



IALA GUIDELINE

1052

QUALITY MANAGEMENT SYSTEMS FOR AIDS TO NAVIGATION SERVICE DELIVERY

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DOCUMENT REVISION

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

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December 2005	1 st issue	
October 2006	Entire document	Reformatted for ease of use. Added: <ul style="list-style-type: none">• references to IMO VIMSAS;• section on definitions;• section on maintaining a QMS.
November 2012	Entire document	Minor edits and removal of references to IALA Guideline 1034 on Product Certification.
October 2013	Entire document	Reformatting and minor edits



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1. INTRODUCTION

Although there are unique circumstances surrounding the work that Aids to Navigation (AtoN) authorities undertake, in many ways the overall objectives of all businesses are the same:

To perform satisfactorily, meet customer requirements and continuously improve.

In the case of the provision of AtoN, the customer is the mariner and the aim is to assist the mariner in making safe and efficient passage. Ensuring maritime safety and efficient passage has significant social, environmental and economic benefits. The customer also requires consistency of performance, with confidence that the organisation delivers what it says it will deliver.

Many organisations have recognised the need to operate more efficiently, with due regard for cost effectiveness and value for money. AtoN organisations endeavour to identify best practices in service delivery that results in optimum use of management and staff. In addition, this will assist in effective planning; ensuring that funds are invested wisely in new technology; eliminating duplication and waste; and measuring performance to ensure that targets are met and to address areas of risk. Customers expect higher levels of accountability and greater transparency in regard to an organisation's management and operations. The result is a growing need to provide and demonstrate quality service delivery, as evidenced through the development and maintenance of a Quality Management System (QMS).

In some respect quality management and environmental management are closely linked requiring similar strategies and approaches in delivering the AtoN service.

At its 26th Session the IMO Assembly adopted Resolution A.1018(26) Further Development of the Voluntary IMO Member State Audit Scheme. This resolution is complementary to resolution A.973(24) Code for the Implementation of Mandatory IMO Instruments, A.974(24) Framework and Procedures for the Voluntary IMO Member State Audit Scheme and A.975(24) Future development of the Voluntary IMO Member State Audit Scheme. As a result of A.1018(26) the audit scheme will become mandatory on 1 January 2016.

An established QMS will assist members when preparing for such an audit.

2. SCOPE

This Guideline provides a basic platform for the implementation of a QMS. It is designed to encourage and assist competent authorities to consistently achieve the required outcomes in the delivery of AtoN services. Competent Authorities can objectively evaluate compliance to established service levels.

This document provides a generic overview of QMS, and should be read in conjunction with IALA Recommendation O-132 on Quality Management for Aids to Navigation Authorities and related QMS standards documents as appropriate e.g. ISO 9000 series on quality management systems. In developing a QMS, Competent Authorities should note that a QMS may be certified to different levels:

- certification by an accredited third party;
- assessment by a third party;
- self-assessment.

The process for implementing any of these mechanisms may vary between Competent Authorities.

3. DEVELOPING A QUALITY MANAGEMENT SYSTEM

The main objective of a QMS is to provide the AtoN service effectively and efficiently. QMS certification demonstrates that the service is being provided in accordance with the published aims of the organisation and



adds a level of trust between the Competent Authority and the user. Certification should not be the main objective of developing and implementing any QMS.

3.1. GOVERNANCE FRAMEWORK

The statutory basis for each Competent Authority should be set out in a way that specifies the legal basis for the provision of the service and/or the regulating activity. The legal powers from which the responsibility flows should also be clearly identified.

A QMS should include references to relevant sections of The International Convention for the Safety of Life at Sea (SOLAS), Chapter V¹ and the IALA NAVGUIDE.

For VTS; SOLAS, Regulation 12, (Vessel Traffic Services) states:

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 Organisation. 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 Organisation 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.*

For Aids to Navigation; SOLAS, Regulation 13, (Establishment and operation of Aids to Navigation) states:

1. *Each Contracting Government undertakes to provide, as it deems practical and necessary, either individually or in co-operation with other Contracting Governments, such aids to navigation as the volume of traffic justifies and the degree of risk requires.*
2. *In order to obtain the greatest possible uniformity in aids to navigation, Contracting Governments undertake to take into account the international recommendations and guidelines when establishing such aids.*
3. *Contracting Governments undertake to arrange for information relating to aids to navigation to be made available to all concerned. Changes in the transmissions of position-fixing systems which could adversely affect the performance of receivers fitted in ships shall be avoided as far as possible and only be effected after timely and adequate notice has been promulgated.*

For e-Navigation; the definition of e-Navigation adopted by the IMO is:

'e-Navigation is the harmonised collection, integration, exchange, presentation and analysis of maritime information on-board and ashore by electronic means to enhance berth to berth navigation and related services, for safety and security at sea and protection of the marine environment.'

1. *e-Navigation involves the utilisation and integration of all available navigational tools to ensure that a greater level of marine safety is achieved. The implementation of e-Navigation will deliver substantial operating efficiencies with resulting commercial and environmental benefits for Contracting Governments.*

1 SOLAS Consolidated Edition, 2009

2. *e-Navigation incorporates the use of new technologies that helps to enhance the various electronic navigational and communication systems/services.*
3. *e-Navigation provides Contracting Governments the opportunity to optimise the use of technical developments and ensure the focus of future developments is based on an holistic approach to safe berth-to-berth navigation.*

3.2. SERVICE DEFINITION

Traditionally called maritime signals, all visual, acoustic or radio devices that are meant to improve navigation safety, facilitating traffic and preserving the environment, are considered Aids to Navigation (AtoN).

