

Input paper for Change of Status Working Group

Purpose of paper:

- ☐ Input
- ☐ Information

Agenda item

7.1

Author

Secretariat

## Change of Status Project Initiation Document

### 1 Summary

This paper introduces a draft Project Initiation Document, the purpose of which is to give effect to the Change of Status Working Group Term of Reference 2.i

The TOR was approved at Council 59 and amendments have been proposed in paper CoS1.4.1. The amendment does not change the high level requirement for action by the Working Group.

#### 1.1 Purpose of the document

The Project Initiation Document establishes a project, the purpose of which is to provide a mechanism via which the Change of Status Working Group can fulfil the tasks set for it by Council.

The Working Group is requested to review and update the draft Project Initiation Document, and if agreed, to forward the document to Council 60 for approval.

#### 1.2 Related documents

The Change of Status Working Group Terms of Reference (TOR).

### 2 Background

Council has created the Change of Status Working Group under a TOR with two main objectives.

The first of these required that the Working Group undertake high level identification and strategic planning for delivery of a range of activities that will be required to assist IALA transition to an international intergovernmental organisation. The Working Group should also identify and manage associated potential and actual risks.

The TOR objective also identifies a range of outputs that will result from completion of the above:

- Preparing an Action Plan
- Developing a draft convention text
- Liaising with national members about the change of status
- Providing advice to Council about diplomatic activities

### 3 Discussion

#### 3.1 Scope

There are number of tasks to be completed in order to fulfil the objective set by Council. Each of these will require careful consideration and a strategic approach to delivery. The obvious tasks are:

- Completion of the draft Convention text
- Identification of risks and related mitigation strategies
- Consideration of stakeholder requirements for information and development of a communication plan and related materials to address these
- Identification of opportunities for IALA to diplomatically assist governments understand and promote the goals of IALA as an international intergovernmental organization
- Developing an action plan to ensure that these tasks are completed in a timely manner.

### **3.2 The Project Initiation Document**

One way to ensure that all required tasks and risks are identified, captured and progressed is by application of project methodology.

The Project Initiation Document at Annex A proposes a project for this purpose. The document details:

- Project outcomes
- A project methodology (approach)
- Governance arrangements
- Resources
- Monitoring and control mechanisms
- Reporting requirements
- Project milestones

### **3.3 Identified tasks**

Section 7 of the Project Initiation Document details the project approach, applying a three phase methodology, the first of which is the identification and assessment of tasks. As noted above, some tasks have already been specified, and accordingly, further detail about these tasks has been provided in the document.

## **4 Action requested of the Working Group**

The Working Group is requested to:

- 1 Consider the draft Project Initiation Document in detail, and in particular make suggestions for its improvement by way of addition of further material as needed (including in places where 'other' appears)
- 2 Agree that the finalised Project Initiation Document be submitted to Council, as the Project Executive, for approval
- 3 Agree that the project be undertaken by the Working Group
- 4 Identify national member resources that can be used as part of the Project Team
- 5 Prepare templates for databases/records/reports/outcomes that will be utilized by the Project Team

## **ANNEX A**

### **CHANGE OF STATUS PROJECT INITIATION DOCUMENT**

# **IALA Change of Status Project Initiation Document March 2015 Version 1.0**

## **Document**

Owner	IALA Secretary-General
Location	IALA Secretariat
Document Status	Draft

## **Revision History**

Revision Date	Version No.	Author	Description of Changes
19 March 2015	1.0	IALA Secretariat	Project initiation

## **Approvals**

	Name	Approval Record	Date
Project Board	IALA Council		
Project Director	IALA Secretary-General		

## **Distribution**

Version No.	Circulated to Whom	Date
1.0	Change of Status Working Group	19 March 2015

Version 1.0 requires signoff from the Project Board. This gives approval to proceed with delivering the Project.

Minor changes to this document, or any supporting documents and plans, are to be made only by the Project Director, who is to annotate the change in the Revision History. A major change, or a number of minor changes, that alter the intent or scope of the project are to be brought to the attention of the Project Board and a new version issued.

