IALA Guideline No. 1014

On

the Accreditation and Approval Process for VTS Training

Edition 3

December 2011
Edition 1: September 2000

DOCUMENT REVISIONS

Revisions to the IALA Document are to be noted in the table prior to the issue of a revised document.

Date	Page / Section Revised	Requirement for Revision
September 2005	Whole document	Reformatted to comply to IALA document standards
December 2009	Whole document	Major revision of the document
December 2011	Whole document	Major revision of the document, in line with the 2010 Manila STCW amendments

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The Accreditation and Approval Process for VTS Training

1 INTRODUCTION

1.1 Overview

In accordance with SOLAS Chapter V Regulation 12 'Vessel Traffic Services', IMO Resolution A.857(20) 'Guidelines for Vessel Traffic Services' and IALA Recommendation V-103 'Recommendation on Standards for Training and Certification of VTS Personnel', it is the responsibility of the Competent Authority to accredit and audit VTS training organisations as well as approve VTS training courses.

These guidelines, including ANNEX A to ANNEX E, set out the process by which VTS training organisations can achieve approval of their VTS training courses leading to the issue of:

- VTS Operator Course Certificates in accordance with IALA Recommendation V-103 and Model Course V-103/1 - VTS Operator Training;

- VTS Supervisor Course Certificates in accordance with IALA Recommendation V-103 and Model Course V-103/2 - VTS Supervisor Training;

- VTS On-the-Job Training Course Certificates in accordance with IALA Recommendation V-103 and Model Course V-103/3 - VTS On-the-Job Training; and

- VTS On-the-Job Training Instructor Course Certificates in accordance with IALA Recommendation V-103 and Model Course V-103/4 - VTS On-the-Job Training Instructor.

1.2 Aim and Objectives

The aim of these IALA guidelines is to ensure conformance with the standards and requirements of VTS training. Competent Authorities as well as training organisations are encouraged to adopt these IALA Guidelines on the Accreditation and Approval process.

The objectives are to ensure that all training and assessment of VTS Personnel for the purpose of certification and/or endorsement is:

- structured in accordance with established training procedures based on clearly communicated, measurable and achievable objectives;

- able to ensure that the standard of competence as indicated in IALA Recommendation V-103 is met and maintained;

- conducted, monitored, evaluated and supported by appropriately qualified instructors as indicated in IALA Recommendation V-103; and

- managed in a manner that ensures relevancy and accuracy according to experience gained, technological advances, national and international recommendations, rules and regulations.

2   DEFINITIONS AND CLARIFICATIONS

To assist in the use of these Guidelines, the following definitions and clarifications have been used.

Accreditation is a process whereby the Competent Authority (CA) or an authority designated and approved by the CA, grants recognition to a training organisation for demonstrated ability to meet predetermined criteria for established standards.

Approval is the result of successfully completing the quality assurance process under which a VTS training course is assessed to ensure that the IALA standards are met. In these Guidelines, the Accreditation process is for the VTS training organisation and Approval is for the actual VTS courses themselves.

Audit is a systematic and independent verification process to assess whether the VTS training course concerned meets the IALA V-103 standards as well as the training management system.

Competent Authority is the authority made responsible, in whole or in part, by the Government for the safety, including environmental safety, and efficiency of vessel traffic and the protection of the environment.

Competence is the ability to perform defined tasks or duties proficiently.

Interim Approval is the preliminary approval for a new training course and should only be valid for the first presentation of the course.

Quality Management System (QMS) is a documented process of the training organisation that comprises a set of policies, processes and procedures required for planning and implementing the training of VTS personnel. QMS enables organisations to identify measure, control and improve the various training processes that will ultimately lead to improved performance.

Simulator Training is the simulation of operational events, practices and procedures to instruct trainees and assess their ability to demonstrate their levels of competence.

Training Management System (TMS) is a quality management system designed with the objective of ensuring the consistency in the delivery of the course and the assessment of the trainees in accordance with the minimum requirements.

Training Organisation refers to a training facility providing VTS training or to a VTS Centre providing On-the-Job Training (OJT).

VTS Authority is the authority with responsibility for the management, operation and co-ordination of the VTS, the interaction with participating vessels and the safe and effective provision of the service.

VTS Certification Log is a record of VTS related certificates and endorsements awarded to VTS Personnel during their VTS career. The record may be in the form of a log book or a separate certificate. The log can be in electronic or paper format.

VTS Operator Certificate is a certificate of competence awarded by a Competent Authority after the trainee VTSO has successfully completed both the V-103/1 training and V-103/3 OJT at the specific VTS centre where the VTSO is employed, as well as meeting any specific requirements of the Competent Authority. The VTS Operator Certificate entitles the authorised holder to serve in the capacity of a VTSO and perform the functions which endorsements have been made.

VTS Course Certificate is a document awarded by the training organisation after a trainee has achieved successful completion of an accredited IALA Model Course i.e. V-103/1 VTS Operator Training, V-103/2 VTS Supervisor Training, V-103/3 VTS On-the-Job Training and V-103/4 On-the-Job Training Instructor. This course certificate alone is not an authorisation to operate.

VTS Personnel are persons primarily trained in VTS operations and holding appropriate qualifications issued by, or on behalf of, a Government or a Competent Authority. Two grades of skills, knowledge and competence of VTS Personnel are set out in this Recommendation namely, VTS Operator and VTS Supervisor respectively. VTS Personnel may also include VTS Managers, who should ideally hold qualifications appropriate to the duties performed.

3   GENERAL CONSIDERATIONS FOR THE APPROVAL OF VTS TRAINING COURSES

VTS training provided by organisations should be approved in accordance with these IALA Guidelines. If necessary, Competent Authorities can liaise with IALA before and during the accreditation/approval process. The use of the IALA logo indicates that the whole process is in compliance with these IALA guidelines. The IALA logo may only be used by IALA member countries.

VTS training should be conducted in accordance with the model courses developed by IALA (see also MSC/Circ 1065 - '*IALA Standards for Training and Certification of Vessel Traffic Service (VTS) Personnel*'). Organisations providing VTS training should provide training services within the framework of a recognized1 quality and training management system and should follow the guidance in ANNEX D - *Recommended Practices for VTS Training Organisations*.

Competent Authorities should develop and promulgate procedures for the application of the accreditation/approval regarding VTS training.

3.1   Approval

The STCW Convention requires that training leading to the issue of a certificate is 'approved'. Although a particular training organisation may already have accreditation for STCW training and approval for such courses, training organisations intending to provide VTS training should first of all apply for accreditation to the Competent Authority of the country, in which it is located. Separate approval for each course will then be required from the Competent Authority.