The service that provides and maintains these devices is called the AtoN service. To exist as such, it requires interaction between the service provider and the user (i.e. the mariner).

There should be uniformity not only in the AtoN themselves, but also in the level of service provided to ensure similar standards throughout the maritime community with particular emphasis in areas that serve as international boundaries.

For the purpose of identifying its scope of activity, the Competent Authority should prepare a basic document explaining its role and responsibilities and the statutory or other basis for its powers.

The Competent Authority may use flow processes, matrices and diagrams, to represent the different actions involved in the management of an AtoN system (Annex A refers).

User satisfaction exists when the user receives the service in the expected standards.² These terms should be defined as quality commitments that meet or exceed the minimum accepted standard. A service level commitment may be associated to every single AtoN or to a combination of AtoN.

3.3. ORGANISATIONAL POLICY

Organisational policy should be developed to translate the organisation's vision, mission and values into more specific guidance for provision of the AtoN service. The policy should contain a description of the services to be provided and guidance to align the service with higher-level priorities and objectives. The policy should be periodically reviewed.

3.4. PLANNING

There are a number of internationally recognised QMS Standards. While the terminology used may differ, the basic principles are the same. The implementation of a QMS should generally be carried out by the organisation's own staff. While advisors may be used to support and provide guidance on organisational aspects, ownership of the system by the organisation is fundamental to its success. Figure 1 is an example of a QMS.

The first steps in developing a QMS include defining:

- Mission, Vision and/or Values;
- Organisational Policy;
- Strategic Plan;
- Business Plan, annual or multi-annual objectives or projects;
- Quality Manual. (refer to definitions in Section 6)

The use of a QMS will identify strong points and areas of improvement. The cycle of continuous improvement will result in changes to the business plan and QMS.

2 Refer to IALA Recommendation O-130 on Categorisation and Availability Objectives for Short Range Aids to Navigation Ed 2 (June 2011) and IALA Guideline 1035 on Availability and Reliability of Aids to Navigation Ed 2 (December 2004)

Figure 1 provides an overview of the elements that make up a QMS, and their relationship. There are many items that need to be included in a QMS, such as:

- organisational level;
- strategic planning level;
- business planning;
- implementation;
- support;
- documentation;
- training.

A checklist for items to be included in a QMS is provided at ANNEX B. This checklist should be revised and amended to reflect the specific requirements of a Competent Authority.

Authorities may have existing documentation and processes that fulfil many requirements of a QMS.

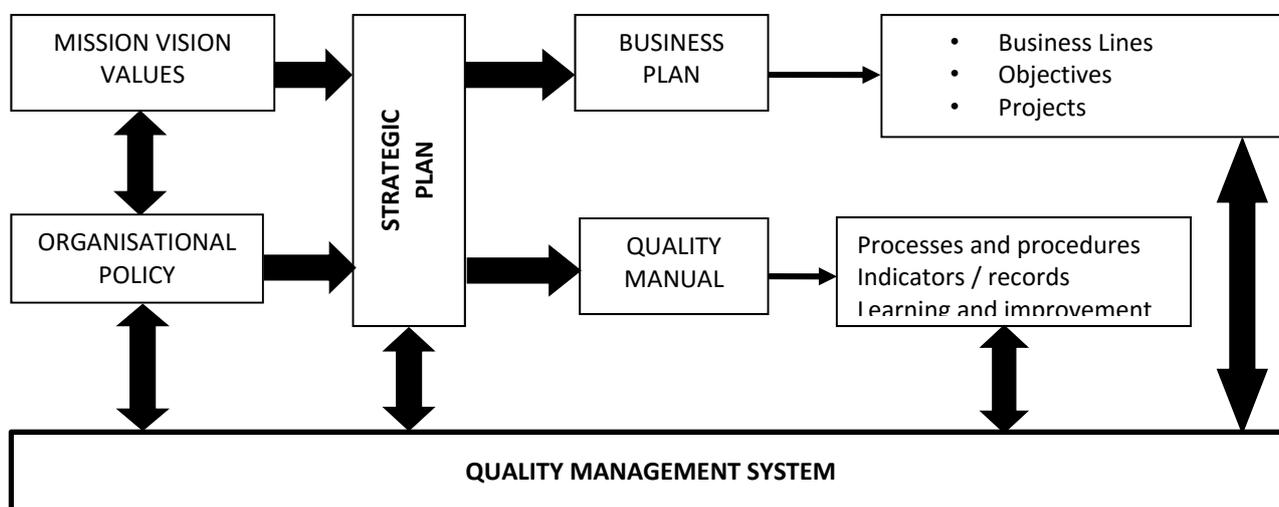


Figure 1 Quality Management System

3.5. RISK EVALUATION

Competent Authorities should respond to criteria based on an evaluation of risk, taking into consideration the needs and expectations of users and the impact on other stakeholders.

In evaluating risks, IALA Guideline 1018 on Risk Management should be referenced.

3.6. IDENTIFICATION OF PROCESSES

The AtoN service is the result of a series of elements and actions provided for the user. This is best represented through the management by process method, involving Management (Strategic) Processes, Operational (Key) Processes and Support Processes, or Sub-Processes.

