Document Revisions

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**On**

**Auditing**

**and**

**Assessing VTS**

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***AISM*** Association Internationale de Signalisation Maritime ***IALA***

International Association of Marine Aids to Navigation and Lighthouse Authorities

10, rue des Gaudines

78100 Saint Germain en Laye, France

Telephone: +33 1 34 51 70 01 Fax: +33 1 34 51 82 05

e-mail: [contact@iala-aism.org](mailto:contact@iala-aism.org) Internet: [www.iala-aism.org](http://www.iala-aism.org)

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

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# Introduction

Vessel Traffic Services are recognised internationally as a navigational safety measure through the International Convention on the Safety of Life at Sea 74/78 (SOLAS). In particular, the provisions in SOLAS Chapter V (Safety of Navigation) Regulation 12 provides for Vessel Traffic Services and states , amongst other things, that:

* *“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.”*
* *“Governments may establish VTS when, in their opinion, the volume of traffic or the degree of risk justifies such services”.*

SOLAS also states that contracting Governments planning and implementing VTS shall, wherever possible, follow the guidelines developed by the IMO.

Recognising that the safety and efficiency of maritime traffic and the protection of the marine environment would be improved if vessel traffic services were established and operated in accordance with internationally approved guidelines the IMO Assembly adopted IMO Resolution A.857(20) Guidelines for Vessel Traffic Services.

The Resolution describes the principles and general provisions for the operation of a VTS and participating vessels, in addition to the roles and responsibilities of contracting governments, competent authorities and VTS Authorities. With regards to planning and establishing a VTS Resolution A.857(20) states, amongst other things, that:

* In planning and establishing a VTS, the Contracting Government or Governments or the competent authority should ensure that:
  + a legal basis for the operation of a VTS is provided for and that the VTS is operated in accordance with national and international law, and
  + a *VTS authority is appointed and legally empowered*
* The VTS authority is *“the authority with responsibility for the management, operation and co-ordination of the VTS, interaction with participating vessels and the safe and effective provision of the service****.****”*

# Overview

The establishment and on-going operation of a VTS is a considerable investment. To achieve the purposes for which it was implemented it needs to be effective and routinely evaluated to ensure that the operational objectives are being met, the technical and operational performance is acceptable and the issues identified and defined in determining the need for the VTS have been either alleviated or at least reduced to an acceptable level.

# Aim and Objectives

The aim of this document is to provide guidance for competent authorities and VTS authorities to meet their obligations under SOLAS for the establishment and operation of VTS. In particular it aims to provide guidance for assessing the appointment of a VTS Authority and the subsequent on-going assessment and evaluation to ensure:

* Conformity with International obligations
* The technical performance of the VTS equipment is consistent with the objectives of the VTS and the types of service/s provided
* The operational objectives are being met
* The issues identified in determining the need for the VTS have been either alleviated or at least reduced to an acceptable level

This guideline also aims to achieve consistency in the provision of the services worldwide in order to avoid confusion about the delivery of VTS services for the mariner trading between various jurisdictions.

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| **Note:**  This Guideline is intended to complement other IALA guidance, as amended, on the establishment and on-going operation of VTS. It is not intended to replicate the information and guidance in these documents or be prescriptive about auditing provisions / quality management systems. Rather, it provides a framework to assist authorities to meet their obligations for the establishment and operation of VTS in a consistent manner. Key IALA documentation associated with this Guideline includes:   * Recommendation V-119 on Implementation of Vessel Traffic Services * Recommendation V-127 on Operational Procedures for VTS * Recommendation V-128 on Operational and Technical Performance Requirements for VTS Equipment * Recommendation O-134 on the IALA Risk Management tool for ports and restricted waterways * Recommendation O-132 on Quality Management for Aids to Navigation Authorities * Guideline 1018 on Risk Management * Guideline 1052 on the Use of Quality Management Systems for Aids to Navigation Service Delivery * Guideline 1034 on the Certification of Marine Aids to Navigation Products * Guideline 1045 on Staffing Levels at VTS Centres * Recommendation V-103 on Standards for Training and Certification of VTS Personnel and associated model courses (Complete Annex A.5) * VTS Manual |

# Framework for Assessment

The framework for assessing the appointment of a VTS Authority and the subsequent on-going assessment and evaluation of safe and effective provision of the service is comprised of the following elements:

* The guidance provided in the VTS Manual and IALA Recommendations and Guidelines regarding the establishment and operation of VTS and the use of quality management systems in VTS.
* The use of a Safety Management System
* The ‘VTS Assessment checklist’, which is contained in the Annex A.

