

IALA Guideline No. 1100

On

the Accreditation and Approval

Process for Aids to Navigation

Personnel Training

Edition 1

May 2013



10, rue des Gaudines
78100 Saint Germain en Laye, France
Telephone: +33 1 34 51 70 01 Fax: +33 1 34 51 82 05
e-mail: contact@iala-aism.org Internet: www.iala-aism.org

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

Table of Contents

Document Revisions	2
Table of Contents	3
1 Introduction	4
1.1 Overview	4
1.2 Aim and Objectives	4
2 Definitions and Clarifications	5
3 General considerations for the Approval of AtoN Training Courses	7
3.1 Approval	7
3.2 Audit	7
3.3 Period of Validity	8
4 Procedures for the Accreditation and Approval Pprocess for AtoN Training	8
4.1 Step 1	8
4.2 Step 2	8
4.3 Step 3	9
4.4 Step 4	9
4.5 Step 5	9
4.6 Process Flow for AtoN Training Accreditation and Approval	10
ANNEX A Sample of information required on a Certificate of Accreditation	11
ANNEX B Sample Certificate of Approval for AtoN training courses	12

1 INTRODUCTION

1.1 Overview

The International Association of Marine Aids to Navigation and Lighthouse Authorities (IALA) recognises that training in all aspects of the management of Aids to Navigation (AtoN) service delivery is critical to the consistent provision of that AtoN service.

Taking into account that under the SOLAS Convention, Chapter 5, Regulation 13, paragraph 2, Contracting Governments, mindful of their obligations published by the International Maritime Organisation, undertake to consider the international recommendations and guidelines when establishing AtoN, including recommendations on training and qualification of AtoN managers, IALA has adopted Recommendation E-141 on Standards for Training and Certification of AtoN personnel.

These guidelines set out the process by which Training Organisations (TO) can achieve accreditation by their Competent Authority and approval of their AtoN training courses leading to the issue of:

- AtoN Level 1+ Certificate for Senior Managers in accordance with IALA Recommendation E-141/2 – Model Course on Senior Manager Training;

Note that a version of this model course is delivered by the IALA World-Wide Academy (IALA WWA). Participants who have attended an IALA WWA awareness seminar based on Model Course E-141/2 will be awarded an appropriate Certificate of Attendance¹.

- AtoN Level 1 Certificate for Managers or Engineers in accordance with IALA Recommendation E-141/1 – Model Course on Level 1 Manager Training;

This course can be delivered in one month or in a number of Complementary Modules². However the final Certificate of Competency can only be awarded once a candidate has successfully completed all of its modules.

- Note that potential Level 1 Managers should, where appropriate, participate in an IALA WWA Risk Management Workshop based on Model Course IALA WWA.L1.3³.

Successful participants at these Workshops will be awarded a Complementary IALA Certificate of Completion.

- AtoN Level 2 Certificates for Technicians are issued in accordance with IALA WWA publication IALA WWA.L2.0 – Model Course Overview on Level 2 Technician Training.

Note that not all Technicians need to complete the full suite of Level 2 model courses because their organisations may not operate all the equipments covered by the complete suite of model courses. They will therefore be awarded a certificate for each Level 2 Model course that has been completed successfully.

1.2 Aim and Objectives

The aim and objectives of these guidelines are similar to those set out in IALA Guideline 1014 on the Accreditation and Approval Process for VTS Training. Because the provision of a proper Vessel Traffic Service is dependent on the correct interaction between an authorised VTS Centre and participating vessels, a more stringent audit process is necessary for VTS accreditation and approval. Nevertheless the aims and objectives set out in IALA Guideline 1014 have been adopted for AtoN training to ensure that a common standard is maintained across all aspects of the provision of AtoN services.

¹ IALA Recommendation E-141 article 2.4

² Examples of these Certificates are at Appendix 1 and Appendix 3 to E-141

³ IALA Recommendation E-141 article 5.2

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

The objectives are to ensure that all training and assessment of AtoN personnel for the purpose of certification is:

- structured in accordance with established training procedures based on clearly communicated, measurable and achievable objectives;
- able to ensure that the standard of competence set out in IALA Recommendation E-141 is met and maintained;
- conducted, monitored, evaluated and supported by appropriately qualified instructors as set out in IALA Recommendation E-141; E-141/1 and IALA WWA.L2.0;
- 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

Definitions of terms relevant to AtoN training are set out in IALA Recommendation E-141. The following additional definitions and clarifications relevant to the accreditation and approval process are shown below.