There may well be instances where an 'arrangement' includes provisions previously established between States for the reciprocal recognition of VTS certificates, similar to that as allowed under the STCW Convention. However, the final decision lies with the Competent Authority.

Approval will initially apply only to the training of VTS personnel to operate in the country concerned unless reciprocal arrangements, that are properly documented, have been made formally with the Competent Authority of another country or countries.

The Competent Authority should endeavour to carry out an audit at appropriate intervals in order to ensure that its requirements are met by the organisation. These audits should include:

- Training Management System (including instructors, simulators and VTS training facilities);
- V-103 course documentation;
- maintenance of records;
- course presentation assessment; and
- simulator training.

If the training organisation meets the requirements required by the Competent Authority to provide VTS training, the Competent Authority will approve the training course(s) and will then inform IALA that the process has been satisfactorily completed. On request, IALA, or any other IALA approved organisation, may assist the Competent Authority to fulfil part of, or the whole approval process. Competent Authorities may also consider using the IALA approved Classification Societies (IALA-ACS). The recommended process is described in ANNEX B - *Procedures for the Audit Process*.

Whilst it is up to the Competent Authority to decide on the period of validity for the Certificates of Accreditation and Approval, it is recommended that the period of validity should not exceed 5 years. The Competent Authority may require a periodic audit to be performed at appropriate intervals to ensure continuity of standards. This periodic audit may include Phase 2 and Phase 3 audit activities, as described in ANNEX B.

Renewal of the accreditation consists of Phase 1, 2 & 3 audit activities, as described in ANNEX B, and should ideally be performed within 6 months of the expiration date.

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1 Recognized by the Competent Authority

A sample Certificate of Approval and the information required thereon is given in ANNEX F.

3.2   Interim Approval Arrangements

In order to facilitate the start-up operation of VTS training at new or existing training organisations, the Competent Authority may decide to provide interim approval.

Accreditation is quite separate from the Approval process, as Approval is provided for each individual course whilst Accreditation is for the training organisation itself.   Interim approval is based upon:

- satisfactory completion of Phase 1 audit activities;

- validation of instructor qualifications;

- plans for full implementation of the system by the time of the initial accreditation assessment;

- key Training Management System (TMS) personnel being familiar with the implementation plans.

Training organisations having achieved interim accreditation will not be required to repeat Phase 1 activities prior to the Phase 2 audit.

4   PROCEDURES FOR THE ACCREDITATION/APPROVAL PROCESS FOR VTS TRAINING

(see Figure 1 - flowchart on the initial accreditation process)

4.1   Step 1

4.1.1   Training Organisation submits an accreditation request to the Competent Authority

The training organisation needs to obtain the requirements from the Competent Authority.

The training organisation should be familiar with the documentation relevant to their own TMS as well as that appertaining to VTS training, which can be found on the IALA website[2].

Prior to submission of an accreditation request, it is recommended that the training organisation carries out their own internal check using the pre-audit questionnaire in ANNEX A.

4.1.2   The Competent Authority informs IALA about the accreditation application

The Competent Authority should inform IALA about the accreditation application at an early stage.

4.2   Step 2

4.2.1   The Training Organisation submits completed pre-audit questionnaire

The training organisation should ensure that the questionnaire and the supporting documentation are submitted in sufficient time to allow the Competent Authority to properly assess the submission.

4.2.2   Competent Authority evaluates pre-audit documentation

The Competent Authority evaluates the questionnaire and the supporting documentation to ensure compatibility with IALA V-103 standards and any additional requirements.

4.2.3   Does pre-audit documentation comply with the requirements?

If 'Yes', the initial audit can take place at an agreed time.

If 'No', the Competent Authority notifies the training organisation and provides reasons to serve as a basis for corrective actions.

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[2] http://www.iala-aism.org

4.3 Step 3

4.3.1 Initial audit

The Competent Authority should ensure that the audit process is conducted in compliance with ANNEX B of these Guidelines.

4.3.2 Does the training comply with the requirements?

If 'Yes', the Competent Authority can issue an accreditation for VTS training.

If 'No', the Competent Authority notifies the training organisation and provides reasons to serve as a basis for corrective actions.

4.4 Step 4

4.4.1 The Competent Authority issues Accreditation

The Competent Authority issues the accreditation certificate, which should at least contain the information as shown in the sample certificate in ANNEX E.

4.5 Step 5

4.5.1 The Competent Authority issues Approval

The Competent Authority issues an approval certificate for each individual VTS training course that has been approved. This certificate should at least contain the information as shown in the sample certificate in ANNEX F.

The Competent Authority should send a copy of the approval certificate(s) to the IALA Secretariat.

A sample of the periodic and additional audit certificate is also shown in ANNEX F.

The certificates shown in ANNEX F provide a sample of what may be required by the Competent Authority and in no way reflect what actually may be issued. Ideally they should the logos of both the Competent Authority and IALA, the latter logo being shown only if the particular country is an IALA member.
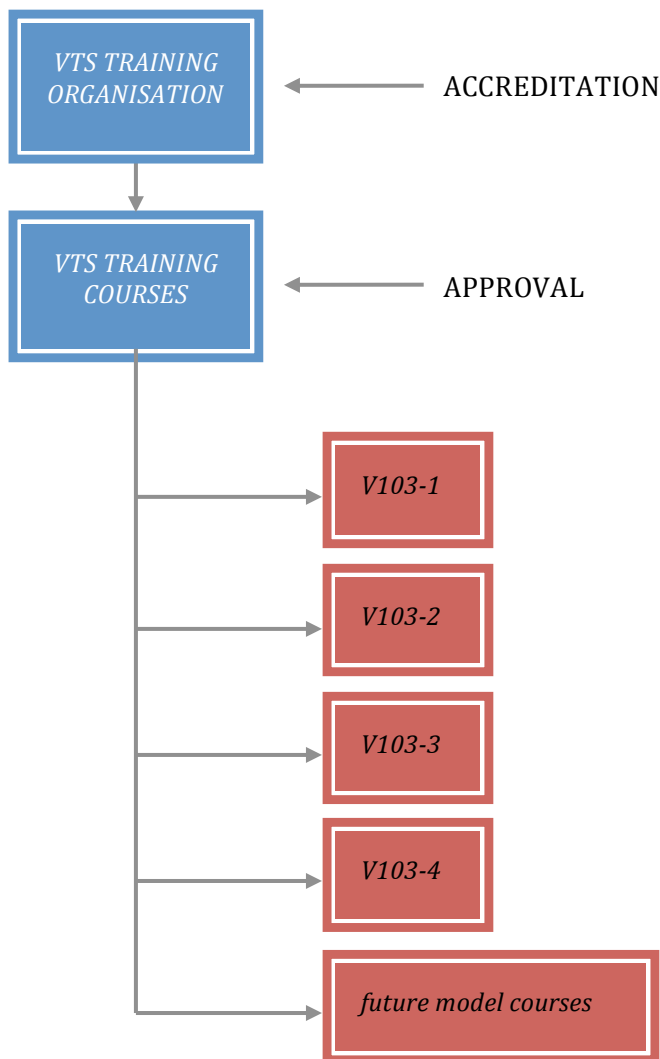
Figure 1   Accreditation / approval process

