



# IALA GUIDELINE

1014

## ACCREDITATION AND APPROVAL PROCESS FOR VTS TRAINING

**Edition 3.0**

**December 2011**



# DOCUMENT REVISION

---

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

Date	Page / Section Revised	Requirement for Revision
December 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



# CONTENTS

<b>1</b>	<b>INTRODUCTION</b>	<b>4</b>
1.1	Overview	4
1.2	Aim and Objectives	4
<b>2</b>	<b>DEFINITIONS AND CLARIFICATIONS</b>	<b>4</b>
<b>3</b>	<b>GENERAL CONSIDERATIONS FOR THE APPROVAL OF VTS TRAINING COURSES</b>	<b>5</b>
3.1	Approval	6
3.2	Interim Approval Arrangements	6
<b>4</b>	<b>PROCEDURES FOR THE ACCREDITATION/APPROVAL PROCESS FOR VTS TRAINING</b>	<b>7</b>
4.1	Step 1	7
4.1.1	Training Organisation submits an accreditation request to the Competent Authority	7
4.1.2	The Competent Authority informs IALA about the accreditation application	7
4.2	Step 2	7
4.2.1	The Training Organisation submits completed pre-audit questionnaire	7
4.2.2	Competent Authority evaluates pre-audit documentation	7
4.2.3	Does pre-audit documentation comply with the requirements?	7
4.3	Step 3	7
4.3.1	Initial audit	7
4.3.2	Does the training comply with the requirements?	8
4.4	Step 4	8
4.4.1	The Competent Authority issues Accreditation	8
4.5	Step 5	8
4.5.1	The Competent Authority issues Approval	8
<b>5</b>	<b>DEFINITIONS</b>	<b>9</b>
<b>6</b>	<b>ACRONYMS</b>	<b>9</b>
<b>7</b>	<b>REFERENCES</b>	<b>10</b>
<b>ANNEX A</b>	<b>PRE-AUDIT QUESTIONNAIRE</b>	<b>11</b>
<b>ANNEX B</b>	<b>PROCEDURES FOR THE AUDIT PROCESS</b>	<b>22</b>
<b>ANNEX C</b>	<b>TRAINING MANAGEMENT SYSTEM (TMS) AS A QUALITY SYSTEM MODEL FOR TRAINING ORGANISATIONS</b>	<b>26</b>
<b>ANNEX D</b>	<b>RECOMMENDED PRACTICES FOR VTS TRAINING ORGANISATIONS</b>	<b>33</b>
<b>ANNEX E</b>	<b>SAMPLE OF INFORMATION REQUIRED ON CERTIFICATE OF ACCREDITATION</b>	<b>35</b>
<b>ANNEX F</b>	<b>SAMPLE CERTIFICATE OF APPROVAL FOR VTS TRAINING COURSES</b>	<b>36</b>

## List of Figures

<i>Figure 1</i>	<i>Accreditation / approval process</i>	<i>9</i>
-----------------	---	----------



# 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;
- 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;
- 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 recognized<sup>1</sup> 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.

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.

---

<sup>1</sup> Recognized by the Competent Authority



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 for 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.<sup>2</sup>

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.

