



IHB File No. S3/8151/HSSC

CIRCULAR LETTER 24/2011
14 March 2011

APPROVAL OF AMENDMENTS TO IHO RESOLUTION 02/2007
- Principles and Procedures for Making Changes to IHO Technical Standards

References:

- A. CL 87/2010 dated 13 December - *Proposed amendments to IHO Resolution 2/2007 - Principles and Procedures for making changes to IHO Technical Standards and Specifications*
- B. CL 83/2009 dated 4 December - *Adoption of S-100 as an Active Standard*

Dear Hydrographer,

1 The IHB would like to thank the following 47 Member States who replied to Reference A: Algeria; Argentina; Australia; Bahrain; Belgium; Brazil; Canada; Chile; Colombia; Croatia; Denmark; Ecuador; Estonia; Finland; France; Germany; Greece; Iceland; India; Iran; Ireland; Italy; Japan; Korea Rep of; Latvia; Monaco; Mexico; Netherlands; New Zealand; Nigeria; Norway; Oman; Papua New Guinea; Peru; Poland; Portugal; Slovenia; South Africa; Spain; Sri Lanka; Sweden; Tunisia; Turkey; United Kingdom; United States; Uruguay; and Venezuela.

2 All 47 Member States supported the proposed revisions to IHO Resolution 02/2007 with five States providing specific comments. The comments, together with explanatory responses where appropriate, are provided at Annex A. Colombia and Argentina provided editorial comments on the Spanish version, which have been passed to the Spanish translator for action as appropriate.

Applicability of Resolution 2/2007 to S-100

3 Attention is particularly drawn to the IHB response to Sweden's observations at Annex A on the management of S-100. CL 87/2010 indicated that S-100 would be considered as a "guideline" rather than as a "standard". As such, S-100 would not be subject to the governance and change approval arrangements under Resolution 2/2007 that apply to other IHO standards. This would mean that any revisions to S-100 would, in effect, be approved by the TSMAD WG, without reference to Member States for approval. However, throughout the adoption process for S-100 (see Reference B) and in the text of S-100 itself, S-100 is referred to as a "standard" and section 12 of S-100 covering the maintenance of S-100 indicates that S-100 is to be maintained under the terms of Resolution A.1.21 (now renumbered 2/2007).

4 Taking the above into account and prompted by Sweden's comments, the Directing Committee, in consultation with the Chair of the HSSC, proposes that S-100 should, at least for the time being, be treated as a standard and be subject to the maintenance and approval processes described in Resolution 2/2007. In coming to this conclusion, the Directing Committee has also taken note that S-100 has been presented and understood by an increasing number of international organizations and stakeholders as being a standard and that the IMO, in particular, has most recently accepted that S-100 "... should be considered as a baseline, as an important element in the e-Navigation concept". Member States that consider that S-100 should be treated as a special case are invited to comment and may also wish to bring the matter forward for further discussion at the 3rd meeting of the HSSC later in 2011.

Adoption of Revisions to Resolution 2/2007

5 There are currently 80 Member States of the IHO with two States suspended. Therefore in accordance with paragraph 6 of Article VI of the Convention on the IHO, the majority required for adoption of the revised Resolution is 40. Consequently the revised IHO Resolution 02/2007 is adopted. It is attached at Annex B and will be incorporated in IHO Publication M-3 *Resolutions of the IHO* in the near future.

On behalf of the Directing Committee

Yours sincerely,

A handwritten signature in blue ink, appearing to read 'Robert Ward', with a stylized flourish at the end.

Robert WARD
Director

Annex A: Comments by Member States

Annex B: Revised IHO Resolution 02/2007

COMMENTS BY MEMBER STATES

Argentina: In para. 4.1 which relate to Urgent Revisions, the procedures or delays for those Urgent Revisions are not explicitly developed.

Comment by IHB: No specific procedures for Urgent Revisions were included in the Resolution because recent experience, for example, ENC encoding issues related to the Attribute EXPSON=2, has shown that the relevant action to be taken and the timescale available will depend on the urgency and the impact of the action that is required.