5   REFERENCES

[1]   IMO Resolution A.857(20) Guidelines for Vessel Traffic Services

[2]   IMO MSC Circ.1065 - IALA Standards for Training and Certification of Vessel Traffic Service (VTS) Personnel

[3]   IALA Recommendation V-103 Recommendation on Standards for Training and Certification of VTS Personnel

[4]   IALA Model Course V-103/1 VTS Operator Training

[5]   IALA Model Course V-103/2 VTS Supervisor Training

[6]   IALA Model Course V-103/3 VTS On-the-Job Training

[7]   IALA Model Course V-103/4 VTS On-the-Job Training Instructor

[8]   IALA Guideline 1017 - Assessment of Training Requirements for Existing VTS Personnel, Candidate VTS Operators and Revalidation of VTS Operators Certificates

[9]   IALA Guideline 1027 - Simulation in VTS Training

ANNEX A   PRE-AUDIT QUESTIONNAIRE

1   GENERAL INFORMATION

Training program to be audited	
Name of training organisation	
Address of training organisation	
Contact person of training org.	
Telephone number of training org.	
Facsimile number of training org.	
E-mail of training org.	

To be filled in by the Competent Authority:

Auditing organisation	
Contact person of auditing org.	
Contact information of auditing org.	

2   TRAINING MANAGEMENT SYSTEM (TMS)

Quality Policy	Yes/No	Comments
Declaration of general aims and objectives of the training institute in relation to the training of VTS Personnel	☐Yes ☐No	
Relevance of the quality policy to the student training needs in general	☐Yes ☐No	
Relevance to applicable requirements of V-103 and appropriate model course	☐Yes ☐No	
Expression of the organisations commitment to *achieving* its goals and objectives and to fulfilling the training needs of the student	☐Yes ☐No	
Confirmation that the quality policy is available to and understood by, as well as maintained and implemented, at all levels of the organisation	☐Yes ☐No	

3   ORGANISATIONAL ARRANGEMENTS

Responsibility and authority	Yes/No	Comments
Are the responsibility and authority of all personnel who perform and verify work affecting training defined and documented?	☐Yes ☐No	
Is there facility in the system to:		
a) initiate action to prevent the occurrence of any non-conformities relating the TMS?	☐Yes ☐No	
b) identify and record any problems relating to the TMS?	☐Yes ☐No	
c) initiate, recommend or provide solutions to identify problems through designated channels?	☐Yes ☐No	
d) verify the implementation of solutions?	☐Yes ☐No	
e) identify pertinent changes to student training and competence requirements?	☐Yes ☐No	
f) initiate action to incorporate appropriate changes to the VTS training programs?	☐Yes ☐No	
Management representative	**Yes/No**	**Comments**
Has a Manager been appointed with the responsibility of:		
a) ensuring that a TMS is established, implemented and maintained?	☐Yes ☐No	
b) reporting on the performance of the TMS to the management?	☐Yes ☐No	

4   INTERNAL TMS AUDITS

Internal TMS audits	Yes/No	Comments
Are documented procedures in place for planning and performing internal audits in order to verify whether activities comply with the requirements of the TMS?	☐Yes ☐No	
Is the TMS audited at least annually?	☐Yes ☐No	
Are internal audit records maintained?	☐Yes ☐No	

5   CORRECTIVE AND PREVENTATIVE ACTION

Corrective/preventative action	Yes/No	Comments
Are TMS deficiencies documented?	☐Yes ☐No	
Are appropriate sources of information, such as non-conformance reports, audit reports, student and customer complaints, and quality records to detect eliminate potential deficiencies reviewed?	☐Yes ☐No	
Are student learning deficiencies for adverse trends that shall indicate a deficiency in the training plan or training delivery procedures analysed?	☐Yes ☐No	
Are root causes of deficiencies determined and corrective action to eliminate the deficiency implemented?	☐Yes ☐No	
Are TMS records of these activities maintained?	☐Yes ☐No	

6 MANAGEMENT REVIEW

Management review	Yes/No	Comments
Are management reviews carried out at regular intervals?	☐Yes ☐No	
Are records of management reviews maintained?	☐Yes ☐No	

7 TRAINING MANAGEMENT SYSTEM REQUIREMENTS

Training Management Manual	Yes/No	Comments
Is a TMS established, documented and maintained to conform to IALA requirements that ensures that students are trained in accordance with V-103 and the requirements of the authority?	☐Yes ☐No	
Does TMS include a Training Management Manual?	☐Yes ☐No	
Does this manual provide:		
a) a copy of quality policy?	☐Yes ☐No	
b) an overview of the TMS?	☐Yes ☐No	
c) an outline of TMS documentation structure?	☐Yes ☐No	
d) cross reference to the requirements of this standard?	☐Yes ☐No	
e) references to pertinent TMS documentation?	☐Yes ☐No	
TMS procedures	**Yes/No**	**Comments**
Are procedures documented and consistent with the requirements of IALA and the stated quality policy?	☐Yes ☐No	
Are TMS and documented procedures effectively implemented?	☐Yes ☐No	
Is the level of details within the TMS procedures appropriate to the level of		
a) complexity of training and support functions?	☐Yes ☐No	
b) the skills on instructors and support personnel?	☐Yes ☐No	
c) the internal TMS training provided to organisation personnel?	☐Yes ☐No	