## Quality Management System (QMS)

IALA is committed to the provision of high quality services and encourages authorities to adopt internationally recognised standards for the management and delivery of services as set out in IALA Recommendation O-132 On Quality Management for Aids to Navigation Authorities. For the purposes of this Recommendation, VTS is deemed to be an Aid to Navigation. IALA Recommendation O-132 recommends that:

* authorities responsible for aids to navigation, implement and maintain a QMS

The requirement for service providing organisations to adopt quality management principles is well established throughout the world. The IMO introduced a mandatory system for shipping and ship operators in 2002, the International Safety Management (ISM) Code.

|  |
| --- |
| *The purpose of the Code is to provide an international standard for the safe management and operation of ships and for pollution prevention.*  *Preamble, ISM Code 2002* |

An active QMS provides a tool to ensure that the objectives of the VTS, the standards set for levels of service and operator qualifications continue to be met. Properly conducted, a QMS will ensure that a consistent quality of service is maintained to meet the demands of local maritime traffic.

Further information and guidance on quality management in VTS can be found in the IALA VTS Manual. In addition, further guidance on quality management can be found in the references published by the International Organization for Standardization for QMS, including:

* ISO 9000 - Quality management systems - Fundamentals and vocabulary
* ISO 9001 - Quality management systems - Requirements
* ISO 9004 - Managing for the sustained success of an organization - A quality management approach

Note: The ISO 9000 family of standards represents an international consensus on good quality management practices. It consists of standards and guidelines relating to quality management systems and related supporting standards.

ISO 9001 is the standard that provides a set of standardized requirements for a quality management system, regardless of what the user organization does, its size, or whether it is in the private or public sector. It is the only standard in the family against which organizations can be certified – although certification is not a compulsory requirement of the standard.

The other standards in the family cover specific aspects such as fundamentals and vocabulary, performance improvements, documentation, training, and financial and economic aspects.

## Safety Management System (SMS)

An SMS is a system to assure the safe operation of VTS through effective management of safety risk. This system is designed to continuously improve safety by identifying hazards, collecting and analysing data and continuously assessing safety risks. The SMS seeks to proactively contain or mitigate risks before they result in marine accidents and incidents. It is a system that is commensurate with the organization‘s regulatory obligations and safety goals.

The relationship between SMS and QMS leads to the complementary contributions of each system to the attainment of the organization‘s safety and quality goals. A summary comparison may be reflected as follows:

|  |  |
| --- | --- |
| **QMS** | **SMS** |
| Quality | Safety |
| Quality assurance | Safety assurance |
| Quality control | Hazard identification & Risk control |
| Quality culture | Safety culture |
| Compliance to requirements | Acceptable level of safety performance |
| Prescriptive | Performance-based |
| Standards & specifications | Organizational & human factors |
| Reactive > Proactive | Proactive > Predictive |

## Checklist for the Assessment of VTS

The Checklist (Annex A) provides the tool to assess and monitor the delivery of VTS with regards to international obligations, the IALA recommendations, guidelines and VTS manual, as well as, recognised ‘international good practice’.

The QMS that an individual VTS Authority / VTS Centre operates under may have a corporate focus and a scope that does not fully cover the specific delivery of VTS. The Checklist provides a robust, yet flexible, framework to ensure the VTS can be assessed and monitored in a way that facilitates consistency in the delivery of VTS services world wide.

It has also been developed to minimise any impact and possible increased workloads by avoiding duplication with established quality management / safety management systems. It aims to capitalise on these systems by providing a mechanism to map the outcomes from them to broader obligations for the delivery of VTS.

The Checklist is also intended to assist prospective entities seeking to be a VTS Authority in developing the design of their systems and in preparing for an assessment.