France: France, on the whole, approves the proposed changes to IHO Resolution 2/2007, but would like particular attention to be given to assessing the impact of the changes to standards. France therefore proposes the following adjustments:

- §2.1.2 and §3.2.2, 1st paragraph, both give the definition of *Stakeholders*. It is proposed that the definition for Stakeholders to be given only once in §2.1.2 and to put this term in italics each time it appears.

- It is proposed to improve the 1st paragraph of §3.2.2 in order to specify the type of assessment. This concerns in particular the S-10n standards.

The 1st paragraph of §3.2.2, after the cross-reference to §2.1.2 of the Stakeholders list, would then read:

- The HSSC should consider the impact on relevant *stakeholders* when assessing a proposal and planning any subsequent work. This assessment should systematically include a risk and feasibility analysis, and a rough assessment of the resources needed for the implementation of a new standard or its development, including within Member States Hydrographic Services.

Comment by IHB: Agreed. The 1st paragraph of §3.2.2 has been amended as proposed by France.

Iran: We agree with all the changes except that paragraphs 3.2.7 and 3.2.8 should stay the same. We think that the “change note” should be forwarded to the relevant stakeholders.

Comment by IHB: The concept of a “change note” was introduced in the first version of the Resolution in 2007 as a way of informing stakeholders of the impact of changes. The latest version of the Resolution includes a more formal process of consultation and feedback with stakeholders, in effect, replacing the need for a “change note” procedure.

Japan: We think that “and specifications” placed after “standards” in the title, in paragraph 4 and in the diagram should be deleted. “Product specification” in paragraph 5 should also be deleted. The reason for this is that, in the proposed amendments, “and specifications” has been deleted from the text of paragraph 1.1. Further, Paragraph 1.2 says that “Any reference to ‘standards’ in these principles and procedures includes some IHO ‘specifications’ and ‘guidelines’ as appropriate. IHO product specifications are considered to be standards”. We think that inconsistency and vague wording should be avoided in an IHO resolution as much as possible as it should be a technical reference.

Comment by IHB: Agreed. The title, text and diagram have been amended as proposed by Japan.

Sweden: We agree to the principles and procedures described in the proposed amendments. We note that by classifying a document as a Framework Model or Guide, the document will not be subject to the maintenance regime described in the proposed amendments. In our opinion, the S-100 document meets the criteria to be a standard and should be classified as such.

Comment by IHB: Agreed. The Directing Committee, after consultation with the Chairman of the HSSC, has considered the importance of S-100, the need for appropriate stakeholder review processes to be in place, and the increasingly high levels of interest being shown by organizations outside the IHO, such as the IMO, to recommend the wider use S-100. In these circumstances, it is considered prudent to treat S-100 as a Standard that is subject to the same rigorous governance arrangements as other IHO Standards. However, it is recognised that it may be appropriate to review this position in the future, if, in the light of operational experience, a compelling case is made to treat S-100 differently. This is because any IHO Standard derived from S-100 will itself be subject to Resolution 2/2007 and there could possibly be a duplication of processes.

Revised IHO Resolution 02/2007 (formerly A1.21)

PRINCIPLES AND PROCEDURES FOR MAKING CHANGES TO IHO TECHNICAL STANDARDS

1. Scope

1.1 These principles and procedures are intended to be applied to all proposals for changes to IHO technical standards and for new work items that will require significant resources to resolve or will potentially impact on those who need to apply the standards. They are not intended for IHO publications, catalogues or supporting documentation of a guidance, general or non-technical nature.

1.2 Any reference to “standards” in these principles and procedures follows the ISO/IEC definitions for *standard* and *guide* and may therefore also include some IHO “specifications” and “guidelines” as appropriate.¹ IHO Product Specifications are considered to be standards.

2. Principles

2.1 Improvements to technical standards can only occur by change. However, significant change can lead to problems such as incompatibility between systems, high updating costs, market monopoly, dissatisfied users, or increased risks to safety of navigation. The following guiding principles have been developed to avoid these circumstances.