8 DOCUMENT AND DATA CONTROL

Document and data control	Yes/No	Comments
Does a documented procedure exist for the control of all documents and data that relate to the requirements of IALA, V-103 and authority?	☐Yes ☐No	
Document/data approval and issue	**Yes/No**	**Comments**
Is TMS documentation reviewed and approved for adequacy by approved personnel?	☐Yes ☐No	
Does the procedures ensure that:		
a) those involved with the review process are provided with the appropriate reference material and background information?	☐Yes ☐No	
b) the revision status of TMS documents can be readily identified?	☐Yes ☐No	
c) TMS documents are available at all locations where work essential to TMS is performed?	☐Yes ☐No	
d) instructor's manuals and materials issued to students are current?	☐Yes ☐No	
e) invalid or dated documents are removed from all points of use?	☐Yes ☐No	
f) archived, obsolete documents are suitably identified and stored in order to preclude unintended use?	☐Yes ☐No	
g) records of changes are maintained?	☐Yes ☐No	
Storage of materials	**Yes/No**	**Comments**
Does a documented procedure exist for the storage of training materials to preclude damage of deterioration?	☐Yes ☐No	

9 RESOURCES

Resources identification	Yes/No	Comments
Is there suitably qualified and trained staff to manage, support, conduct and verify training activities?	☐Yes ☐No	
Are there adequate facilities, equipment and materials essential to the support of the TMS?	☐Yes ☐No	
Training of organisation personnel	**Yes/No**	**Comments**
Do documented procedures exist for identifying the training needs of personnel performing management, training, examination and support functions?	☐Yes ☐No	
Have all personnel directly involved in student training activities satisfactorily completed pertinent instructor training requirements?	☐Yes ☐No	

10   PURCHASING

Purchasing	Yes/No	Comments
Do documented procedures exist which ensures essential services, facilities, equipment and materials support training and comply with IALA recommendations and the authorities requirements?	☐Yes ☐No	
Do these procedures ensure that:		
a) subcontracted instructors are suitably trained?	☐Yes ☐No	
b) external facilities utilised in the training of students comply with the requirements of the applicable training plan?	☐Yes ☐No	
c) equipment purchased for training is suitable for the applicable training plan?	☐Yes ☐No	
d) subcontracted organisations providing part or all of the training meet the requirements of the training plan?	☐Yes ☐No	
Evaluation of subcontractors	**Yes/No**	**Comments**
Is there a procedure to evaluate subcontractors?	☐Yes ☐No	
Are the criteria applied and the methods of evaluation used appropriately to assess the impact of the service, facility, equipment or material on the training provided?	☐Yes ☐No	

11   TRAINING DEVELOPMENT

Training course development	Yes/No	Comments
Is there a documented procedure to control and verify the development in training courses in order to ensure that training requirements are met?	☐Yes ☐No	
Does the training course development procedure ensure that:		
a) responsibility and authority for training course development and review activities are assigned to qualified personnel?	☐Yes ☐No	
b) requirements for the pertinent model course and the authority are taken into account?	☐Yes ☐No	
c) training course objectives are defined in terms of targeted qualifications?	☐Yes ☐No	
d) students knowledge and competence requirements are taken into account?	☐Yes ☐No	
e) appropriate use of simulators is taken into account?	☐Yes ☐No	
f) appropriate reference documents are made available to persons involved in training course development?	☐Yes ☐No	
g) ambiguities within the training course documentation are resolved?	☐Yes ☐No	
h) review of training course documentation is controlled?	☐Yes ☐No	
Are records of training course development maintained?	☐Yes ☐No	

Training plan	Yes/No	Comments
Are the training plans for each course defined and documented?	☐Yes ☐No	
Do these plans include:		
a) a description of the training course?	☐Yes ☐No	
b) prerequisite student qualifications?	☐Yes ☐No	
c) identification of required resources?	☐Yes ☐No	
d) instructor/examiner qualification requirements?	☐Yes ☐No	
e) instructor to student ratio?	☐Yes ☐No	
f) reference to course materials, applicable TMS procedures and documentation?	☐Yes ☐No	
g) procedures or instructions specific to delivery of the course?	☐Yes ☐No	
h) criteria for and methods of evaluating students competence, knowledge, understanding and proficiency as documented in IALA Recommendation V-103?	☐Yes ☐No	

12   TRAINING SUPPORT PROCEDURES

Training support procedures	Yes/No	Comments
Do documented procedures exist for functions that support the delivery of training?	☐Yes ☐No	
Are these activities identified, planned and conducted under controlled conditions?	☐Yes ☐No	
Do these controlled conditions include:		
a) documented procedures where their absence could adversely affect training?	☐Yes ☐No	
b) use and availability of suitable equipment and facilities?	☐Yes ☐No	
c) maintenance of facilities and equipment that have a direct impact upon training?	☐Yes ☐No	
d) observance of documented safety procedures?	☐Yes ☐No	

13   APPLICATION REVIEW

Application review	Yes/No	Comments
Do documented procedures exist for reviewing the qualification of applicants?	☐Yes ☐No	
Do these procedures:		
a) identify the qualification sought by the applicant?	☐Yes ☐No	
b) evaluate applicant's stated qualification against prerequisite requirements for the pertinent training course?	☐Yes ☐No	
c) determine suitability of the training course for providing qualifications sought by the applicant?	☐Yes ☐No	
d) communicate with the applicant regarding suitability of course(s) and curricula offered to fulfil the students qualifications needs?	☐Yes ☐No	
Are records of application review maintained	☐Yes ☐No	

14 VERIFICATION OF STUDENT'S COMPETENCE

Aptitude/assessment testing	Yes/No	Comments
Is a procedure in place to test candidates suitability for VTS operator basic training?	☐Yes ☐No	
Acceptance verification	**Yes/No**	**Comments**
Is there a procedure in place to ensure student candidates fulfil prerequisite requirements detailed in the applicable training plan?	☐Yes ☐No	
Is the identity of student candidates confirmed and suitable evidence of prerequisite qualifications sought prior to commencement of training?	☐Yes ☐No	
Examinations and competence	**Yes/No**	**Comments**
Is there a process of ensuring that student candidates adequately demonstrate all applicable knowledge and competence requirements prior to being considered as having successfully completed the training course?	☐Yes ☐No	
Do documented procedures exist for the development and administration of examinations and tests of competence?	☐Yes ☐No	
Is the responsibility and authority for evaluation of student knowledge or competence defined?	☐Yes ☐No	
Satisfactory completion	**Yes/No**	**Comments**
Are records of examinations of student knowledge and competence maintained in accordance the requirements of the authority?	☐Yes ☐No	
Student progress	**Yes/No**	**Comments**
Does a documented procedure exist for identifying and recording student progress from application through completion of training?	☐Yes ☐No	