3.7. MANAGEMENT BY PROCESS

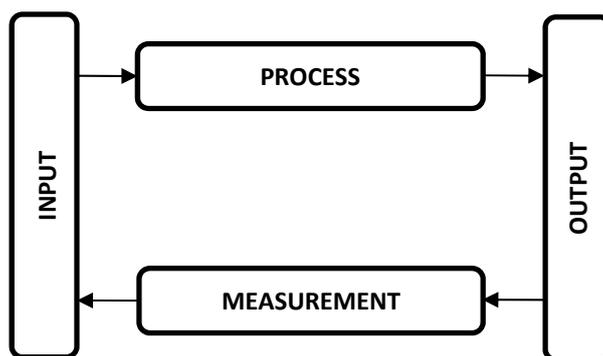


Figure 2 *Management by Process*

All processes (including Strategic, Key and Support processes or Sub-Processes), as explained in this section, should follow the scheme in Figure 2. Each process identifies input and output elements and should be assigned a ‘process owner’ responsible for the activity, its management, and improvement. The process should also determine a regulating framework, necessary resources, specific tasks and any sub-processes required. The process should clearly define measurement, recording points and the target values for each aspect, so that the entire process is auditable. This ensures that the process has traceability and may be reviewed by third parties.

The process should also ensure that stakeholders needs and expectations are clearly identified. To identify processes, the Competent Authority should state its mission and perform a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis, comparison to benchmarks and/or gap analysis. Results from these analyses are used to detect deficiencies and to assist with the definition of strategic and other processes in support of the mission.

To implement the business lines, key (operational/direct) and support (generic) processes should be developed. The following are examples of processes that, among others, should be considered in the Aids to Navigation Service.

3.7.1. MANAGEMENT PROCESSES

- study and review stakeholder requirements;
- study and review Aids to Navigation technology;
- preparation of standards and recommendations.;
- management control (costs/results /resources);
- communication, image and presence in Society;
- organisation structure.

3.7.2. OPERATIONAL PROCESSES

- design, build and revision of Aids to Navigation;
- deployment of Aids to Navigation;
- monitoring and inspection of Aids to Navigation (Service Operation);
- maintenance and corrective action of Aids to Navigation.

3.7.3. SUPPORT PROCESSES

- outsourced service management;

- information systems and databases;
- finance and cost accounting;
- legal assessment;
- personnel management and training;
- surveys, records and auditing;
- logistics (transport, facilities);
- health and safety.

Processes should unfold through flow diagrams that define each one of the different activities. Each Competent Authority should prepare its own Process Maps. Examples of Process Maps are given in ANNEX A.

3.8. DEVELOPING PERFORMANCE CRITERIA

There are four monitoring and measurement areas that need to be considered by the Competent Authority when developing performance criteria and implementing a QMS. The performance measurement of these areas provides a systematic method and approach to continual improvement:

3.8.1. SERVICE DELIVERY (MONITOR AND MEASUREMENT OF SERVICE)

The Competent Authority should monitor and measure the characteristics of the service to verify that service requirements have been met. This should be carried out at appropriate stages of the service realisation process in accordance with the planned arrangements.

3.8.2. STAKEHOLDER SATISFACTION

As one of the measurements of the performance of the QMS, the Competent Authority should monitor information relating to stakeholder perception as to whether the organisation has met stakeholder requirements. The methods of obtaining and using this information should be determined locally. IALA- Guideline 1079 on Establishing and Conducting user consultancy by Aids to Navigation Authorities refers.

3.8.3. MONITORING AND MEASUREMENT OF PROCESSES

The Competent Authority should apply suitable methods for monitoring and where applicable, measurement of the QMS processes. These methods should demonstrate the ability of the processes to achieve planned results. When planned results are not achieved, corrective action should be taken, as appropriate, to ensure conformity.

3.8.4. INTERNAL AUDIT

The Competent Authority should conduct internal audits at planned intervals to determine whether the QMS:

- 1 Conforms to the planned arrangements and the QMS requirements established by the Competent Authority.
- 2 Is effectively implemented and maintained.

3.9. DOCUMENTATION

Documentation and records are basic elements in any QMS. Without documents and records, it is difficult to consider any kind of improvement action.

The basic objectives of the service should respond to specific normative, mandatory, and reference documentation. These references should be composed of international and national standards, and, if applicable, regional or local standards.

All documents required by the QMS shall be controlled.

Documentation for the QMS should include:

- a Quality Manual that describes the QMS elements as described in this guideline and how they interrelate;



- procedure documents, e.g. operating guidelines, operating procedures, work instructions;
- record keeping.

3.10. COMMUNICATION AND AWARENESS

The QMS must include the participation of all stakeholders affected by or involved in the delivery of the AtoN service. Stakeholders can be internal (such as administration staff) or external (such as mariners or the public).

A QMS should ensure that communication protocols are established with all stakeholders to maintain effectiveness and awareness of the QMS. These communication protocols will facilitate managing stakeholder expectations, risk management and service delivery.

3.10.1. STAKEHOLDER IDENTIFICATION

To facilitate communication and awareness, an important task is stakeholder identification. The participation of mariners and other users may be achieved in different ways, but should be documented in the QMS.

The following are potential stakeholders for the AtoN service:

3.10.2. INTERNAL

The internal stakeholders of the AtoN service could include:

- staff of the Competent Authority, including VTS operators;
- government or regulating authority.

3.10.3. EXTERNAL

The external stakeholders of the Competent Authority could include:

- mariners: whatever their activity (including commercial traffic, fishing vessels and pleasure craft), mariners must be considered as the main users of the marine AtoN service, to the extent that such a service is used to facilitate their navigation and improve their safety.
- others – include, but not limited to:
 - authorities, other than Competent Authorities;
 - shipmasters and their organisations;
 - marine pilots;
 - related Agencies (including: Hydrographical Institutes, Marine Search and Rescue, marine structure agencies, Organisations representing Fishermen and Leisure interests, etc.);
 - the community in general (including: those affected by the environmental impact of the AtoN or heritage value, including also NGOs (Non-Governmental Organisations) in this field).