2.1.1 Before approval is granted, any proposed changes to existing standards should be assessed from a technical and commercial perspective, also taking into account any other relevant factors.

2.1.2 Where possible, assessment should involve not only IHO Member States but all relevant parties such as international organisations, maritime administrations, equipment manufacturers, data distributors, users and other professional organisations. These are the *stakeholders*.

2.1.3 As far as practicable, any change to standards or systems should be "backwards compatible", or the existing version must be supported for a specified time.

2.1.4 If changes are required for the basis of product enhancement rather than for safety of navigation, then the previously approved system must be allowed to continue to be used at sea for a sufficient time to allow changes to be implemented on board.

2.1.5 If not already specified by an external or higher IHO authority, the timeline for making changes should be defined, where appropriate.

2.1.6 In exceptional cases (for example, those affecting safety of navigation), it may be necessary to make recommendations for immediate change to standards and systems to the relevant authorities. This may be achieved through shortening the normal time frames for submission and consideration of proposals.

2.1.7 The principles of a recognised project management system should be followed.

¹ ISO/IEC Directives, Part 2 - *Rules for the Structure and Drafting of International Standards* defines a standard as
... a document, established by consensus and approved by a recognized body, that provides for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context.

The ISO defines a guide as

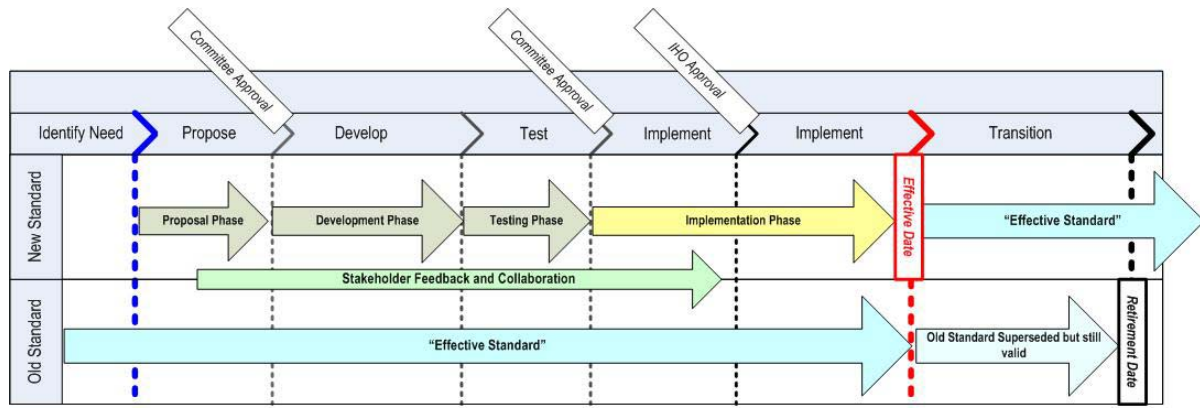
... a document giving orientation, advice or recommendations on non normative matters relating to international standardization.

2.1.8 All interested parties should be encouraged to continuously improve IHO technical standards. Constructive feedback should therefore be provided for all rejected proposals.

3. Procedures - General

3.1 Standardised procedures help to ensure that any proposed changes to IHO standards are properly assessed and implemented. These procedures should remain simple to encourage their use.

3.2 The following diagram illustrates the typical life cycle of an IHO standard:



3.2.1 Changes to IHO standards are classified at one of three different levels: *new edition*, *revision*, or *clarification* (see paragraph 5.1). In each case, the development, consultation and approval process will be slightly different, ranging from a very comprehensive regime for *new editions*, to Working Group level approval for *clarifications*. *New editions* and *revisions* are considered to be “significant changes” for the purposes of review, consultation and approval.

3.2.2 The HSSC should consider all proposals to develop *new editions* and *revisions* to standards before work begins.

- The HSSC should consider the impact on relevant *stakeholders* when assessing a proposal and planning any subsequent work. This assessment should systematically include a risk and feasibility analysis, and an estimate of the resources needed for the implementation of a new or revised standard or its development, including within Member States Hydrographic Services.
- If rejected, feedback should be provided to the proposal originator giving the reasons for rejection.