15 CERTIFICATION AND ENDORSEMENT

Certification and endorsement	Yes/No	Comments
Do documented procedures exist for informing the VTS authority of a student's successful completion of training, if required?	☐Yes ☐No	
Does a documented procedure exist for issuing VTS course certificates?	☐Yes ☐No	

16 CONTROL OF STUDENT LEARNING DEFICIENCIES

Control of student learning	Yes/No	Comments
Do documented procedures exist for the evaluation of student knowledge and competence	☐Yes ☐No	
Where appropriate, are students:		
a) retained and re-examined in the specific area where deficiencies are noted?	☐Yes ☐No	
b) failed and required to repeat the training course?	☐Yes ☐No	
c) recommended to cease training?	☐Yes ☐No	

17   CONTROL OF TMS RECORDS

Control of TMS records	Yes/No	Comments
Do documented procedures exist for the identification, collection, indexing, access, filing, storage, maintenance and disposition of TMS records in accordance with the requirements of the authority?	☐Yes ☐No	
Are TMS records maintained in order to demonstrate:		
a) students satisfactory completion of training and applicable competence requirements?	☐Yes ☐No	
b) effective functioning of the TMS?	☐Yes ☐No	

18   GENERAL COMMENTS

Date	
Name of training organisation	

Signature

Official stamp of training organisation

ANNEX B   PROCEDURES FOR THE AUDIT PROCESS

1   INTRODUCTION

It is the responsibility of the Competent Authority to ensure that the audit process is compliant with these guidelines.

The audit process is designed to ensure that:

- training is being provided within a functioning training management system based upon an approved quality system standard;

- instructors and examiners are properly qualified to provide training as well as being able to assess competency of students; and

- course materials and curricula comply with the IALA V-103 Recommendation and associated Model Courses.

The auditor should identify and report any areas where the documentation or the training does not comply with any of the above requirements.

The audit process is conducted in three phases and a follow-up phase.

To assist with planning and preparation for an audit (including the completion of the pre-audit questionnaire), the following should be considered:

indicate the names of persons with key responsibilities within the training management system;

identify the organisational units or functions to be audited;

use of organisational diagrams and flow charts;

identify the activities to be audited;

identify the training management system documentation;

use of a project management approach in order to assist with the setting of timetables and the consideration of budget and resources;

identify the training course curricula and materials;

indicate the name(s) of the auditor(s);

indicate the date(s), time(s) and place(s) of the audit;

identify location(s) to be audited;

indicate the language of the audit;

identify any unique requirements of the Competent Authority relevant to the audit;

the time and effort that may be required to complete the process;

if time and resources permit, it could be useful to conduct an internal pre-audit.

1.1   Phase 1

Phase 1 activities should be conducted sufficiently in advance of the Phase 2 audit to allow the training organisation sufficient time to correct any Phase 1 non-conformities prior to the commencement of Phase 2.

Phase 1 should consist of:

1.1.1   Training Management System documentation review

The TMS documentation should confirm that a training management system, including internal audit programs, is in place and is used to review and improve the quality of training at the VTS training organisation. A comparison of the training management system documentation against the requirements of an approved quality system standard which is recognised by the Competent Authority should be performed. The training management system should at a minimum reflect ANNEX C of these guidelines.

1.1.2   Training course materials, curricula and simulator capability review

The curricula, course materials and simulator capabilities should be compared with the various IALA recommendations, guidelines, model courses and any additional requirements of the Competent Authority.

1.1.3   Review of instructor and examiner qualifications

Documents certifying instructor and examiner qualifications should be reviewed to ensure the individuals are suitable for the functions they perform.

1.1.4   Review of internal audit program

The training organisation's internal audit program schedule should have a plan to correct non-conformities found in the phase 1 of the audit prior to initiation of the Phase 2 audit.

1.1.5   Reporting

The results of Phase 1 audit activities should be documented in a report. The report should list the documents reviewed, and summarise the results of the Phase 1 audit.

The auditor should identify any non-conformities in the compliance with the TMS documentation, course curricula, course materials, or instructor/examiner qualifications. The training organisation should correct the non-conformities and report the proposed corrections to the auditor for the appropriate response prior to Phase 2 of the audit.

1.2   Phase 2

Phase 2 should consist of:

1.2.1   Audit planning and scheduling

Phase 2 of the audit should be conducted in accordance with the plan developed by the auditor. Implementation of the plan should be co-ordinated with the VTS training organisation.

1.2.2   Audit of TMS implementation

The audit should determine the effective functioning and implementation of the training management system and verify conformity with documented procedures and instructions. The audit should be scheduled to coincide with the presentation of the appropriate VTS training activities.

The on-site audit may consist of:

1   an opening meeting;

review internal audits;

review management review reports;

review corrective action system including customer complaints and outstanding non-conformities and observations;

review changes to TMS;

review changes to management responsibility and authority;

confirmation of instructor/examiner qualifications ;

examination of programmed areas/activities including on-site monitoring of the course;

review of training records;

preparation of draft programme for next visit;

closing meeting.

The opening meeting should include the introduction of the audit team, a brief review of the audit process, and a review of the audit plan. The audit plan should be revised, if necessary, during the opening meeting to accommodate reasonable contingencies prior to proceeding with the onsite audit.

The audit should proceed with interviews of personnel with key responsibility within the TMS, a review of training records, and observance of training delivery activities.

Those portions of training reflected in the audit plan should be monitored to confirm compliance. The instructor's delivery, the interaction between instructor and students and the student assessment activities should be observed. The auditor should ensure that the records are being handled in compliance with the TMS.

At the closing meeting the results of the audit, including the non-conformities identified, the remedial action to be taken and the recommendation regarding approval, should be reviewed with representatives of the organisation providing VTS training.

1.2.3   **Reporting**
The Phase 2 results of the audit activities should be documented in a report.

The report should:

1   summarise the results of the phase 2 audit;

include identified non-conformities;

indicate requirements for timely corrective action and any follow-up activities;

indicate the recommendation for approval.

Where practicable, the audit report should be prepared for presentation at the closing meeting.

1.3   Phase 3
Phase 3 should consist of;

1.3.1   **Audit follow-up activities;**
The training organisation is responsible for correcting any non-conformities identified during the audit. The training organisation should report proposed corrective actions to the auditor for review and acceptance. The auditor should review the proposed corrective actions submitted by the training organisation and determine their acceptability.

If the proposed corrective actions are acceptable, the auditor should, by documented correspondence with the training organisation, indicate the acceptability of the proposed corrective actions. Depending on the nature of the non-conformities the auditor may require a follow-up audit to confirm effectiveness of the implemented corrective actions.