4. IMPLEMENTING A QUALITY MANAGEMENT SYSTEM

Once a QMS has been developed, specific elements will be required to ensure full implementation. Many of these elements will be on-going, and will necessitate continuous development through the maintenance of the QMS (Section 6 refers).

4.1. TRAINING AND AWARENESS

The Competent Authority should have assigned process ownership to enable staff to comply with the QMS. The owner shall be responsible for the process, its management and its improvement.

The training for staff within the QMS should be aligned to the competency requirements determined for the process. Recommended competencies for all training activity are set out in IALA WWA documents E-141/1 and IALA WWA.L2.0.

Mechanisms to enable staff to reach and sustain the required level of competence should include:

- ensuring staff induction training incorporates quality management training;
- ensuring that career development training incorporates QMS training;
- access for staff to QMS documents e.g. web-based;
- recognising accredited courses e.g. those published by the IALA World-Wide Academy;
- feedback loop including comments, suggestions and statistical information.

4.2. STAKEHOLDER RELATIONSHIPS

To facilitate ongoing communication and awareness, stakeholders must be included in the implementation. The participation of users and other stakeholders may be achieved in different ways, but should be documented in the QMS.

As one of the measurements of the performance of the AtoN service, the Competent Authority should monitor information relating to stakeholder perception as to whether the organisation has met stakeholder requirements. The methods of obtaining and using this information should be determined locally but could include:

- establishing ongoing consultative forums;
- communicating implications of establishment of QMS;
- ensuring stakeholders continue to receive the service to a consistent standard during implementation.

4.3. RESOURCE MANAGEMENT

Resources assigned to a process should be considered independently. These resources may be owned by the entities responsible for the process, may be subcontracted, or may be identified by some other type of indirect transaction.

Resources available to a Competent Authority for supporting the QMS can include:

- infrastructure (e.g. AtoN maintenance management system):
 - systems (hardware, software);
 - buildings;
 - logistics e.g. transport;
- working environment (Health and safety);
- financial;
- people.

4.4. PROVISION OF SERVICES

The Competent Authority should monitor and measure the characteristics of the service provided to verify that service requirements have been met. This should be carried out at appropriate stages of the service realisation process in accordance with the planned arrangements.



4.5. PERFORMANCE MEASUREMENT

The Competent Authority should apply suitable methods for monitoring and, where applicable, measurement of the QMS processes. These methods should demonstrate the ability of the processes to achieve planned results. When planned results are not achieved, corrective action should be taken, as appropriate, to ensure conformity.

The performance management process involves creating and maintaining a system for comparing performance against key performance indicators and would normally include:

- collection, analysis & reporting of performance data;
- feedback to process owner/service provider;
- corrective action including refining processes where necessary.

4.6. AUDITING

Initial verification of the implementation of a QMS would normally be carried out through an audit process. The framework for these audit processes are usually based on international or national standards.³

The Competent Authority should conduct internal and/or external audits at planned intervals to determine whether the QMS:

- conforms to the planned arrangements and to the QMS requirements established by the Competent Authority;
- is effectively implemented and maintained.

5. MAINTAINING A QUALITY MANAGEMENT SYSTEM

Once a QMS has been developed and implemented, organisations must strive for the satisfaction of their stakeholders and the continual improvement of the QMS. Continual improvement is a process of increasing the effectiveness of the organisation to fulfil its quality policy requirements and defined quality objectives.

This section provides AtoN organisations with a basic platform for maintaining a QMS so that they can extend beyond compliance into business improvement. Organisations can learn to use the QMS as a business tool to improve performance and efficiency of their processes.

In maintaining an effective QMS the focus should be on continual business improvement. This should be fostered and led by senior management of an organisation. A QMS is a dynamic system that should be continually reviewed and updated in order to operate effectively.

5.1. CHARACTERISTICS OF AN EFFECTIVE QMS

Characteristics of an effective QMS may include:

- flexibility and adaptability;
- development and ownership by personnel within the organisation;
- the organisation taking responsibility for a strategic approach to maintaining a quality management system;
- a basis for continuous improvement;
- effective allocation of resources (financial / training / personnel / etc.);
- system processes supportive of stakeholder's needs and expectations;

³ Voluntary IMO Member State Audit Scheme refers. For more information on preparing for a Voluntary IMO Audit, refer to IALA Guideline numbers 1054 and 1115.

- an audit process acknowledged as adding value to the organisation;
- effective organisational communication.

An example of a process-based continuous improvement cycle for a quality management system is shown at Figure 3.