### **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.

---

<sup>2</sup> <http://www.iala-aism.org>



### **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**

---

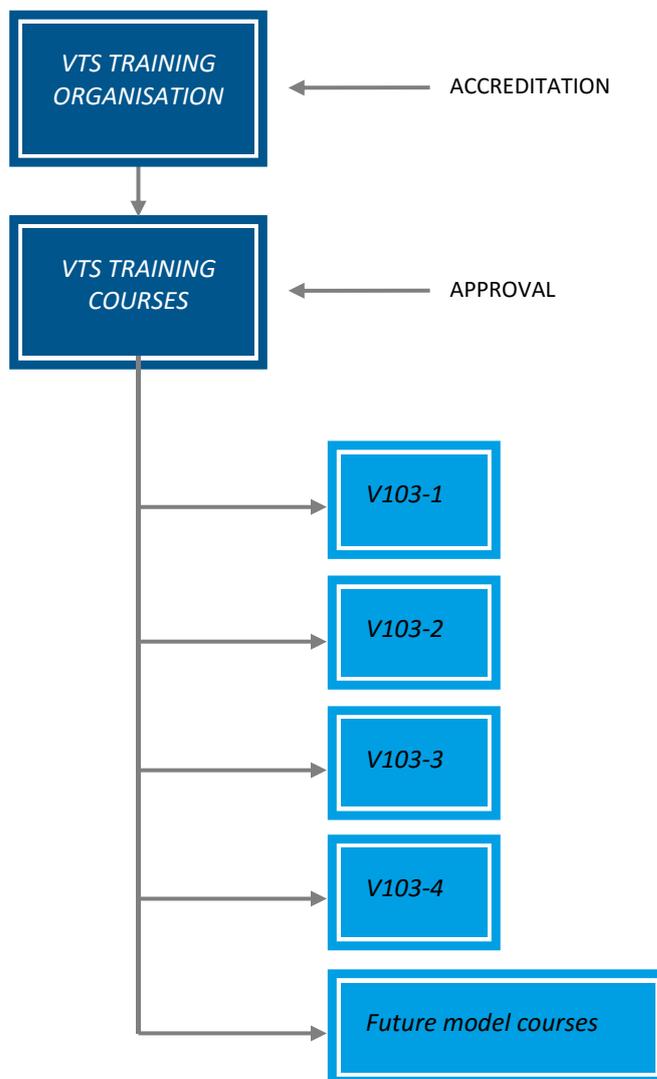
### **4.5.1 THE COMPETENT AUTHORITY ISSUES APPROVAL**

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 DEFINITIONS

The definition of terms used in this Guideline can be found in the International Dictionary of Marine Aids to Navigation (IALA Dictionary) at <http://www.iala-aism.org/wiki/dictionary>.

## 6 ACRONYMS

ACS	Approved Classification Societies
CA	Competent Authority
Circ.	Circular (IMO)
IALA	International Association of Marine Aids to Navigation and Lighthouse Authorities - AISM
IMO	International Maritime Organization
MSC	Maritime Safety Committee (IMO)
OJT	On-the-Job Training
QMS	Quality Management System
SOLAS	International Convention for the Safety of Life at Sea (IMO 1974 as amended)



STCW	International Convention on Standards of Training, Certification and Watchkeeping for Seafarers (IMO)
TMS	Training Management System
VTS	Vessel Traffic Services
VTSO	VTS Operator

## 7 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

### A 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.	

### A 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	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Relevance of the quality policy to the student training needs in general	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Relevance to applicable requirements of V-103 and appropriate model course	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Expression of the organisations commitment to <i>achieving</i> its goals and objectives and to fulfilling the training needs of the student	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Confirmation that the quality policy is available to and understood by, as well as maintained and implemented, at all levels of the organisation	<input type="checkbox"/> Yes <input type="checkbox"/> No	



### A 3. ORGANISATIONAL ARRANGEMENTS

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

### A 4. INTERNAL TMS AUDITS

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



## A 5. CORRECTIVE AND PREVENTATIVE ACTION

---

Corrective/preventative action	Yes/No	Comments
Are TMS deficiencies documented?	<input type="checkbox"/> Yes <input type="checkbox"/> 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are student learning deficiencies for adverse trends that shall indicate a deficiency in the training plan or training delivery procedures analysed?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are root causes of deficiencies determined and corrective action to eliminate the deficiency implemented?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are TMS records of these activities maintained?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

## A 6. MANAGEMENT REVIEW

---

Management review	Yes/No	Comments
Are management reviews carried out at regular intervals?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are records of management reviews maintained?	<input type="checkbox"/> Yes <input type="checkbox"/> No	



## A 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?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does TMS include a Training Management Manual?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does this manual provide:			
1	a copy of quality policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2	an overview of the TMS?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3	an outline of TMS documentation structure?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4	cross reference to the requirements of this standard?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
5	references to pertinent TMS documentation?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
TMS procedures		Yes/No	Comments
Are procedures documented and consistent with the requirements of IALA and the stated quality policy?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are TMS and documented procedures effectively implemented?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the level of details within the TMS procedures appropriate to the level of:			
1	complexity of training and support functions?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2	the skills on instructors and support personnel?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3	the internal TMS training provided to organisation personnel?	<input type="checkbox"/> Yes <input type="checkbox"/> No	