1.3.2   **Issuing the Certificate of Approval**
Upon satisfactory closure of audit activities a of Approval valid for a period, as required by the Competent Authority (recommended no longer than five years) and, subject to periodic audit of the TMS, should be issued to the training organisation.

The Competent Authority should retain one copy of the certificate and one copy should be sent to the IALA Secretariat. If possible, the Certificate should be sent to IALA in electronic format (contact@iala-aism.org).

1.4   Follow-up phase
After the initial accreditation there should be periodic audits for the continued validity of the Accreditation Certificate.

The follow-up phase should consist of:

1.4.1   **Periodic audit activities**

The training organisation is responsible for correcting any deficiencies identified during the periodic audit. The training organisation should report corrective actions to the auditor for review and acceptance.   The auditor should review the corrective actions submitted by the training organisation and determine their acceptability.

If the corrective actions are acceptable, the auditor should, by documented correspondence with the training organisation, indicate the acceptability of the corrective actions. Depending on the nature of the non-conformities the auditor may require a follow-up audit to confirm effectiveness of the implemented corrective actions or, in the case of major non-conformities, recommend that the Approval Certificate be suspended until corrective action has been undertaken successfully.

1.4.2   **Endorsement of the Approval Certificate**

Upon satisfactory completion of the periodic audit activities an endorsement should be made on the Approval Certificate.

ANNEX C   TRAINING MANAGEMENT SYSTEM (TMS) AS A QUALITY SYSTEM MODEL FOR TRAINING ORGANISATIONS

1   INTRODUCTION

This Training Management System (TMS) model for training organisations serves as an 'approved quality system standard' for training of VTS Personnel. This standard focuses strictly on the quality provision of training and should be applied to the training of VTS Operators, VTS Supervisors and On-the-Job Training Instructors provided by training organisations. It should also be applied to On-the-Job Training provided at VTS centres.

This standard is compatible with other existing quality system standards and the requirements identified within it can easily be incorporated into existing quality systems. The standard does however, constitute a model for compliance with other quality system standards; its requirements identify those issues having the most significant impact on the successful training of VTS Personnel.

Training organisations that have already implemented a formal quality system should use this standard to ensure that their system adequately addresses relevant training concerns. Training organisations that have not implemented a formal quality system should use this standard as the basis for the development of a quality training system.

An audit of a training management system should include the issues identified by this standard.

1.1   Scope

This standard applies to organisations that provide training to, and verify the competence of, individuals seeking qualifications as VTS Operators and VTS Supervisors in accordance with the provisions of IALA Recommendation V-103, - *Recommendation on Standards for Training and Certification of VTS Personnel.* Training organisations should establish, implement and maintain a TMS to ensure that students are provided the training necessary to achieve the competence required for the relevant qualifications being sought (i.e. VTS Operator, Supervisor etc.).

2   TRAINING MANAGEMENT REQUIREMENTS

2.1   Quality Policy

The senior management of the training organisation should define and document its policy for quality. The quality policy should:

1   Take into account the overall goals and objectives of the training organisation pertaining to the training of VTS Operator and VTS Supervisor candidates.

2   Be relevant to:

    a   student training needs; and

applicable requirements of V-103 and the appropriate model course.

3   Express the commitment of the training organisation to achieving its goals and objectives and to fulfilling the training needs of the student.

Senior management should ensure that this policy is understood, implemented and maintained at all levels of the training organisation.

2.2 Organisational Arrangements

2.2.1 Responsibility and authority

The responsibility, authority and interrelation of all personnel including management, instructors, examiners and support staff, who perform and verify work affecting training should be defined and documented. Particular attention should be paid to personnel who need the organisational freedom to:

1 Initiate action to prevent the occurrence of any non-conformities relating to the TMS;

Identify and record any problems relating to the TMS;

Initiate, recommend or provide solutions to identified problems through designated channels;

Verify the implementation of solutions;

Identify pertinent changes to student training and competence requirements and initiate action to incorporate appropriate changes to VTS training programs.

2.2.2 Management representative

The senior management of the training organisation should appoint a member of its own management who, irrespective of other responsibilities, should have defined authority for:

1 Ensuring that the TMS is established, implemented and maintained in accordance with this standard; and

Reporting on the performance of the TMS to the management of the training organisation for review and as a basis of improvement.

2.3 Internal TMS Audits

The training organisation should establish and maintain documented procedures for planning and performing internal audits in order to verify whether activities comply with the requirements of the TMS.

Internal audits should be scheduled on the basis of the importance of the activity with respect to student training. Personnel independent of those having direct responsibility for the area being audited should carry out internal audits. The complete TMS should be effectively audited at least annually.

The results of internal audits should be provided to personnel having assigned responsibility for the activity and the authority to perform corrective action where deficiencies are noted. Responsible personnel should perform timely corrective action on deficiencies discovered during the internal audit.

Follow-up audits should be conducted to verify and record the effectiveness of corrective action taken.

A record of internal audits should be maintained.

2.4 Corrective and Preventive Action

The training organisation should:

1 Establish and maintain documented procedures for the identification and correction of TMS deficiencies;

Review appropriate sources of information, such as non-conformance reports, audit reports, student and customer complaints, and quality records to detect and eliminate potential deficiencies;

Analyse student learning deficiencies for adverse trends that shall indicate a deficiency in the training plan or training delivery procedures;

Determine the root cause of deficiencies and implement corrective action to eliminate the deficiency.

Records of these activities should be maintained.

2.5 Management Review

Senior management of the training organisation should review the TMS in accordance with documented procedures in order to ensure its continuing suitability and effectiveness in satisfying the organisation's quality policy and training needs of the students.

Internal management review should include the review of internal and external audit reports, reports of non-conformities and corrective actions taken and their effectiveness. Management should determine the need for any changes to policy or the TMS based upon the results of this review.

Management review should be conducted at least annually. A record of management reviews should be maintained.

2.6 TMS Requirements
2.6.1 General
The training organisation should establish, document, and maintain a TMS in conformance with the requirements of this standard as a means of ensuring that students are trained in accordance with the requirements of pertinent model courses and any additional requirements of the Competent Authority.

2.6.2 Training Management Manual
TMS documentation should include a Training Management Manual. The Training Management Manual should at a minimum provide:

1   A copy of the quality policy

An overview of the TMS of the training organisation;

An outline of the documentation structure of the TMS;

Cross references to the requirements of this standard; and

References to pertinent TMS documentation.

