Document Revisions (Title style)

**IALA GUIDELINE**

**[VTS 38]**

**On**

**Preparing for IMO Member State Audit Scheme (IMSAS)**

**On**

**Vessel Traffic Services [Delivery]**

**[Working towards] Edition 1**

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**Initial Edition**

International Association of Marine Aids to Navigation and Lighthouse Authorities

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

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| **Date** | **Page / Section Revised** | **Requirement for Revision** |
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Preparing for IMSAS on Vessel Traffic Services [Delivery]

INTRODUCTION

At its twenty eight session in January 2014, the IMO Assembly adopted Resolution A. 1068 (28) on the Transition from the Voluntary IMO Members State Audit Scheme to the IMO Member Audit Scheme (IMSAS).

The Member State’s obligations in general are described in Resolution A.1067 (28) and the relevant section for coastal States is included in Appendix 2. At this stage, it is recognized that the audit framework and associated documents relate more to flag State and port State obligations than those of coastal States. The obligations of these States are more fully described in the Framework as they are already listed in the Conventions themselves, as well as in numerous IMO resolutions and circulars.

However, this is not the case for coastal State obligations. The principle of their obligations appears in SOLAS Chapter V. However, it is difficult to define the details to be covered by the audits as the subjects listed in SOLAS Chapter V are not all covered by specific IMO standards. Therefore, the work of the auditors could be challenging with respect to SOLAS Chapter V for coastal States.

Although there is no VTS system formally adopted by IMO, VTS should be in conformity with IMO regulations. It is suggested the following information be provided regarding the obligation stemming from IMO Circular Letter No. 3425, Auditor’s Manual for IMSAS on obligations pertaining to Coastal States

This guidelines is to assist both Member States who are preparing themselves to be audited and the auditors for audit regarding vessel traffic services (VTS) (SOLAS Reg. V/12 – [see Appendix 1]

(Note: This guideline supersede/revokes (?) IALA Guidelines No. 1055 - Preparing for a Voluntary IMO Audit on Vessel Traffic Services [Delivery]

**2 OVERVIEW**

Firstly, guidance is offered to IALA members on those sections of the pre-audit questionnaire that the Administrations in charge of Vessel Traffic Services (VTS) have to answer according to their obligations in SOLAS regulations V/12. This is at Annex 1.

Secondly, a check-list is provided to assist the auditors when auditing such Administrations. The checklist was developed taking into account the areas which should provide the minimum scope for an audit (administrative, legal and technical areas defined in IMO resolution A. 974 (24) part 1, paragraph 7.4.2. This is at Annex 2

**3 ISSUES TO CONSIDER**

The IMSAS covers a broad range of maritime safety and the prevention of pollution issues (SOLAS, MARPOL, Tonnage 69, Load Line, STCW and COLREG). VTS delivery is only a small but important element of the audit scheme. To assist with planning and preparation for an audit (including the completion of the pre-audit questionnaire), the following issues should be considered:

* Member State’s policy and legal frameworks should be explained as fully as possible;
* Member State’s internal stakeholder arrangements should be described, in particular the sectional and governance arrangements for the responsibilities of a Member State’s VTS. Insofar as is possible, clarification of any special organisational arrangements should be fully detailed;
* a designated single point of contact is required for the Member State. It may also be necessary to establish single points of contact for other internal stakeholders that have delegated VTS responsibilities. It might also be useful to establish a hierarchy of responsibilities;
* to assist the audit process use of organisational diagrams and flow charts should be considered;
* some Federal States could face difficulty in answering all necessary questions. A mechanism of coordination should be implemented to allow the Member State VTS authority to successfully undergo the audit;
* Member States may consider adopting a programme or project management approach to the audit process. This will assist with the setting of timetables and the consideration of budget and resources;
* noting that a maximum period of two months is permitted for the completion of the pre-audit questionnaire from the time the audit is officially launched, Member States should not underestimate the time and effort that may be required to complete the questionnaire;
* the working language will be that agreed between the Member State and the IMO. For some Member States the translation of sections of primary legislation pertaining to VTS responsibility, delivery and monitoring will be necessary. In addition, to assist with coordination of the audit, it may be necessary to use hard copy documentation; and
* if time and resources permit, it could be useful, in preparing the IMO audit, to proceed with an internal pre-audit. IALA Guideline No. 1101 on Auditing and Assessing VTS may be helpful for this purpose. The Audit Checklist for the Assessment of a VTS contain in the Annex A, will provide the auditor a general information about the VTS.

**Annex 1**

**Pre-audit Questionnaire**

This part is intended to facilitate the response to the pre-audit questionnaire (Reference: Appendix 2 of IMO resolution A.1067 (28)) for those Administrations responsible for the provision of VTS in Member States that plan to participate in the IMO Member State Audit Scheme (IMSAS).

Information so provided pertaining to VTS delivery may be included as a supplemental document in response to the IMSAS pre-audit questionnaire which is provided to the auditors by the Member State.