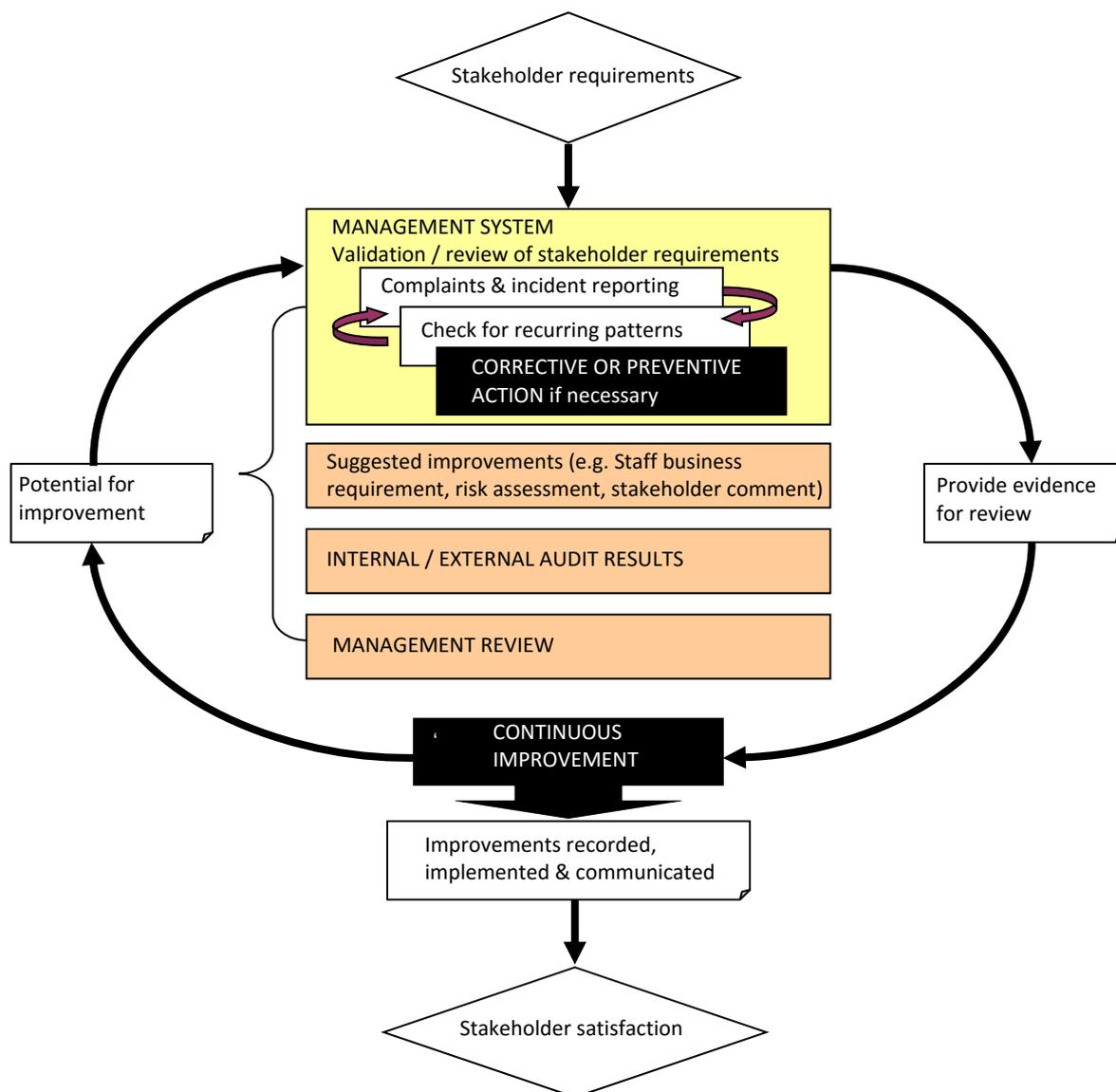


Figure 3 *Model of a continuous improvement cycle of a QMS*

5.2. COMPONENTS OF MAINTAINING AN EFFECTIVE QMS

To ensure the continued relevance and effectiveness of the QMS, the organisation should undertake reviews and maintenance of the system. Components of maintaining the QMS include:

- management review;
- stakeholder satisfaction;
- internal / external communications;
- audit of the QMS;
- continuous improvement.

In some cases, all of the areas can be captured and reported on through a single Management Review forum and/or report as the primary means for ensuring that the system is being maintained and improved.

5.3. MANAGEMENT REVIEW

- periodic management reviews should be conducted by personnel who have the appropriate authority to implement changes, taking into account relevant feedback from other interested parties;
- ensure that the processes developed whilst establishing a QMS, are still applicable (section 3.7);
- the management review should consist of, but not limited to:
 - AtoN Management System / Policies / Objectives / Procedures;
 - legal / legislative framework for provision of AtoN service;
 - AtoN stakeholder consultation;
 - AtoN resources (physical / financial / training / etc.);
Are they adequate for appropriate level of service?
 - performance measurement results and future targets;
 - effectiveness of corrective or preventative actions;
 - AtoN internal / external audits (i.e. IMO-Voluntary Audit Scheme, ISO compliance).

5.4. STAKEHOLDER SATISFACTION

- are processes developed for collecting stakeholder satisfaction implemented and accurately capturing that information?
- are the appropriate metrics being captured?
- do the results meet pre-stated stakeholder satisfaction targets?
- ensure stakeholder satisfaction results are reviewed.

5.5. INTERNAL AND EXTERNAL COMMUNICATION

- is information communicated in line with the Communication Plan?
- review communication plan to ensure continued effectiveness:
 - is adequate marine information being effectively communicated?
 - do metrics indicate communication deficiencies?

5.6. AUDIT OF THE QUALITY MANAGEMENT SYSTEM

- ensure sufficient resources continue to be allocated to ensure all AtoN activities are audited within a suitable timeframe;
- ensure all internal auditors continue to be fully competent (i.e. training & experience);
- ensure audit results are reviewed and promulgated.

5.7. CONTINUOUS IMPROVEMENT

- ensure opportunities for improvement continue to be identified and that they are:
 - recorded and assessed;
 - implemented and evaluated;



- communicated to appropriate stakeholders.
- ensure opportunities for improvement are reviewed to enable optimisation of performance measures.

6. DEFINITIONS

To assist in the use of this document, a number of definitions are supplied. There are a number of internationally recognised QMS Standards and further definitions can be found in these standards.