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## 1 Purpose of the Project Initiation Document

The purpose of this Project Initiation Documentation is to define the project in order to form the basis for its management and an assessment of its overall success.

The document gives the direction and scope of the project and forms the 'contract' between the Project Director (IALA Secretary-General) and the Project Board (IALA Council).

The three primary uses of the document are to:

1. Ensure that the project has a sound basis before asking the Project Board to make major commitments related to the project;
2. Act as a base document against which the Project Board and Project Director can assess progress, issues and ongoing viability of the project; and
3. Provide a single source of reference about the project so that people joining the project can quickly and easily find out what the project is about and how it is being managed.

## 2 Project Objective

This project is to be one mechanism via which the Change of Status Working Group provides support to the IALA Council in fulfilment of the General Assembly Resolution on IALA's change of status to that of an intergovernmental organization.

The project's objective is to undertake high level identification and strategic planning for the delivery of a range of activities required to be undertaken by Council to give effect to the Resolution (thus giving effect to the Change of Status Working Group's first objective). Some of the required activities are known and have been identified in this document. Others will become evident as Council progresses with its work in preparing IALA for a change of status.

## 3 Background

The aim of IALA is to foster the safe, economic and efficient movement of vessels, through improvement and harmonisation of aids to navigation worldwide and other appropriate means, for the benefit of the maritime community and the protection of the environment.

IALA has been located in France since its creation in 1957 and is established under French national law – the Law of Associations of 1901. This law requires that IALA operate in accordance with its Constitution, which must be registered with the French Authorities. The Association is also subject to other French domestic laws that are relevant to its operations, including those related to employment, taxation, health and safety, and customs and immigration (including working visas).

On 27 May 2014 at the 18th Session of the IALA General Assembly in A Coruna, Spain, the General Assembly adopted a Resolution supporting IALA's change of status to that of an International Intergovernmental Organization (IGO):

*BELIEVING that international intergovernmental organization status will best facilitate IALA's aims into the future,*

*1. DETERMINES that IALA should strive to achieve such status as soon as is possible by supporting the development of an international convention open to entry by all members of the United Nations;*

*2. DECIDES that through all available means IALA will support its National Members and their Governments in the pursuit of international intergovernmental status for IALA;*

*[...]*

5. *DIRECTS the IALA Council with the assistance of the IALA Secretary-General to further consider the preparation of IALA for a change of status, including the development and adoption of modern, flexible and efficient administrative practices;*

6. *AUTHORISES the IALA Council to act in fulfilment of this Resolution.*

Whilst recognising that the ultimate creation of IALA as an IGO is a matter for States, Council, at its 59th session determined to give effect to the above obligations, in part, through the establishment of the IALA Change of Status Working Group.

The Terms of Reference approved by Council for the Change of Status Working Group provide the foundation for this project. In particular, Objective 2.i requires that the Change of Status Working Group ‘undertaking high level identification and strategic planning for delivery of a range of activities, and the management of potential risks associated therewith, that will be required to be undertaken by Council to give effect to the Resolution’.

## 4 Deliverables & Outcomes

This project will deliver the following outcomes:

1. A documented Action Plan to carry out identified tasks, which will serve as the primary source of information about IALA’s progress toward a change of status.
2. Shared ownership of the change of status process, through which the resources of IALA’s members can be utilised to prepare IALA to become an intergovernmental organization;
3. Evidence of the readiness of IALA to deliver on requests for input by the Government of France to facilitate the diplomatic process.

## 5 Related Initiatives

The initiatives shown in the table below have a bearing, or are in some way dependant, on this project:

Related Activity	Nature of the Relationship
Diplomatic interventions	IALA cannot progress the change of status alone and will be relying on diplomatic processes to carry the initiative to its conclusion
IALA Strategy	Need for coordination and consistency
IALA Secretariat Review	Resources
Finance and Audit Committee’s consideration of future funding models	May impact on draft Convention text
Headquarters Agreement with Host Nation	Possible linkage to draft Convention & General Regulations
Others ....	