## A 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Document/data approval and issue	Yes/No	Comments
Is TMS documentation reviewed and approved for adequacy by approved personnel?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the procedure ensure that:		
1 those involved with the review process are provided with the appropriate reference material and background information?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2 the revision status of TMS documents can be readily identified?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3 TMS documents are available at all locations where work essential to TMS is performed?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4 instructor's manuals and materials issued to students are current?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
5 invalid or dated documents are removed from all points of use?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
6 archived, obsolete documents are suitably identified and stored in order to preclude unintended use?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
7 records of changes are maintained?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Storage of materials	Yes/No	Comments
Does a documented procedure exist for the storage of training materials to preclude damage of deterioration?	<input type="checkbox"/> Yes <input type="checkbox"/> No	



## A 9. RESOURCES

Resources identification	Yes/No	Comments
Is there suitably qualified and trained staff to manage, support, conduct and verify training activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are there adequate facilities, equipment and materials essential to the support of the TMS?	<input type="checkbox"/> Yes <input type="checkbox"/> 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Have all personnel directly involved in student training activities satisfactorily completed pertinent instructor training requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

## A 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Do these procedures ensure that:		
subcontracted instructors are suitably trained?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
external facilities utilised in the training of students comply with the requirements of the applicable training plan?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
equipment purchased for training is suitable for the applicable training plan?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
subcontracted organisations providing part or all of the training meet the requirements of the training plan?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Evaluation of subcontractors	Yes/No	Comments
Is there a procedure to evaluate subcontractors?	<input type="checkbox"/> Yes <input type="checkbox"/> 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No	



## A 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?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the training course development procedure ensure that:			
1	responsibility and authority for training course development and review activities are assigned to qualified personnel?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2	requirements for the pertinent model course and the authority are taken into account?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3	training course objectives are defined in terms of targeted qualifications?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4	students knowledge and competence requirements are taken into account?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
5	appropriate use of simulators is taken into account?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
6	appropriate reference documents are made available to persons involved in training course development?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
7	ambiguities within the training course documentation are resolved?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
8	review of training course documentation is controlled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
9	Are records of training course development maintained?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Training plan		Yes/No	Comments
Are the training plans for each course defined and documented?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Do these plans include:			
1	a description of the training course?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2	prerequisite student qualifications?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3	identification of required resources?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4	instructor/examiner qualification requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
5	instructor to student ratio?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
6	reference to course materials, applicable TMS procedures and documentation?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
7	procedures or instructions specific to delivery of the course?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
8	criteria for and methods of evaluating students competence, knowledge, understanding and proficiency as documented in IALA Recommendation V-103?	<input type="checkbox"/> Yes <input type="checkbox"/> No	



## A 12. TRAINING SUPPORT PROCEDURES

Training support procedures	Yes/No	Comments
Do documented procedures exist for functions that support the delivery of training?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are these activities identified, planned and conducted under controlled conditions?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Do these controlled conditions include:		
1 documented procedures where their absence could adversely affect training?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2 use and availability of suitable equipment and facilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3 maintenance of facilities and equipment that have a direct impact upon training?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4 observance of documented safety procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

## A 13. APPLICATION REVIEW

Application review	Yes/No	Comments
Do documented procedures exist for reviewing the qualification of applicants?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Do these procedures:		
1 identify the qualification sought by the applicant?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2 evaluate applicant's stated qualification against prerequisite requirements for the pertinent training course?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3 determine suitability of the training course for providing qualifications sought by the applicant?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4 communicate with the applicant regarding suitability of course(s) and curricula offered to fulfil the students qualifications needs?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are records of application review maintained	<input type="checkbox"/> Yes <input type="checkbox"/> No	



## A 14. VERIFICATION OF STUDENT'S COMPETENCE

<b>Aptitude/assessment testing</b>	<b>Yes/No</b>	<b>Comments</b>
Is a procedure in place to test candidates suitability for VTS operator basic training?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Acceptance verification</b>	<b>Yes/No</b>	<b>Comments</b>
Is there a procedure in place to ensure student candidates fulfil prerequisite requirements detailed in the applicable training plan?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the identity of student candidates confirmed and suitable evidence of prerequisite qualifications sought prior to commencement of training?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Examinations and competence</b>	<b>Yes/No</b>	<b>Comments</b>
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?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Do documented procedures exist for the development and administration of examinations and tests of competence?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the responsibility and authority for evaluation of student knowledge or competence defined?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Satisfactory completion</b>	<b>Yes/No</b>	<b>Comments</b>
Are records of examinations of student knowledge and competence maintained in accordance the requirements of the authority?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Student progress</b>	<b>Yes/No</b>	<b>Comments</b>
Does a documented procedure exist for identifying and recording student progress from application through completion of training?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