SOLAS regulations V/12 and 13 refer to the appropriate recommendations and guidelines of IMO and IALA. The IALA recommendations are freely available for download in pdf format at www.iala-aism.org under "publications". Information on the general management of VTS can be found in IALA manuals (NAVGUIDE and IALA VTS Manual).

|  |  |
| --- | --- |
| **Excerpts from IMO Resolution 1067 (28) Pre-Audit Questionnaire, Appendix 2** | |
| **General Information**  Sections 1~3 | Provide VTS specific information as necessary, especially if different from overall audit; adjust/include details on Government body(ies) responsible for VTS. |
| Section 8 | Information on any relevant organizations and/or entities fulfilling VTS functions as required, their relationship to the maritime administration and details of the functions they provide. |
|  | |
| **Part 1 – Common Areas**  Sections 9~14 | Provide all details on Strategy, General, Scope, Records and Improvements (as per III Code) as they relate to VTS |
|  | |
| **Part 3 - Coastal State**  Sections 25~27 | Provide all details on Implementation, Enforcement, Evaluation and Review (as per III Code) as they relate to VTS; see further guidance below for “VTS In Force.” |
| **VTS In Force** (or equivalent reporting system(s) in place) | **Although there is no VTS system formally adopted by IMO, VTS should be in conformity with IMO regulations. It is suggested the following information be provided regarding the obligation stemming from SOLAS regulation V/12:** |
|  | Describe your process for justifying the provision of VTS relative to the volume of traffic or degree of risk. |
|  | Describe your arrangements for compliance with Resolution A.857(20), Guidelines for VTS. |
|  | Describe the measures taken to ensure compliance with VTS by ships entitled to fly your flag. (Flag State responsibility.) |
|  |  |
|  | **National legislation of State to establish sanctions for violations of mandatory IMO instruments within its jurisdiction** |
|  | Describe what, if any, national legislation is in place with respect to VTS. |
|  |  |
|  | **Methodology the State employs to enforce maritime legislation within its territorial waters** |
|  | Describe the measures employed by the State to enforce VTS legislation. |
|  |  |
|  | **Measures to evaluate effectiveness in implementing IMO mandatory instruments** |
|  | Describe the measures, if any, taken to evaluate the effectiveness in implementing SOLAS regulations V/12 and 13 |
|  |  |
|  | **Evaluation and review** |
|  | Describe the measures taken to evaluate effectiveness of VTS (e.g. vessel tracking analysis, incident analysis, service availability, planning and inspection). |
|  |  |
|  | **Management system: note that these points should be responded to in the context of VTS.** |
|  | 1. Does the State use a recognized quality management system, e.g. ISO 9001:2000, for VTS?   Yes No   **If yes, relevant documentation should be copied and submitted together with this questionnaire.** |
|  | 2. Does the State use other management systems for VTS, e.g. internal contracts between management and subdivisions, external contracts between the organization to be audited and its superiors of either a political and/or administrative nature or any other proprietary management system?  Yes No   **If yes, copies of contracts or other relevant documentation (in an appropriate language) should be submitted together with this questionnaire.** |
|  |  |

**Annex 2**

Checklist for Auditors – Vessel Traffic Services (VTS) elements

SOLAS regulations V/12 and 13, refer to the appropriate recommendations and guidelines of IMO and IALA. The IALA recommendations and guidelines are freely available for download in pdf format at [www.iala-aism.org](http://www.iala-aism.org) under "publications". Information on the general management of VTS can be found in IALA manuals (NAVGUIDE and IALA VTS Manual).

**Legislation**

 What national Administration is responsible for VTS?

 Under what law(s) does each Administration act?

**Organization**

 How is each Administration organized?

 To what other bodies, if any, has responsibility for VTS been delegated?

 Has this delegation been formally established and documented?

**Resources**

 What is the mechanism for establishing resource requirements (Equipment/Human)?

 What are the funding mechanisms for the Administration?

 What is the mechanism for ensuring competence of personnel?

**International recommendations/regulations**

 What national legislation is in place to support provision of, and compliance with VTS systems?

What international recommendations and guidelines in respect of VTS are reflected in the Administration's policies and procedures?

**ANNEX 3**

**AUDIT CHECKLIST FOR THE ASSESSMENT OF A VTS**

**1. General information**

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Issue/question | VTS Notes | Auditor Notes/comments |
| 1. | Date: |  |  |
| 2. | Name of Auditing body: |  |  |
| 3 | Name of the Competent authority: |  |  |
| 4 | Name of the VTS authority: |  |  |
| 5 | Name of VTS centre(s): The full name and address of the VTS centre(s), as given in their official documentation, should be inserted. |  |  |
| 6 | Date of last audit:  Provide a copy of the audit report. |  |  |
| 7 | Are internal audits carried out? |  |  |
|  | Provide a copy of the assessment / audit report. |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| References | Title | VTS Notes | Auditor Notes/comments |
| IMO Resolution A.857(20) | Guidelines for Vessel Traffic Services |  |  |
| IALA Recommendation V‐103 | Standards for Training and Certification of VTS Personnel and associated module courses |  |  |
| IALA Recommendation V‐119 | Implementation of VTS |  |  |
| IALA Recommendation V‐120 | VTS in Inland Waters |  |  |
| IALA Recommendation V‐127 | Operational Procedures for VTS |  |  |
| IALA Recommendation V‐128 | Operational and Technical  Performance Requirements for VTS Equipment |  |  |
| IALA Recommendation O‐132 | Quality Management for Aids to  Navigation Authorities |  |  |
| IALA Recommendation O‐134 | The IALA Risk Management tool for ports and restricted waterways |  |  |
| IALA Guideline 1018 | Risk Management |  |  |
| IALA Guideline 1034 | Certification of Marine Aids to  Navigation Products |  |  |
| IALA Guideline 1045 | Staffing Level at VTS Centres |  |  |
| IALA Guideline 1052 | Use of Quality Management Systems for Aids to Navigation Service Delivery |  |  |
| IALA Guideline 1055 | Preparing for a Voluntary IMO Audit on Vessel Traffic Services Delivery |  |  |