3.2.3 After the HSSC has endorsed proposals and established a work priority, the IHB will incorporate tasks into the relevant work programs.

3.2.4 Relevant stakeholders should be notified by the IHB of the timetable for new work items and be invited to comment and participate as appropriate. The notification should include a summary forecast of:

- the potential changes,
- the documents affected,
- the likely action list for relevant stakeholders,
- the timetable for implementation, and
- the proposed effective date of the new or revised standard.

3.2.5 The IHB should maintain an on-line register of IHO stakeholders. The register should be used to inform and seek input from stakeholders concerning any proposed changes to IHO standards.

3.2.6 The relevant Working Groups should provide HSSC with progress reports on a regular basis and after each milestone during the development and testing phases. These should be made available to stakeholders by the IHB.

3.2.7 At the successful completion of the development and testing phases for new standards and proposed changes to existing standards, the HSSC should review the work done in terms of its impact on relevant stakeholders and whether the appropriate non-IHO stakeholder consultation process has been achieved.

3.2.8 After endorsement by the HSSC, the new or changed standard should be submitted to Member States by the IHB for approval of the content, and confirmation of the “*effective date*”.

3.2.9 At the “*effective date*”, the new or changed standard becomes the effective standard. A “*superseded*” standard should normally remain available concurrently with the revised standard for a suitable transition period.

3.2.10 A “*superseded*” standard may be “*retired*” as an available standard when it is no longer appropriate for use, subject to Member State approval.

3.2.11 HSSC Working Groups may assess and authorise *clarifications* to standards and associated references, subject to seeking input from relevant stakeholders.

4. Urgent Revisions

4.1 The introduction of revisions to existing standards is intentionally a thorough process, in order to allow for appropriate levels of development, testing and consultation. However, there may be instances where more urgent action is required, especially where there are serious implications to safety of navigation. In such cases, a “fast-track” approval and implementation process may be needed. This should only occur in exceptional circumstances and in consultation with Member States. Any such fast-tracked revisions still require the approval of Member States before they can enter into force.

5. Procedures - Specific

5.1 New Editions, Revisions and Clarifications

New Edition *New Editions* of standards introduce significant changes. *New Editions* enable new concepts, such as the ability to support new functions or applications, or the introduction of new constructs or data types, to be introduced. *New Editions* are likely to have a significant impact on either existing users or future users of the revised standard. It follows that a full consultative process that provides an opportunity for input from as many stakeholders as possible is required. Proposed changes to a standard should be evaluated and tested wherever practicable. The approval of Member States is required before any *New Edition* of a standard can enter into force. All cumulative *clarifications* and *revisions* must be included with the release of an approved *New Edition* of a standard.

Revision *Revisions* are defined as substantive semantic changes to a standard. Typically, revisions change existing specifications to correct factual errors; introduce necessary changes that have become evident as a result of practical experience or changing circumstances; or add new specifications within an existing section. A *revision* shall not be classified as a clarification. *Revisions* could have an impact on either existing users or future users of a revised standard. It follows that a full consultative process that provides an opportunity for input from as many stakeholders as possible is required. Proposed changes to a standard should be evaluated and tested wherever practicable. The approval of Member States is required before any *revisions* to a standard can enter into force. All

cumulative *clarifications* must be included with the release of approved corrections revisions.

A *revision* shall not be classified as a *clarification* in order to bypass the appropriate consultation processes.

Clarification Clarifications are non-substantive changes to a standard. Typically, clarifications: remove ambiguity; correct grammatical and spelling errors; amend or update cross references; insert improved graphics in spelling, punctuation and grammar. A clarification must not cause any substantive semantic change to a standard. *Clarifications* are the responsibility of the relevant expert WG and may be delegated to the responsible editor.