Accreditation	The act of granting recognition in maintaining suitable standards.
Aids to Navigation (AtoN)	Any device or system, external to a vessel, which is provided to help a mariner determine position and course, to warn of dangers or of obstructions, or to give advice about the location of a best or preferred route.
Competent Authority	The organisation legally responsible for Aids to Navigation in their country or part thereof.
Audit	An evaluation of an organisation, system, process, project or product performed by a competent, independent, objective, and unbiased person or persons, (auditors). (also "best practice benchmarks" or "process benchmarking") is a process used in management and particularly strategic management, in which organisations evaluate various aspects of their processes in relation to best practice, usually within their own sector.
Benchmarks	
Certification	Demonstrates that the service or product is being provided in accordance to a standard.
Customer / User/ Stakeholder	A person or group that benefits from a product or service.
Gap Analysis	A business assessment tool enabling a company to compare its actual performance with its potential performance. Gap analysis naturally flows from benchmarking or other assessments.
Governance Framework	A set of responsibilities and practices, policies and procedures, exercised by an authority to provide strategic directive, ensure objectives manage risk and use resources responsibly and with accountability.
Performance Measurement	The use of statistical evidence to determine progress toward specific defined organisational objectives.
Quality Manual	Documentation that identifies the processes and procedures, technical instructions, indicators, records, forms of measurement, monitoring analysis and improvement to ensure that stakeholder requirements, needs and expectations are met.
Record Keeping	Making and maintaining complete, accurate and reliable documented evidence of business activities.
Risk Management	Process of measuring or assessing risk and developing strategies to manage the risk.
Strengths, Weaknesses, Opportunities and Threats	Analysis process to identify areas for improvement and assist with the definition of the strategic and other processes in support of the business activities.
Voluntary IMO Member State Audit Scheme	(IMO Resolution A.973(24) and A.974(24) refer)

7. ACRONYMS

AtoN	Aid(s) to Navigation
IALA	International Association of Marine Aids to Navigation and Lighthouse Authorities - AISM
IMO	International Maritime Organization
ISO	International Standardization Organisation
NGO	Non-Governmental Organisation(s)



QMS	Quality Management System(s)
RFP	Request for Proposal
RFT	Request for Tender
SOLAS	International Convention for the Safety of Life at Sea (IMO 1974 as amended)
SWOT	Strengths, Weaknesses, Opportunities and Threats
THLS	Trinity House Lighthouse Service
VIMSAS	Voluntary IMO Member State Audit Scheme
VTS	Vessel Traffic Services
WWA	World-Wide Academy (IALA)

8. REFERENCES

- [1] IALA Recommendation O-132 on Quality Management for Aids to Navigation Authorities
- [2] IALA Guideline 1018 on Risk Management
- [3] IALA Guideline 1054 on Preparing for IMO Voluntary Audit AtoN Service Delivery
- [4] IALA- Guideline 1079 on Establishing and Conducting user consultancy by Aids to Navigation Authorities
- [5] IALA Guideline 1115 on Preparing for an IMO Member State Audit Scheme
- [6] IMO Resolution A.973(24) Code for the Implementation of Mandatory IMO Instruments
- [7] IMO Resolution A.974(24) Framework and Procedures for the Voluntary IMO Member State Audit Scheme
- [8] IMO Resolution A.975(24) Future development of the Voluntary IMO Member State Audit Scheme
- [9] IMO Resolution IMO Resolution A.1018(26) Further Development of the Voluntary IMO Member State Audit Scheme
- [10] ISO 9000 series on quality management systems



ANNEX A PROCESS DIAGRAMS

The following sample diagrams have been provided, with permission, by IALA members. These are included to assist in the development of individual process diagrams. For further information on specific diagrams, please contact the AtoN organisation directly.

A 1. TRINITY HOUSE

For example, the following diagram represents the core business (key processes), according to Trinity House.

