the flexibility of IALA for the approval of standards
  - a) A change to the Constitution to allow this could be considered by Council for the next General Assembly

### 8.3 Proposed document structure and approval mechanism

<u>Document type</u>	<u>Definition</u>	<u>Purpose</u>	<u>Approval method</u>
<b>Standard</b>	IALA Standards are normative documents, adherence to 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	<b>By voting at an IALA General Assembly in accordance with Article 7.3 of the Constitution (simple majority of the votes cast).</b>
<b>Recommendation</b>	IALA Recommendations describe how to plan, operate, and manage marine aids to navigation in order to comply with IALA Standards. Each Recommendation is related to a single IALA Standard.	Recommended practice to aid in meeting a Standard. Ensures that a product or service meets user expectations	<b>By the IALA Council in accordance with Article 8.4 of the Constitution.</b>
<b>Guideline</b>	IALA Guidelines provide detailed technical information on an aspect of an IALA Recommendation, indicating best practices for implementation.	Practical and detailed information for implementing a Recommendation	<b>By the IALA Council in accordance with Article 8.4 of the Constitution.</b> <b><u>Note 1</u></b>
<b>Manual</b>	IALA Manuals provide an overall view of a wide subject area.	Introduction to broad topic areas, such as VTS, AtoN, and Heritage, for Members, non-members, and training institutions.	<b>By the IALA Council in accordance with Article 8.4 of the Constitution.</b> <b><u>Note 1</u></b>
<b>Model Course</b>	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.	Members, maritime institutes, and teaching staff can use Model Courses in organizing the training of managers and technicians to a recognised level of competence.	<b>By WWA Board and noted by the IALA Council.</b>

Note 1. The Secretariat suggests that Council might consider delegating the approval of Guidelines and Manuals to the Secretary-General, advised by the Policy Advisory Panel.

## 9 DOCUMENT DESIGN AND STYLE

The Secretariat intends to commission a style guide for documents. This would cover layout, colours, fonts, etc. and would be compatible with the new website. The style guide could be extended to include business cards, liaison notes, letterhead, etc.

## 10 DISTRIBUTION PROCESS FOR IALA DOCUMENTS

### 10.1 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 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 more 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.

### 10.2 Proposed distribution process

The proposed distribution method is as follows.

<i>Document type</i>	<i>Distribution method</i>
<b>Standard</b>	Download from IALA web*
<b>Recommendation</b>	Download from IALA web*
<b>Guideline</b>	Download from IALA web*
<b>Manual</b>	Download from IALA web*
<b>Model Course</b>	Download from IALA web*
	* Registration required

### 10.3 Capturing other valuable information

At PAP27, there was a view in favour of enabling users to assemble their own custom manuals by selection from a wide range of sections/chapters, made available on the website, or possibly via a wiki website.

The Secretariat believes that it would be better to leave the Navguide and VTS Manual as complete documents, but move from printed to electronic distribution.

However in the course of the work of the committees, input documents and presentations are received which carry information and advice that would be of ongoing value to Members. The best of these could be preserved, to supplement the manuals and guidelines, by posting them to the web. They could be collected and classified as "Information Notes". The author of each would not be IALA, but an IALA member.

These could be posted on the IALA website, or on the IALA Wiki, at the discretion of the Secretary-General, advised by the PAP. They should not be considered part of the IALA guidance product line, because of the content and origin.

<i>Document type</i>	<i>Distribution method</i>	<i>Comment</i>
<b>Information Note</b>	Download from IALA web* or Wiki* * Registration required	Author to be an IALA member. Should be related to an existing IALA recommendation or guideline.

## 11 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.

<i>Action</i>	<i>Carried out by</i>	<i>Comment</i>
Formulate a draft pyramid scheme for the new standards, recommendations, and guidelines	PAP and ARM Committee	For Council approval
Creation of explanatory note for Members and Committee participants	Secretariat	
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	

## 12 ACTION REQUESTED

The Council is requested to approve

- The proposed document structure and approval mechanism at 8.3 above
- The proposed distribution process at 9.2 above
- The use of Information Notes, as described at 9.3

The Council is requested to consider the points 1) to 6) in clause 8.2 above, in particular

- Point 1) concerning the process for bringing a draft standard to a vote by the General Assembly
- Point 3), which is also at Note 1 in the table at 8.1 above, concerning delegation of powers to approve guidelines and manuals



- Point 4) concerning the interval between General Assemblies
- Point 6) concerning electronic and postal voting for a decision by a General Assembly

And to make decisions on these as it sees fit.

**END**