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. Once accreditation has been granted, the training organisation is designated as an **Accredited Training Organisation (ATO)**.

Approval is the result of completing successfully the quality assurance process under which an AtoN training course is assessed to ensure that the IALA standards are set. In these guidelines, the **Accreditation** process is for the AtoN training organisation and **Approval** is for each AtoN training course conducted by the training organisation.

Audit is a systematic and independent verification process to assess whether the AtoN training course concerned meets the IALA E-141 standards as well as the training management system.

Certificate of Accreditation is the formal certificate issued by a Competent Authority to a training organisation acknowledging that such an organisation has met all the requirements necessary to deliver AtoN training. An example is at Annex A.

Certificate of Approval is the formal certificate issued by the Competent Authority listing the specific training courses that the ATO is approved to deliver. An example is at Annex B.

IALA WWA Delivered Training is AtoN training delivered directly by the IALA World-Wide Academy either at its Headquarters in Saint Germain en Laye, France or at any other appropriate location.

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

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 (TO) refers to a training facility providing AtoN training. This can be theoretical and 'on-the-job' training.

3 GENERAL CONSIDERATIONS FOR THE APPROVAL OF AtoN TRAINING COURSES

AtoN training delivered by TOs should be approved in accordance with these IALA guidelines. If necessary, CA can liaise directly with IALA, as represented by the IALA WWA, before and during the accreditation/approval process.

CAs should develop and promulgate procedures regarding the application of both accreditation and approval for AtoN training.

AtoN training should be conducted in accordance with the model courses developed by the IALA WWA. TOs providing AtoN training should deliver such courses within the framework of a recognised quality and training management systems (QMS and TMS).

Use of the IALA Logo. The use of the IALA logo on any training documentation, including certificates can only be used by an ATO in an IALA Member State. The use of the logo indicates that the whole process is in compliance with these IALA guidelines.

3.1 Approval

TOs that are accredited to deliver Standards of Training, Certification and Watchkeeping (STCW) training are **not** automatically accredited to deliver specialist AtoN training courses. Both existing and new TOs should apply to the CA responsible for AtoN in the State in which they are located for accreditation to deliver specific AtoN courses⁴. Separate approval for either Level 1+; Level 1 or the suite of Level 2 AtoN courses will be required from the CA.

The CA of some Member States may decide to recognise a TO based in another Member State so that AtoN training can be delivered to its nationals abroad. In that case the foreign TO may be defined as an ATO by the local CA.

The CA of some Member States may also decide to recognise AtoN certificates carrying the IALA logo issued by the ATO of another Member State. The guiding principle is that the decision to recognise such certificates and the process whereby such certificates are recognised rests entirely with the CA of each Member State.

AtoN courses delivered by the IALA WWA will be subject to quality control as part of its existing externally audited QMS. All certificates issued at the end of IALA WWA delivered training will carry the IALA logo. All participants attending IALA WWA delivered training who are employed by a national AtoN service provider must have been nominated by the CA of their Member State. The CA of that State therefore will have recognised *de facto* the IALA WWA as an ATO.

3.2 Audit

The CA should set up appropriate audit arrangements to ensure that its requirements are met by a TO. Such audits should include:

- TMS including suitability of instructors and training facilities⁵;
- E-141 course documentation;
- Maintenance of training records.

If the CA is satisfied entirely that the TO has met its requirements for the delivery of AtoN training, the CA will accredit the TO and approve the specific AtoN courses that it delivers. The CA should then inform the IALA WWA with the name and details of the ATO and the courses that it has been approved to deliver.

⁴ Note that in some States, the CA responsible for STCW training may be different from the CA responsible for AtoN training.

⁵ IALA Recommendation E-141/1 Section 4 provides guidance on instructors and teaching facilities. Annex A to IALA Guideline 1014 provides a useful pre-audit questionnaire that can be adapted for AtoN training as appropriate.

Any CA may request assistance from IALA in the conduct of its audit process. If suitable arrangements have been agreed, assistance could be provided by either IALA WWA staff or one or more IALA-endorsed experts. In either case, IALA can only make recommendations to the CA concerned. IALA cannot 'accredit' a TO itself. That decision remains firmly with the CA of each Member State.

3.3 Period of Validity

Each CA will determine the period of validity for the Certificate of Accreditation and the Certificate of Approval that it has issued. It is recommended that these certificates should have a validity of no more than 5 years. The CA should conduct a new audit before the end of the period of validity to determine whether new certificates should be issued.

The CA may decide to conduct an interim audit of specific courses at appropriate intervals to ensure continuity of standards.