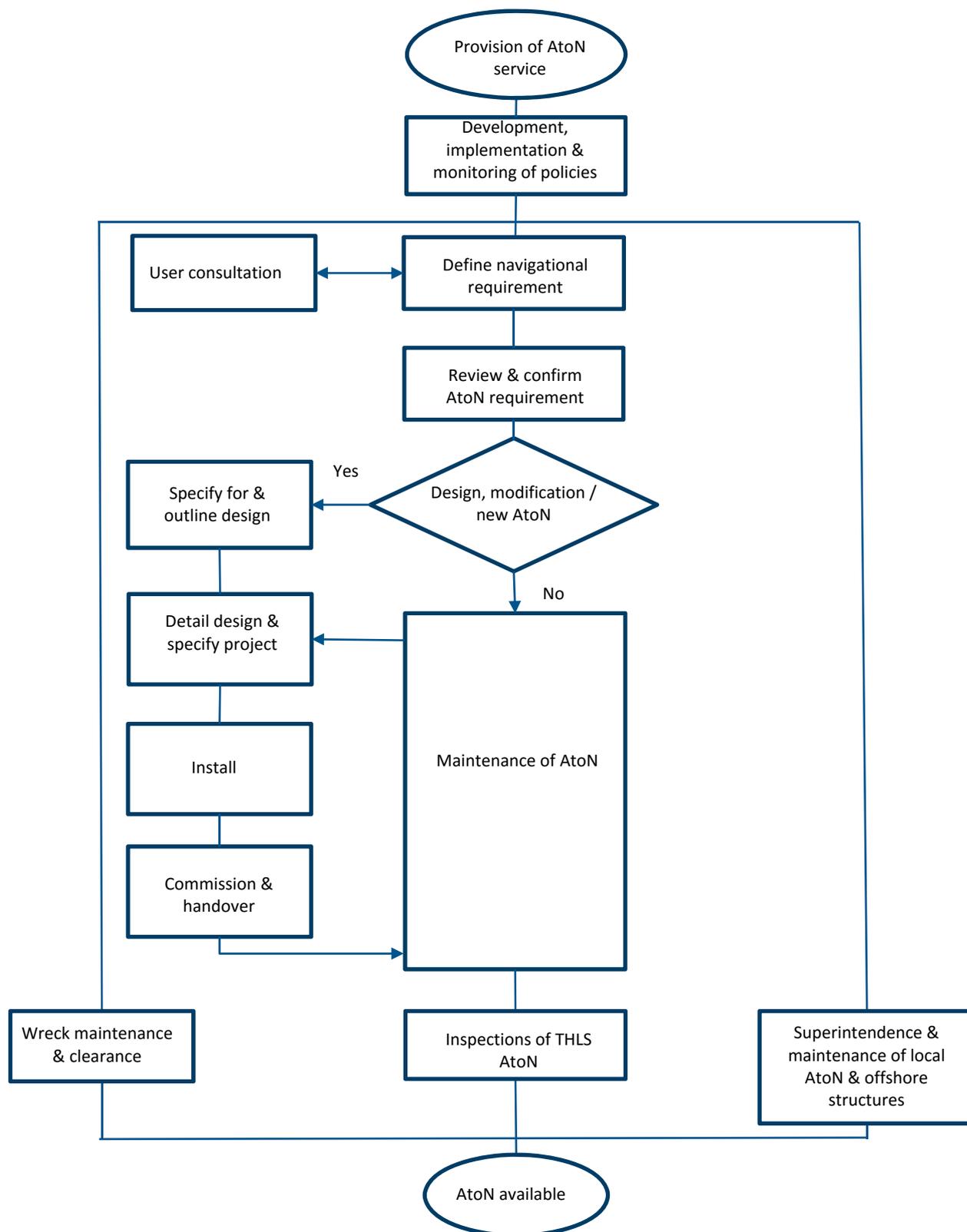


Figure 4 *Core business (key processes), of Trinity House*



A 2. STATE PORTS - SPAIN STATE PORTS - SPAIN

The following example is the process map for the marine Aids to Navigation service of State Ports (Spain). The Process Map is a matrix in which 'horizontal' relationships cross over a 'vertical' structure. The process relationships, reflected high, medium and low involvement, of the strategic and support processes through the key processes.

Table 1 *Process map for marine Aids to Navigation*

General Regulation specific to AtoN	User Participation	Communication, image, presence in Society	Management Control	Preparation of standards and recommendations	Strategic planning for the service	'State-of-the-art' study and review on the subject	KEY PROCESSES									
							Purchase and service subcontracting management	Infrastructure maintenance management and spare part policy	Information systems and Databases	Cost accounting	Legal assessment	Personnel management and Training	Surveys, records and auditing	General regulation infrastructures, safety and Environment		
X	X	O	O	X	X	X	BEACONING DESIGN AND REVISION	-	O	O	O	O	X	X	X	
O							BEACONING APPROVAL						X	X		
X	-	-	-	X	-	O	IMPLEMENTATION OF AIDS	X	O	X	X	X	X	X	X	
O	X	X	X	X	-	O	SERVICE OPERATION	X	X	X	X	X	X	X	X	
O	-	-	-	X	-	-	INSPECTION AND MONITORING	O	O	X	-	X	X	X	X	
STRATEGIC PROCESSES							SUPPORT PROCESSES									