2.6.3 TMS procedures
The training organisation should:

1   Document procedures consistent with the requirements of this standard and the stated quality policy; and

Effectively implement the TMS and its documented procedures.

The level of detail provided in TMS procedures should be appropriate to the level of:

1   Complexity of training and support functions;

The skills of instructors and support personnel; and

Internal TMS training provided to training organisation personnel.

2.7   Document and Data Control

2.7.1   General

The training organisation should establish and maintain documented procedures for the control of all documents and data, including those of external origin, that relate to the requirements of this standard, IALA Recommendation V-103 and the associated Model Courses and the Competent Authority.

2.7.2   Document and data approval and issue

TMS documentation should be reviewed and approved for adequacy by authorised personnel prior to issue. Document and data control procedures should ensure that:

1   All documents and data are reviewed and approved for adequacy by authorised personnel;

Personnel involved in review are provided with appropriate reference materials and background information upon which to base their approval;

The revision status of TMS documents can be readily identified;

Pertinent TMS documents are available at all locations where work essential to the TMS is performed;

Instructor's manuals and materials, and materials issued to students are current;

Invalid or obsolete documents are removed from all points of use;

Obsolete documents retained for historical purposes are suitably identified and stored in order to preclude unintended use.

A record of all changes should be maintained.

2.7.3   Storage of materials

Where appropriate, the training organisation should establish and maintain documented procedures for storage of training materials to preclude damage or deterioration.

2.8   Resources

2.8.1   Resources identification

Senior management of the training organisation should identify and provide resources required to manage, support, conduct, and verify training activities. Resources at a minimum should include:

1   Suitably qualified and trained personnel (i.e., instructors, examiners, etc.);

Facilities, equipment and materials essential to the support of the TMS.

2.8.2   Training of personnel of the organisation

The training organisation should establish and maintain documented procedures for identifying the training needs of personnel performing management, training, examination and support functions. The organisation shall arrange for required training.

All personnel directly involved in student training activities should have satisfactorily completed pertinent instructor training requirements prior to undertaking training responsibilities.

2.9   Purchasing
2.9.1   General
The training organisation should establish and maintain documented procedures to ensure that essential services, facilities, equipment and materials supporting training comply with requirements including that:

1   Subcontracted instructors are suitably qualified;

External facilities utilised in the training of students comply with the requirements of the applicable training plan;

Equipment purchased for training is suitable for the applicable training plan; and

Subcontracted organisations providing part or all of the training meet the requirements of the training plan.

2.9.2   Evaluation of subcontractors
Subcontractors should be evaluated on their ability to fulfil subcontract requirements. The training organisation should define subcontractor evaluation criteria and methods. The criteria applied and methods of evaluation should be appropriate to the impact of the service, facility, equipment or material on the training provided.

2.10   Training Development
2.10.1   Training course development
The training organisation should establish and maintain documented procedures to control and verify the development of training courses in order to ensure that training requirements are met. Training course development should ensure that:

1   Responsibility and authority for training course development and review activities are assigned to qualified personnel;

Requirements of the pertinent model course and the Competent Authority are taken into account;

Training course objectives are defined in terms of targeted qualifications;

Student knowledge and competence requirements are taken into account;

The appropriate use of simulators is taken into account;

Appropriate reference documents are made available to persons involved in training course development;

Materials are reviewed by pertinent functions within the training organisation;

Ambiguities within training course documentation are resolved; and

Training course documentation review is controlled.

Records of development in VTS training courses should be maintained.

2.10.2   Training course description
The training organisation should identify and document descriptions of each training course provided. Each training course description should include:

1   The goals and objectives of the course;

A course outline;

A course schedule; and

The certificate or endorsement to be issued upon successful completion of the course.

2.10.3   Training plan
The training organisation should plan how requirements for training shall be met. Training plans for each course should be defined and documented and include:

1   A description of the training course; (see 2.10.2)

Prerequisite student qualifications;

Identification of required resources;

Instructor and/or examiner qualification requirements;

Instructor to student ratio;

References to the course materials and applicable TMS procedures and documentation;

Procedures or instructions specific to delivery of the course;

Criteria for and methods of evaluating student competence, knowledge, understanding and proficiency as documented in IALA Recommendation V-103.

Note: Instructor and/or examiner qualifications should include appropriate skills in the use of simulators for instruction and verification of competence.

2.11 Training Support Procedures

The training organisation should establish and maintain documented procedures for functions that support the delivery of training. The organisation should identify and plan these activities and ensure that they are conducted under controlled conditions. Controlled conditions include:

1 Documented procedures where their absence could adversely affect training;

Use and availability of suitable equipment and facilities;

Maintenance of facilities and equipment that have a direct impact upon training; and

Observance of documented safety procedures.

2.12 Application Review

The training organisation should establish and maintain documented procedures for reviewing the qualifications of applicants. The review should:

1 Identify the qualifications sought by the applicant;

Evaluate applicant's stated qualifications against prerequisite requirements for the pertinent training course;

Determine suitability of the training course for providing qualifications sought by the applicant; and

Communicate with the applicant regarding suitability of course(s) and curricula offered to fulfil the student's qualification needs.

A record of all application reviews should be maintained.

2.13 Verification of Students' Competence
2.13.1 General

The training organisation should establish and maintain documented procedures for training verification activities.

2.13.2 **Acceptance verification**

The training organisation should ensure that student candidates fulfil prerequisite requirements detailed in the applicable training plan. The organisation should confirm the identity of student candidates and verify suitable evidence of prerequisite qualifications prior to commencement of training.

In the event that prerequisite requirements cannot be verified prior to commencement of training, the organisation should take special note and ensure that the student training is not considered completed until prerequisite requirements have been verified.

2.13.3 **Examinations and competence**

The training organisation should ensure that student candidates adequately demonstrate all applicable knowledge and competence requirements prior to being considered as having successfully completed the training course.

Students should be required to demonstrate adequate knowledge and competence in accordance with requirements of the training plan in order to be appropriately qualified.

The training organisation should establish and maintain documented procedures for the development and administration of examinations and tests for competence. As a minimum, examinations and criteria for evaluation of competence shall include applicable requirements of V-103, and of the Competent Authority.

Responsibility and authority for evaluation of student knowledge or competence should be defined.

2.13.4 **Satisfactory completion**

The training organisation should maintain records of examinations of student knowledge and competence in accordance with the requirements of the competent authority.

2.13.5 **Student progress**

The training organisation should establish and maintain documented procedures for identifying and recording student progress from application through completion of training.