On receipt of a validated copy of the Certificate of Accreditation and Certificate of Approval, the IALA WWA will display the name of the Member State, the name and details of the ATO and the list of approved courses on its website. If the ATO can accept foreign students on specific courses, this will also be stated. It will be for the relevant CA and ATO to determine the suitability of any foreign applicant.

4 PROCEDURES FOR THE ACCREDITATION AND APPROVAL PPROCESS FOR AtoN TRAINING

A flow diagram describing the accreditation and approval process is at 4.6.

4.1 Step 1

- 4.1.1 The TO determines the requirements of the CA.
- 4.1.2 The TO analyses the requirements and conducts an internal audit of its capability to deliver using the format at Annex A to Guideline 1014 as a guide.
- 4.1.3 The TO submits an accreditation request to the CA.
- 4.1.4 The CA may inform the IALA WWA of the request by the TO and request assistance if required.

4.2 Step 2

- 4.2.1 The TO submits a completed pre-audit questionnaire under a suitable covering letter⁶.
- 4.2.2 The CA evaluates the pre-audit questionnaire, seeking IALA WWA assistance if required.
- 4.2.3 If the CA is satisfied with the evaluation, it will arrange a formal audit visit.
- 4.2.4 If the CA is not satisfied it will inform the TO so that corrective action can be taken before resubmission.

⁶ Substituting "AtoN" for "VTS" and "E-141" for "V-103" where appropriate

4.3 Step 3

- 4.3.1 The CA conducts the formal audit, with IALA WWA assistance if required⁷.
- 4.3.2 If the CA is satisfied with the audit, it will prepare a Certificate of Accreditation.
- 4.3.3 If the CA is not satisfied it will identify shortcomings so that the TO can take appropriate corrective action before resubmission.

4.4 Step 4

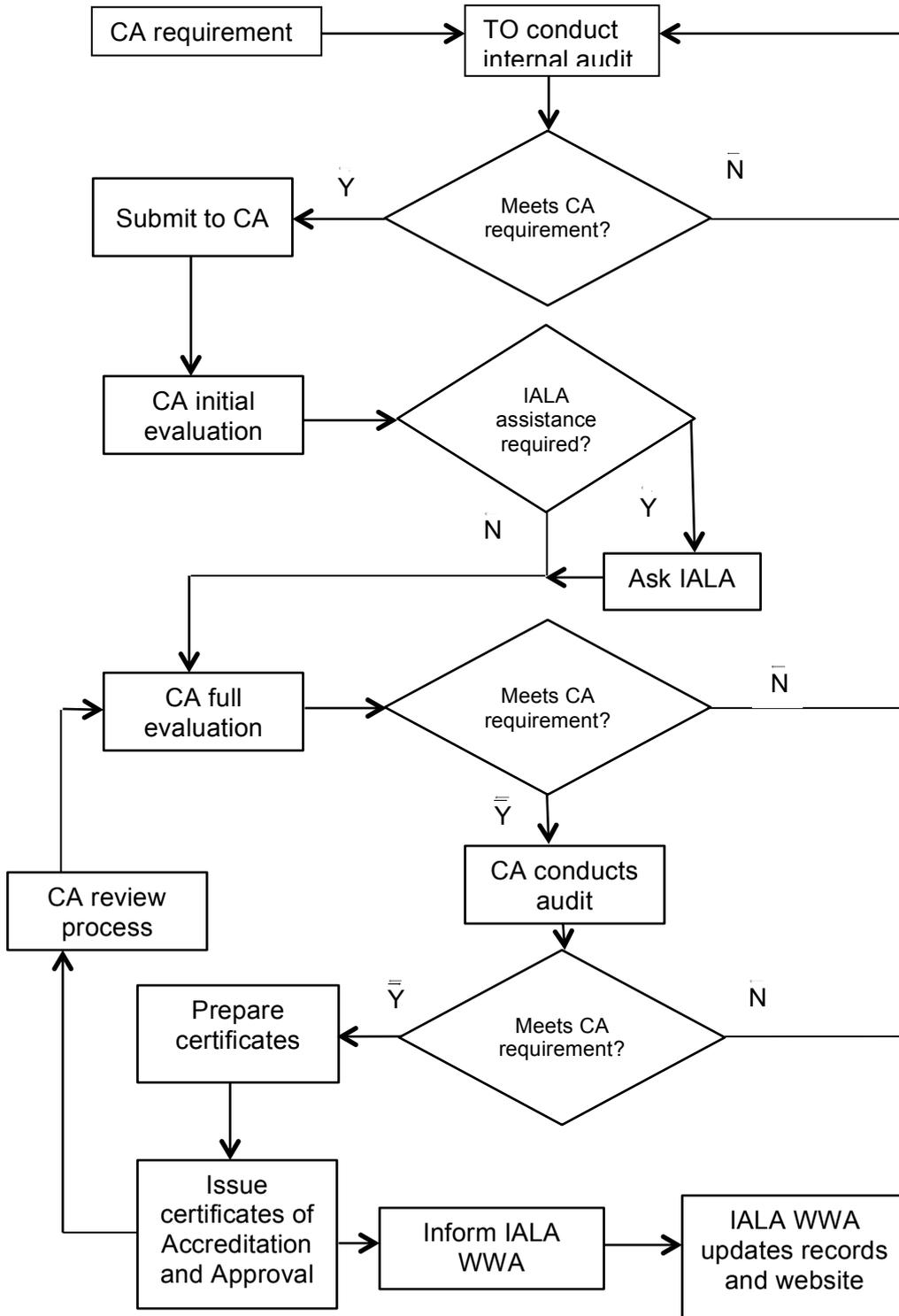
- 4.4.1 The CA issues a Certificate of Accreditation based on the proposed format shown at Annex A. The actual format of this certificate will remain at the complete discretion of the CA.