## 6 Stakeholders

Name	Why?
National members	National members will need to understand and be aware of the actions that IALA is taking as the change of status will impact at a governmental level and the current national members will be the link between IALA and those governments.
Industrial and Associate members	To maintain support through the provision of information about the processes that IALA will be undertaking and the timing and impact of these.
Other IGOs	Eg. IMO, IHO, WMO, ITU – so that these organizations can support and advise IALA, and can factor in a change of status for IALA as and when required in their own operations.
Broader maritime community	To ensure that the role and function of IALA, and its current position of good standing is maintained. This will be particularly relevant for the World Wide Academy.
Maritime Press	As a communications tool with the wider maritime community
Host Nation	Support will be essential to ensuring the fulfilment of IALA's change of status and execution of a Headquarters Agreement.
States	Their support will be essential to ensuring IALA's change of status.
Others	

## 7 Project Approach

This project will be delivered in three phases:

1. Identification and Assessment;
2. Output Development; and
3. Delivery.

These phases may be iterative because the Project Board may require the Change of Status Working Group to undertake consideration of new issues over time. The following expands on these phases, with detail for the activities that have been identified for consideration as at the date of preparation of this document.

### 7.1 Identification and Assessment

In this phase project resources will be directed to identifying what needs to be done to progress IALA toward a change of status, including in relation to:

- Task areas;
- Risks;
- Resources;
- Outputs; and

- Timeframes.

Given the Terms of Reference of the Change of Status Working Group, the initial task areas may include:

- Convention Text:
  - Relationship between the General Assembly and Council;
  - Membership;
  - Funding;
  - Transition arrangements; and
  - The General Regulations.
- Communication with stakeholders:
  - Progress on change of status for external stakeholders;
  - Talking points for delivery of a consistent message by internal stakeholders;
  - Publication of message (website, hard copy); and
  - Communication Plan into the future.
- Diplomacy:
  - Assisting National members liaise with their foreign affairs officers;
  - Interaction with the Government of France;
  - Interaction with other IGO's to inform and gather support; and
  - Assisting supportive governments engage as sponsors of the change of status.
- Risk management; and
- Development of IALA Standards and related hierarchy of documents.
- Others .....

## 7.2 Development

In this phase the project resources will work toward refining the requirements for each task area, managing areas of cross over between the tasks, developing and documenting risk treatments and developing identified outputs. Longer term timeframes will be broken down into delivery milestones to ensure that progression toward finalising outputs can be carefully monitored.

## 7.3 Delivery

This phase will see planned outputs made available to the Project Board for approval, and will likely lead to the identification of new tasks, making the project reactive and iterative.

It is expected that the outputs would, at a minimum, include the following:

- Draft convention text that reflects IALA's preferred position;
- Risk Register, including project risks and individual activity risks;
- Communication Plan, addressing the needs of stakeholders internal and external to IALA; and
- Action Plan (including project milestones and delivery dates for the above).



## 8 Organisational Governance Structure

The following structure has been established for this project:

### 8.1 Project Board

IALA Council, as Project Board is ultimately responsible for the project. The Project Board's role is to ensure that the project is focused throughout its life on achieving its objectives and delivering the outcomes that will achieve the expected benefits. The Project Board has to ensure that the project has sufficient resources to enable the Project Director to succeed.

As part of directing the project, the Project Board will:

- Approve the governance, controls and decision points for the management of the project;
- Approve all major plans and resources;
- Authorise major deviation(s);
- Approve the completion of each stage and authorisation of the next stage, if appropriate;
- Ensure effective communication and stakeholder engagement for the effective delivery of the project;
- Provide overall guidance and direction to the project, ensuring it remains viable and within any specified constraints;
- Respond to requests for advice from the Project Director;
- Ensure that risks are being tracked and managed as effectively as possible;
- Make decisions on escalated issues; and
- Approve completed outputs.