Records of student progress should be maintained.

2.14 **Certification and Endorsement**

The training organisation should establish and maintain documented procedures for informing the VTS Authority of the successful completion of students training, if required.

The organisation should establish and maintain documented procedures for awarding VTS Course Certificates.

2.15 **Control of Student Learning Deficiencies**

Responsibility and authority for evaluation of student knowledge and competence deficiencies should be defined. Deficiencies in regard to knowledge or competence should be reviewed in accordance with documented procedures. Where appropriate, students should be:

1   Retrained and re-examined in the specific area where deficiencies are noted;

Failed and required to repeat the training course.

Recommended to cease training.

2.16   Control of TMS Records

The training organisation should establish and maintain documented procedures for the identification, collection, indexing, access, filing, storage, maintenance and disposition of TMS records in accordance with the competent authority or their representative.

TMS records should be maintained in order to demonstrate:

1   Students' satisfactory completion of training and applicable competence requirements; and

Effective functioning of the TMS.

TMS records should be legible and stored in such a manner to preclude damage.

ANNEX D   RECOMMENDED PRACTICES FOR VTS TRAINING ORGANISATIONS

1   PRACTICES AND PROCEDURES

Organisations providing VTS training should:

1   Plan the teaching and training process that directly influences the quality of teaching and learning, and ensure that these processes are properly carried out.

Clearly identify and carry out an assessment of prior learning to ensure all competencies, as indicated in IALA Recommendation V-103, are met.

Establish and maintain documented procedures that specify:

a   the approach to planning and application of course plans and lesson plans including use of teaching principles, methods and equipment in classrooms and simulator rooms;

control and assessment activities put in place to ensure trainees acquire the necessary levels of competence for each module of the appropriate model course;

appropriate training facilities to meet the documented training objectives;

maintenance procedures for the training facility's equipment;

qualifications and competence requirements of instructors and assessors;

adherence to appropriate health and safety requirements and regulations.

Ensure all aspects of study progression are documented and disseminated to trainees, VTS Authorities and course managers as required.

Continually control and evaluate teaching activities to ensure the learning results are in accordance with the appropriate course plan.

Ensure that trainees who present themselves for final tests, examination, simulation evaluations or equivalent, have completed all the required course work and exercises, including simulator exercises where appropriate.

Establish procedures for the maintenance and use of equipment during the training in order to ensure that:

a   equipment and systems are maintained in accordance with the manufacturer's instructions and, where appropriate, calibrated as and when necessary;

equipment and systems are operated in a safe and efficient manner;

working conditions in the training environment, such as lighting, ventilation and heating, conform to appropriate rules and regulations.

Ensure that any consumable stores necessary to maintain equipment and systems in full working order are properly controlled and stored. Where the consumable stores could lead to pollution of the environment, the procedures should reflect workplace hazardous materials requirements.

2   ACTIONS FOR ENSURING TRAINING RESULTS

The organisation providing VTS training should:

1   Arrange and carry out final assessment.

Ensure that any assessment is carried out in accordance with the course plan, or other documented procedures, so that proof of the training results in accordance with the requirements specified in IALA Recommendation V-103 and the appropriate Model Course, as well as the national requirements is complete.

Record training results and retain these as evidence that the competence of trainees is tested and controlled. These records should indicate the results obtained by trainees for each 'subject area' of each module of the appropriate model course.

Establish, document and maintain procedures for any complaint received. Responsibilities for reviewing, handling and following-up complaints should be defined.

ANNEX E   SAMPLE OF INFORMATION REQUIRED ON CERTIFICATE OF ACCREDITATION

COMPILATION OF A CERTIFICATE OF ACCREDITATION

The issuing authority/organisation should complete the texts in Italics in the example in the following manner:

1. *Number* — A unique serial number should be inserted.

2. *Name of Training Organisation* — The full name of the organisation, as given in their official documentation should be inserted.

3. *Address of Training Organisation* — The full address of the organisation, as given in their official documentation, should be inserted. This may not necessarily be the address where the audit took place or where the training will be given.

4. *Dates of audit* — The dates on which the audit started and when it was completed satisfactorily should be inserted.

5. *Issuing Authority/Organisation* — The name of the issuing authority or organisation should be inserted.

6. *Name of Competent Authority* — The full name of the Competent Authority (CA) issuing the certificate should be inserted.

7. *Date of certificate* — The date on which the certificate is awarded should be inserted. This may not necessarily be the same as the date on which the audit was completed.

8. *Expiry date* — The date to be inserted should normally be five years less one day after the date on which the certificate was awarded.

9. *Dates (on page 2 - Periodic and additional audits)* — The first date to be inserted should normally be two years after the date on which the certificate was awarded. The second date to be inserted should be one year after the first date inserted. (Only if required.)

ANNEX F   **SAMPLE CERTIFICATE OF APPROVAL FOR VTS TRAINING COURSES**

Logo of IALA if the accreditation /approval process has been approved by IALA	**Certificate of Approval of VTS Training Course**	Logo of issuing Competent Authority or designated body/organisation on behalf of the Competent Authority

<div align="center">

Certificate Number

[Number]

</div>

This is to certify that:

<div align="center">

[Name of Training Organisation]

[Address of Training Organisation]

</div>

has been audited during the period *[dates of audit]* **for the provision of VTS Training and found to be in compliance with IALA Guideline 1014 on the Accreditation and Approval Process for VTS Training Courses.**

The following training course has been verified to meet the IALA V-103 standards:

Name of the Course (example)	Standard and version
VTS Operator Training	**Model Course V-103/1 September 2011**

Issued by *[Issuing Authority/Org.]* on behalf of *[Name of CA]* on *[Date of certificate]* and valid until *[Expiry date]*, subject to periodic audit(s) as required.

<div align="right">

_____

Authorised Signature

</div>

<div align="center">Space for any specific conditions of the Competent Authority</div>

This certificate consists of 2 pages.   Page 1/2

Sample of Periodic and Additional Audits

| Logo of IALA if the accreditation /approval process has been approved by IALA | # Certificate of Approval of VTS Training Course | Logo of issuing Competent Authority or designated body/organisation on behalf of the Competent Authority |

Certificate Number *[Number]*

Periodic and Additional Audits (*if required*)

Planned Periodic Audits

To be carried out between	Date audit carried out	Name of Auditor	Signature & Stamp
…../…../….. and …../…../….. *[Dates]*			

Additional Audits

Purpose and authorisation	Date audit carried out	Name of Auditor	Signature & Stamp

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