## A 15. CERTIFICATION AND ENDORSEMENT

<b>Certification and endorsement</b>	<b>Yes/No</b>	<b>Comments</b>
Do documented procedures exist for informing the VTS authority of a student's successful completion of training, if required?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does a documented procedure exist for issuing VTS course certificates?	<input type="checkbox"/> Yes <input type="checkbox"/> No	



## A 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	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Where appropriate, are students:		
1 retained and re-examined in the specific area where deficiencies are noted?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2 failed and required to repeat the training course?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3 recommended to cease training?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

## A 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are TMS records maintained in order to demonstrate:		
students satisfactory completion of training and applicable competence requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
effective functioning of the TMS?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

## A 18. GENERAL COMMENTS

--



Date	
Name of training organisation	



---

Signature



## **ANNEX B    PROCEDURES FOR THE AUDIT PROCESS**

### **B 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;
- 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:

- 1     Indicate the names of persons with key responsibilities within the training management system;
- 2     Identify the organisational units or functions to be audited;
- 3     Use of organisational diagrams and flow charts;
- 4     Identify the activities to be audited;
- 5     Identify the training management system documentation;
- 6     Use of a project management approach in order to assist with the setting of timetables and the consideration of budget and resources;
- 7     Identify the training course curricula and materials;
- 8     Indicate the name(s) of the auditor(s);
- 9     Indicate the date(s), time(s) and place(s) of the audit;
- 10    Identify location(s) to be audited;
- 11    Indicate the language of the audit;
- 12    Identify any unique requirements of the Competent Authority relevant to the audit;
- 13    The time and effort that may be required to complete the process;
- 14    If time and resources permit, it could be useful to conduct an internal pre-audit.

### **B 2. 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     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 this Guideline.

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.

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.

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.

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.

### **B 3. PHASE 2**

Phase 2 should consist of:

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.

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:

- an opening meeting;
- review of internal audits;
- review of management review reports;
- review of corrective action system including customer complaints and outstanding non-conformities and observations;
- review of changes to TMS;
- review of 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 Reporting

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

The report should:

- 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.

## B 4. PHASE 3

---

Phase 3 should consist of;

#### 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.

#### 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](mailto:contact@iala-aism.org)).



## B 5. 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 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.

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**

### **C 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.

#### **C 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.).

### **C 2 TRAINING MANAGEMENT REQUIREMENTS**

---

#### **C 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;
  - b 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.



## C 2.2. ORGANISATIONAL ARRANGEMENTS

### C 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:
  - a Identify and record any problems relating to the TMS.
  - b Initiate, recommend or provide solutions to identified problems through designated channels.
  - c Verify the implementation of solutions.
  - d Identify pertinent changes to student training and competence requirements and initiate action to incorporate appropriate changes to VTS training programs.

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

### C 2.2.3. 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.

### C 2.2.4. CORRECTIVE AND PREVENTIVE ACTION

The training organisation should:

- 1 Establish and maintain documented procedures for the identification and correction of TMS deficiencies:
  - a 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.
  - b Analyse student learning deficiencies for adverse trends that shall indicate a deficiency in the training plan or training delivery procedures.
  - c Determine the root cause of deficiencies and implement corrective action to eliminate the deficiency.

Records of these activities should be maintained.



### C 2.2.5. 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.

### C 2.2.6. TMS REQUIREMENTS

#### 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 Training Management Manual

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

- a A copy of the quality policy:
  - i An overview of the TMS of the training organisation.
  - ii An outline of the documentation structure of the TMS.
  - iii Cross references to the requirements of this standard.
  - iv References to pertinent TMS documentation.

#### 3 TMS procedures

The training organisation should:

- a Document procedures consistent with the requirements of this standard and the stated quality policy;
- b Effectively implement the TMS and its documented procedures.

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

- i Complexity of training and support functions.
- ii The skills of instructors and support personnel.
- iii Internal TMS training provided to training organisation personnel.

### C 2.2.7. DOCUMENT AND DATA CONTROL

#### 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 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:

- a 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;

- i The revision status of TMS documents can be readily identified.
- ii Pertinent TMS documents are available at all locations where work essential to the TMS is performed.
- iii Instructor's manuals and materials, and materials issued to students are current.
- iv Invalid or obsolete documents are removed from all points of use.
- v 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.

### 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.

## C 2.2.8. RESOURCES

### 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:

- a Suitably qualified and trained personnel (i.e., instructors, examiners, etc.).
  - i Facilities, equipment and materials essential to the support of the TMS.