### 8.2 Project Director

The IALA Secretary-General, as Project Director has overall responsible for the day-to-day management of the project within the constraints set out by Project Board. The Project Director's prime responsibility is to ensure that the project produces the required outputs in accordance with the scope, risk and time agreed for the project.

The Project Director, who may be assisted by a designated Project Manager, will:

- Prepare the Project Initiation Documentation;
- Prepare the following reports:
  - Project Progress Report(s); and
  - End Project Report.
- Liaise with allocated resources to ensure that work is neither overlooked nor duplicated;
- Lead and motivate the Project Team;
- Manage the production of the required outputs, taking responsibility for overall progress, quality and use of resources, initiating corrective action where necessary;
- Establish and maintain adherence to project procedures.

## 9 Project Resources

The Project Team for this project is not fixed. It will consist of resources made available by IALA National members, in particular those participating in the Change of Status Working Group. The success of the project will depend on the nomination, willing participation and ongoing commitment of such resources. The Project Team will be supported by the IALA Secretariat.

The table below can be updated as resources are nominated to specific parts of the project.

## 9.1 Project Team

Name	Position	Resource Allocation Full-time, Part-time	Responsibilities	Resource Period

## 10 Monitoring and Control

The following project level controls will be implemented to manage the project and to provide guidance to the Project Board, Project Director and Project Team.

### 10.1 Governance

Major decisions for the project will be approved by the Project Board upon receipt of advice from the Project Director. The Project Board will be provided with a project update at each Council meeting, and out of session consideration of urgent matters can be facilitated by the Project Director, if required.

### 10.2 Risk Management Strategy

Managing risks associated with the change of status of IALA will be a primary focus of the Project Board. To assist with this task the Identification and Assessment phase of this project will include consideration of the risks that may arise in relation to the project as a whole and to each identified task or activity, assessment of those risks, formulation of relevant mitigation strategies and documentation of these matters for ongoing review. The standard IALA risk management style will be adopted for reporting purposes.

### 10.3 Policies, Procedures and Control

The Project Director will identify and circulate any relevant IALA policies and procedures, and will also determine:

- Where electronic documentation relevant to the project will be stored;
- Where hardcopy records relevant to project will be stored;
- Access to documents and records; and
- How project outputs in the form of products will be circulated and maintained during their usable life.

## 11 Reporting and Monitoring

Individual tasks will have milestone delivery dates for outputs, as agreed between the Project Director and the Project Team.

The Project Director will work directly with the Project Team to monitor progress toward delivery of outputs in accordance with the milestones.

The Project Director will oversee the maintenance of a record of tasks, milestones and outputs, which will be updated not less than fortnightly.

The Project Director will provide a written Project Progress Report to the Project Board under a standing agenda item at each IALA Council meeting. The written report may be supplemented by a verbal briefing as required.

The Project Progress Report will include updates on the following as needed:

- Task identification and progress toward delivery of outputs;
- Risk Register;
- Issues requiring Council input; and
- Action Plan.

## 11.1 Reporting Requirements

To	From	Format	Frequency
Project Board	Project Director	Status Report - Electronic	At each Council meeting
Project Director	Project Team	Status Report - Electronic	Not less than fortnightly

## 12 Project Milestones (for tasks identified in this document)

This project has three stages, each of which will initially take place in the following time periods:

Stage Number	Start Date	End Date
1. Identification and Assessment	9 April 2015	10 April 2015
2. Output Development	11 April 2015	15 November 2015 - except for draft Convention text which should be finalised by 30 August 2015 for consideration by LAP in mid-September
3. Delivery	Council 61	

New project milestones will be created as new tasks are identified and assessed.

## 13 Project Budget

There is no separate budget for this project. National members participating in the project will do so at their own expense and the participation of the IALA Secretariat will be funded from general operating budget.

## 14 Project Duration and Closure

This project will remain active for as long as the Project Board requires the Change of Status Working Group to assist it.

When the project is to be closed the Project Director will provide the Project Board with a Project Closure Report which will address the achievements, lesson learnt, response to issues and final risk position as assessed by the Project Team.