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| **IALA COUNCIL**  **59th Session** | **December 8 - 12, 2014**  **IALA HQ**  **France** |

**Agenda item X –IALA DOCUMENTATION**

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

Note by the Secretariat

# Summary

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

# 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

# IALA STRATEGIC VISION

The Strategic Vision for IALA 2014-2018 was approved by Council at its 56th 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

# 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 56th session.

The Secretariat prepared an input paper LAP13, and after revision by LAP13, this revised document was an input paper to PAP28. (Attending PAP28 were the Vice Chair of LAP and LAP member Mary Dean of AMSA Australia.)

# PAP28 DOcument Advice

## Document structure

PAP27 concluded, and PAP28 confirmed, that the present Recommendations and Guidelines should be replaced by a three-level pyramid of guidance documents.

Top-level Document

Third-level Document

Second-level Document

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.

1. Examples of three-level pyramid of guidance documents

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

1. Hierarchy of IALA document products with examples

## 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* |
| *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 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.

1. Hierarchy of IALA document products showing the purpose of each level of document

# Proposed new document structure for IALA to be compatible with the strategic vision

PAP28 agreed 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.

## 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. IALA standards cover technology and services. | 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 an aspect of an IALA Recommendation, indicating best practices for implementation. | 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 * WWA |
| *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 a recognised level of competence. | * State * National authority * Teaching staff * VTS personnel * Managers * Technicians |

# The approval process for documents in the IALA Constitution

## 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 Council | * convenes General Assemblies; | Taking note of Article 7.1, 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.

## 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.

# approval of documents

## 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]](#footnote-1)” then the method for their approval is by the General Assembly.

## 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
   1. The draft standard is developed by the Committee(s)
   2. PAP considers it forwards the draft standard to Council for consideration
   3. If Council decides that there is a need for a standard it submits the draft to the IALA General Assembly for approval.
   4. 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

## 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, and 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 an aspect of an IALA Recommendation, indicating best practices for implementation. | 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 levels 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.** |

# 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.

# Distribution process for iala documents

## 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 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 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.

## 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 |



# 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 and ARM Committee | 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 |  |

# action requested

The Council is requested to approve

* The proposed document structure and approval mechanism at 8.3 above
* The proposed distribution process at 10.2 above

The Council is requested to consider the points 1) to 3) in clause 8.2 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**

1. Standards are non-mandatory [↑](#footnote-ref-1)