### 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.

## C 2.2.9. PURCHASING

### 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:

- a Subcontracted instructors are suitably qualified:
  - i External facilities utilised in the training of students comply with the requirements of the applicable training plan.
  - ii Equipment purchased for training is suitable for the applicable training plan.
  - iii Subcontracted organisations providing part or all of the training meet the requirements of the training plan.

### 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.

## C 2.2.10. TRAINING DEVELOPMENT

### 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:

- a Responsibility and authority for training course development and review activities are assigned to qualified personnel:
  - i Requirements of the pertinent model course and the Competent Authority are taken into account.
  - ii Training course objectives are defined in terms of targeted qualifications.
  - iii Student knowledge and competence requirements are taken into account.
  - iv The appropriate use of simulators is taken into account.
  - v Appropriate reference documents are made available to persons involved in training course development.
  - vi Materials are reviewed by pertinent functions within the training organisation.
  - vii Ambiguities within training course documentation are resolved.
  - viii Training course documentation review is controlled.

Records of development in VTS training courses should be maintained.

## 2 Training course description.

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

- a The goals and objectives of the course:
  - i A course outline.
  - ii A course schedule.
  - iii The certificate or endorsement to be issued upon successful completion of the course.

## 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:

- a A description of the training course:
  - i Prerequisite student qualifications.
  - ii Identification of required resources.
  - iii Instructor and/or examiner qualification requirements.
  - iv Instructor to student ratio.
  - v References to the course materials and applicable TMS procedures and documentation.
  - vi Procedures or instructions specific to delivery of the course.
  - vii 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.

### C 2.2.11. 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:



- a Use and availability of suitable equipment and facilities.
- b Maintenance of facilities and equipment that have a direct impact upon training
- c Observance of documented safety procedures.

#### **C 2.2.12. 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:
  - a Evaluate applicant's stated qualifications against prerequisite requirements for the pertinent training course.
  - b Determine suitability of the training course for providing qualifications sought by the applicant.
  - c 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.

#### **C 2.2.13. VERIFICATION OF STUDENTS' COMPETENCE**

- 1 General.

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

- 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.

- 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.

- 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.

- 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.

#### **C 2.2.14. 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.

#### **C 2.2.15. 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:
  - a Failed and required to repeat the training course.
  - b Recommended to cease training.

#### **C 2.2.16. 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.
- 2 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**

### **D 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.
  - a    Clearly identify and carry out an assessment of prior learning to ensure all competencies, as indicated in IALA Recommendation V-103, are met.
  - b    Establish and maintain documented procedures that specify:
    - i    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;
    - ii   control and assessment activities put in place to ensure trainees acquire the necessary levels of competence for each module of the appropriate model course.
    - iii   appropriate training facilities to meet the documented training objectives.
    - iv   maintenance procedures for the training facility's equipment.
    - v    qualifications and competence requirements of instructors and assessors.
    - vi   adherence to appropriate health and safety requirements and regulations.
  - c    Ensure all aspects of study progression are documented and disseminated to trainees, VTS Authorities and course managers as required.
  - d    Continually control and evaluate teaching activities to ensure the learning results are in accordance with the appropriate course plan.
  - e    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.
  - f    Establish procedures for the maintenance and use of equipment during the training in order to ensure that:
    - i    equipment and systems are maintained in accordance with the manufacturer's instructions and, where appropriate, calibrated as and when necessary.
    - ii   equipment and systems are operated in a safe and efficient manner.
    - iii   working conditions in the training environment, such as lighting, ventilation and heating, conform to appropriate rules and regulations.
  - g    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.

### **D 2    ACTIONS FOR ENSURING TRAINING RESULTS**

The organisation providing VTS training should:

- 1    Arrange and carry out final assessment.
  - a    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.



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





**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

## Certificate Number

*[Enter number]*

**This is to certify that:**

*[Enter name of Training Institute]*

*[Enter address of Training Institute]*

**has been audited during the period *[Enter dates of the 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 *[Enter name of CA]* on *[Enter date of certificate]* and valid until *[Enter expiry date]*, subject to periodic audit(s) as required.

\_\_\_\_\_  
Authorised Signature

\_\_\_\_\_  
Space for any specific conditions of the Competent Authority

*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 *[Enter 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 ...../...../..... <i>[Enter Number]</i>			

### Additional Audits

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