# Responsibilities

The responsibilities of the Contracting Governments / competent authorities and VTS authorities in planning, establishing and operating a VTS are described in IMO Resolution A.857(20) Guidelines for Vessel Traffic Services. Recognising that the relationship between the competent authority and the VTS authority may differ between countries the following guidance is provided for the respective responsibilities.

## VTS Authority

As the authority with responsibility for the management, operation and co-ordination of the VTS, interaction with participating vessels and *the safe and effective provision of the*service the VTS Authority / Centre shouldbe operated under a QMS and ensure the on-going integrity of the QMS through periodic review / audit as described in the VTS Manual and IALA Recommendation O-132 On Quality Management for Aids to Navigation Authorities.

## Contracting Government / Competent Authority

In planning and establishing a VTS, IMO Resolution A.857(20) states that, the Contracting Government or Governments or the competent authority should ensure that:

* a legal basis for the operation of a VTS is provided for and that the VTS is operated in accordance with national and international law, and
* a “*VTS authority is appointed and legally empowered”*

The Contracting Government / competent authority should adopt the Checklist as a mechanism to ensure their obligations for the operation and delivery of VTS is consistent with IMO Resolutions.

Further, they should ensure the on-going effectiveness of the VTS and consistency with international guidelines through periodic assessment, either via:

* assessment by the competent authority, or
* assessment by an accredited third party.

Finally, the assessment should be undertaken under a QMS umbrella.

# Measuring Performance

Performance monitoring regimes provide a mechanism to ensure the objectives established by a VTS, with the ultimate aim of alleviating defined problems, are met and services are delivered in the best possible manner. They also provide a mechanism to:

* progressively improve the delivery of service by measuring key indicators, which reflect the performance of VTS, to ensure appropriate measures can be adopted and introduced
* identify, monitor and keep pace with managing change and facilitate planning, prioritising and defining areas of emphasis.

VTS Authorities / Centres should adopt a performance monitoring regimes applicable to the type of VTS and its objectives as a means to continually monitor its performance in meetings its objectives. Some examples are provided below:

|  |  |
| --- | --- |
| **Objective** | **Performance Indicator** |
| Minimise the risk of a maritime accident and consequential ship sourced pollution and damage to the marine environment | * number of proactive interventions by VTS Operator which minimized potential accidents / incidents * number of accident / incidents:   + number of grounding   + number of collisions   + number of near misses   + assessment to be linked to vessel density |
| Provide VTS capabilities to interact with and respond to developing traffic situations | * Availability of VTS system (The percentage availability of key equipment on a monthly and annual basis.) * This should be compared to the availability targets determined for the key equipment as per IALA Recommendation Recommendation V-128 on Operational and Technical Performance Requirements for VTS Equipment |
| Enhance relationships with allied services, stakeholders and other interested parties | * **Stakeholder feedback**   + In delivering VTS services a VTS maintains close interaction and communication with its key stakeholders, that is, masters/OOW/Pilots of vessels transiting the VTS area. This provides a continuous and ongoing mechanism to receive and record stakeholder satisfaction with the delivery of service. All feedback in such circumstances should be recorded and where applicable an Opportunity for Improvement raised within the QMS.   + Feedback includes::     - * Direct feedback from individual Stakeholders - whether received in writing (letter, email) or verbally (VHF radio)       * Feedback at forums with Stakeholders * Regular meetings with allied services, stakeholders and other interested parties * Formal working agreements with allied services, |
| Provide a safe working environment | * **use of safety and health guidelines from safety management system** |

# procedures for Appointing anD Assessing a VTS

The IMO Resolution A.857(20) describes the principles and general provisions for the operation of a VTS and participating vessels, in addition to the roles and responsibilities of contracting governments, competent authorities and VTS Authorities.

In planning and establishing a VTS, the Contracting Government or Governments or the competent authority should ensure that a VTS authority is appointed and legally empowered

Assessments are an essential management tool to be used for verifying objective evidence of processes, to assess how successfully processes have been implemented, for judging the effectiveness of achieving any defined target levels, to provide evidence concerning reduction and elimination of problem areas.

The following procedures provide competent authorities with guidelines for appointing and assessing a VTS.