5.2 The associated version control numbering to identify changes (***n***) to IHO standards should be as follows:

New Editions denoted as ***n***.0.0

Revisions denoted as n.***n***.0

Clarifications denoted as n.n.***n***

5.3 The following diagram illustrates the development, consultation and approval processes for IHO standards:

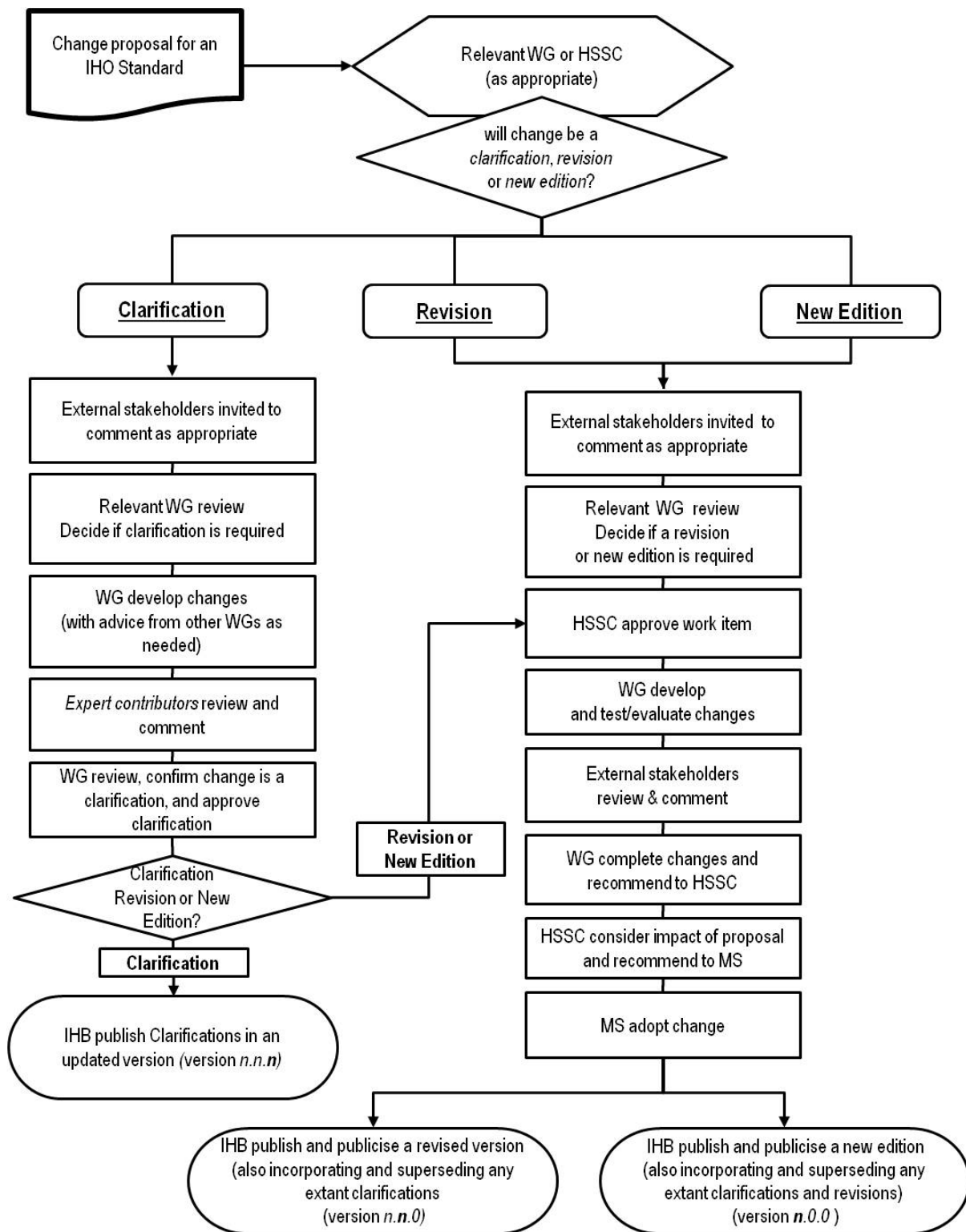


Diagram - Changes to IHO Standards– General Case