**Appendix 1**

**SOLAS Chapter V, regulation 12**

|  |  |
| --- | --- |
| **1.** | *Vessel traffic services (VTS) contribute to safety of life at sea, safety and efficiency of navigation and protection of the marine environment, adjacent shore areas, work sites and offshore installations from possible adverse effects of maritime traffic.* |
| **2.** | *Contracting Governments undertake to arrange for the establishment of VTS where, in their opinion, the volume of traffic or the degree of risk justifies such services.* |
| **3.** | *Contracting Governments planning and implementing VTS shall, wherever possible, follow the guidelines developed by the Organization*[*\**](https://mcanet.mcga.gov.uk/public/c4/solasv/regulations/regulation12.htm#1)*. The use of VTS may only be made mandatory in sea areas within the territorial seas of a coastal State.* |
| **4.** | *Contracting Governments shall endeavour to secure the participation in, and compliance with, the provisions of vessel traffic services by ships entitled to fly their flag.* |
| **5.** | *Nothing in this regulation or the guidelines adopted by the Organization shall prejudice the rights and duties of Governments under international law or the legal regimes of straits used for international navigation and archipelagic sea lanes.* |

**Appendix 2**

**Pre-Audit Questionnaire (IMO Resolution A.1067 (28), Appendix 2)**

**Appendix 3**

**AUDIT SCHEME SEQUENCE OF ACTIVITIES**

|  |  |  |  |
| --- | --- | --- | --- |
| **Ref.** | **Activity** | **Responsible** | **Procedures Ref.** |
| 1 | All Member States informed of overall audit schedule | SG | 4.1.1 |
| 2 | Pre-audit questionnaire sent to the Member State | SG | 5.2 |
| 3 | Completed pre-audit questionnaire sent to IMO | MS | 5.4 |
| 4 | Selection of auditors by IMO | SG | 4.3 |
| 5 | Notification of auditors to Member State | SG | 4.5.5 |
| 6 | Final selection of audit team | SG + MS | 4.4.1.5; 4.5.5 |
| 7 | Developing and negotiating the Memorandum of Cooperation, including authorization for release of the audit reports to the public or Member States | SG + MS | (Framework 8.2.4)  4.2.1; 4.2.3 |
| 8 | Memorandum of Cooperation finalized and signed | MS + SG | 4.2.2 |
| 9 | Preparation for the audit by the audit team | ATL | Section 5 (various references) |
| 10 | Agreeing the audit plan | ATL + MS | 4.2.4; 4.2.5; 5.7 |
| 11 | Opening meeting between the audit team and the Member State | ATL + MS | 6.3 |
| 12 | Audit closing meeting, draft audit interim report and draft executive summary report tabled | ATL + MS | 6.5 |
| 13 | Draft audit interim report and draft executive summary report sent to the Member State and IMO | ATL | 7.1.3; 7.2.2; 7.3.1; 7.3.2 |
| 14 | Review of the draft interim report and draft executive summary report; including comments sent by the Member State | ATL + MS + IMO | 7.1.3; 7.2.3; 7.2.4; 7.3.1 |
| 15 | Agreed interim report and executive summary report sent to the Member State | ATL | 7.2.1, 7.3.1 |
| 16 | Executive summary report released | SG | (Framework 6.3.3 and 6.3.4) 7.3.1 |
| 17 | Member State's corrective action plan, as appropriate, sent to ATL and IMO | MS | 7.2.1; 7.4.1; 8.4 |
| 18 | Corrective action plan released | SG | 8.5 |
| 19 | Draft audit final report sent to the Member State and IMO | ATL | 7.4.2; 8.5 |
| 20 | Agreed audit final report sent to the Member State and IMO | ATL | 7.4.2; 8.5 |
| 21 | Member State's comments on the progress of implementation of corrective action plan sent to IMO | MS | 7.5.1 |
| 22 | Audit team leader's mission report sent to IMO | ATL | 7.6.1 |
| 23 | Feedback from the Member State sent to IMO | MS | 7.7.1 |
| 24 | Audit follow-up, as appropriate | SG | 9.1 |
| 25 | Consolidated audit summary reports prepared as IMO meeting documents | SG | 7.4.3 |