4.5 Step 5

- 4.5.1 The CA issues a Certificate of Approval listing the specific courses that have been approved based on the format shown at Annex B. The actual format of this certificate will remain at the complete discretion of the CA; however it is recommended that it carry the logos of both the CA of the Member State and IALA.
- 4.5.2 The CA should send a copy of the Certificate of Accreditation and the Certificate(s) of Approval to IALA WWA. Subject to the approval of the Member State in question, IALA WWA will display the information on its website.

⁷ The format at Annex B to IALA Guideline 1014, amended as appropriate, can be used as a guide to the audit

4.6 Process Flow for AtoN Training Accreditation and Approval



ANNEX A **SAMPLE OF INFORMATION REQUIRED ON A CERTIFICATE OF ACCREDITATION**

COMPILATION OF CERTIFICATE OF ACCREDITATION

The issuing authority or organisation should only complete the text *in Italics* in the following example:

- | | |
|---|--|
| 1. <i>Number</i> | A unique serial number should be inserted |
| 2. <i>Name of Training Organisation</i> | The full name of the organisation as given in their official documentation should be inserted. |
| 3. <i>Address of Training Organisation</i> | 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. <i>Dates of Audit</i> | The date on which the audit started and the date on which it was completed satisfactorily should be inserted. |
| 5. <i>Issuing Authority or Organisation</i> | The name of the issuing authority or organisation should be inserted. |
| 6. <i>Name of Competent Authority</i> | The full name of the Competent Authority (CA) issuing the certificate should be inserted. |
| 7. <i>Date of Certificate</i> | The date on which the certificate is awarded should be inserted. This may not necessarily be the same date on which the audit was completed. |
| 8. <i>Expiry Date</i> | The date to be inserted should normally be five years less one day after the date on which the certificate was awarded. |
| 9. <i>Date(s) of interim audit</i> | (Only if required - see Article 3.3 above)
The date to be inserted should normally be 2 years after the date on which the certificate was awarded; however this is left entirely at the discretion of the CA. |

ANNEX B SAMPLE CERTIFICATE OF APPROVAL FOR ATON TRAINING COURSES

IALA Logo if the accreditation and approval process has been conducted in accordance with IALA Guideline XXXX

**Certificate of Approval
Of AtoN Training
Course**

Logo of issuing Competent Authority or designated body or organisation on behalf of the Competent

Certificate Number
[Number]

This is to certify that:

[Name of the Training Organisation]
[Address of the Training Organisation]

Has been audited during the period *[dates of audit]* for the provision of Aids to Navigation Training and found to be in compliance with IALA Guideline XXXX on the Accreditation and Approval Process for AtoN Training Courses

The following training course has been verified as meeting the standards set out in IALA Recommendation E-141:

Name of the Course <i>[example]</i>	Standard and Version
AtoN Level 1 Manager Training <i>[more than one course can be added if required]</i>	Model Course E-141/1 December 2011

Issued by *[Issuing Authority/Organisation]* on behalf of *[Name of Competent Authority]* on *[Date of Certificate]* and valid until *[expiry date]*, subject to interim audits as required.

Authorised Signature

Space for any specific conditions of the Competent Authority