X=High

O=Medium

-=Low



A 2.1. SPAIN – PUERTOS DEL ESTADO – EXAMPLE 1

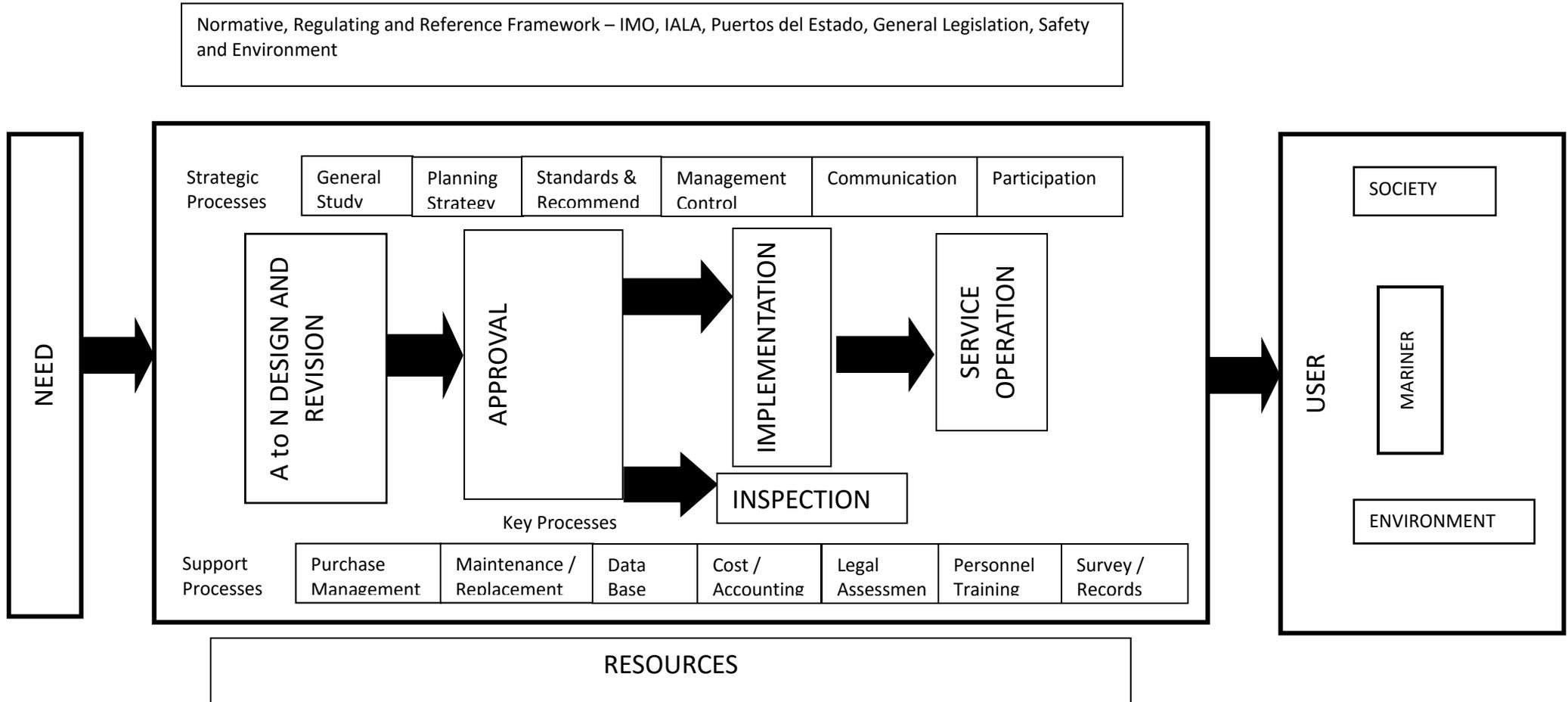


Figure 5 Normative, Regulating and Reference Framework

A 2.2. SPAIN – PUERTOS DEL ESTADO – EXAMPLE 2

A 2.2.1. PROCESS: AToN DESIGN AND REVISION

OWNER:

State port area of influence: PORT AUTHORITY

State non-port area: STATE PORTS

INPUT: New need or revision of AtoN in the area under consideration.

OUTPUT: Proposal for Aids to Navigation, (upgrade)

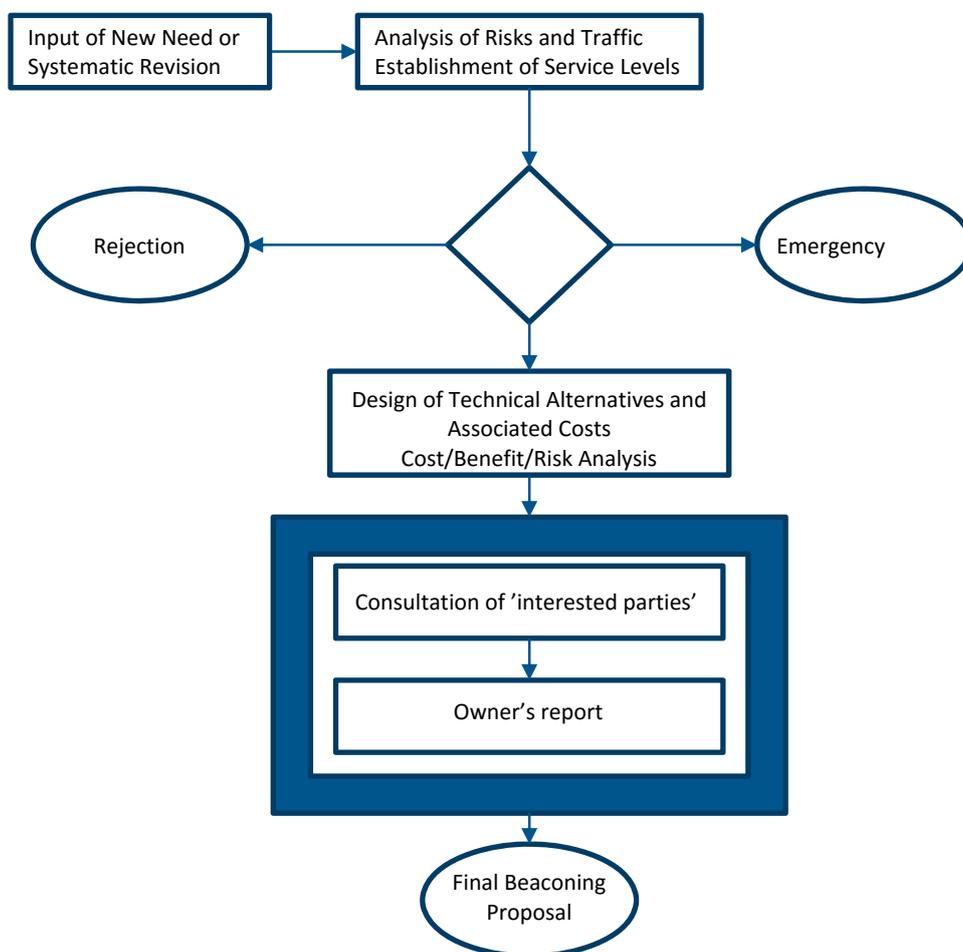


Figure 6 *Process Diagram*



ANNEX B CHECKLIST FOR DEVELOPING A QMS

When developing a QMS, the items below should be reviewed and referenced in some manner. Existing documentation may already provide the basis for many elements on the list. This list may be adapted to meet the specific requirements of the Competent Authority.

Table 2 Checklist for developing a QMS

Element	How Met?
Scope and objectives of the AtoN service	
Geographic limits, area of responsibility	
Regulating National Authority	
Authorities or agencies providing the service	
Organisational structure	
Possible alliances	
Stakeholders	
Mandatory and reference documentation	
Measurement	
Records	
Internal and external audits	
Mechanisms for dealing with non-compliances	
Training needs	
Supplier management	
Improvement actions	