## Step 1

### The entity seeking to be appointed as a VTS Authority submits a request to the competent authority.

The requirements for appointment as a VTS authority should be made available by the competent authority.

Prior to submission of an appointment request, it is recommended that the entity conducts their own internal check using the checklist in ANNEX A.

The competent authority should ensure its national legislation provides for VTS in compliance with its SOLAS obligations.

It is recognized that in many cases the entity is the competent authority

Step 2

### The entity submits completed pre-audit documentation.

The entity should ensure that the checklist and the supporting documentation are submitted in sufficient time to allow the competent authority to properly assess the submission.

## Competent Authority evaluates pre-audit documentation

The competent authority evaluates the checklist and the supporting documentation to ensure compatibility with IMO Resolution A.857 Guidelines for Vessel Traffic Services, conformance with IALA Recommendations and Guidelines, and any additional requirements.

### 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 entity and provides reasons to serve as a basis for corrective actions.

## Step 3

### Initial audit

The competent authority should ensure that the audit process is conducted in compliance

with ANNEX B of these Guidelines.

### Does the application comply with the requirements?

If ‘Yes’, the competent authority can appoint the entity as a VTS Authority.

If ‘No’, the competent authority notifies the entity and provides reasons to serve as a basis for corrective actions.

## Step 4

### The competent authority appoints the entity as a VTS Authority.

The competent authority issues the formal appointment document, which should at least contain the information as shown in ANNEX B.

It is recommended that the appointment be for a fixed term of no longer than 5 years

## Step 5

### The Competent Authority ensures an on-going audit of the VTS Authority.

The competent authority conducts a regular audit to determine:

* that the operational objectives are being met
* the technical and operational performance is acceptable
* the issues identified and defined in determining the need for the VTS have been either alleviated or at least reduced to an acceptable level

It is recommended that at least one audit be carried out at the mid-term of the appointment.

## Step 6

### The Competent Authority renews the appointment of a VTS Authority.

Towards the end of the period of appointment the VTS Authority should apply for its appointment to be renewed.

It is recommended that an audit be carried out prior to the renewal of the appointment.

Annex B provides guidance on the appointment process to competent authorities.







**Annex A Checklist for the appointment of a VTS**

**Conformance with IMO Resolution A.857(20) Guidelines for Vessel Traffic Services**

When applying for a VTS appointment the Contracting Government/Governments or competent authority should first consider IMO Resolution A.857(20) section 2.2.2 (in planning and establishing a VTS) or 2.2.3 (in operating a VTS) as applicable to their situation.

**Part1 In planning and establishing a VTS**

The Contracting Government or Governments or the competent authority should:

.1 ensure that a legal basis for the operation of a VTS is provided for and that the VTS is operated in accordance with national and international law:

|  |
| --- |
| 1. Has your national legislation adopted an international VTS instruments? |
| 1. Which government body is responsible for the implementation and enforcement of SOLAS Chapter V Reg. V/12? |
| 1. Identify any internal stakeholder arrangements for the determination and operation of VTS. |
| 1. What national legislation is in place to enable laws to be passed to give domestic effect to SOLAS obligations, such as: |
| * + Head of power for VTS? |
| * + Regulatory provisions? |
| * + Compliance and enforcement provisions? |
| 1. Who is the competent authority for VTS? |
| 1. Describe the legislative framework in place and the measures taken to ensure compliance with A.857(20) Guidelines for Vessel Traffic Services? |
| 1. In planning and establishing the VTS have the guidelines developed by the IMO been followed, wherever possible, including conformance with the following IALA documents? |
| * Recommendation V-119 on Implementation of Vessel Traffic Services (Complete Annex A.1) |
| * Recommendation V-127 on Operational Procedures for VTS   (Complete Annex A.2) |
| * Recommendation V-128 on Operational and Technical Performance Requirements for VTS Equipment   (Complete Annex A.3) |
| * Guideline 1045 on Staffing Levels at VTS Centres |
| * Recommendation V-103 on Standards for Training and Certification of VTS Personnel and associated model courses   (Complete Annex A.5) |
| * Recommendation O-134 on the IALA Risk Management tool for ports and restricted waterways |
| * Recommendation O-132 on Quality Management for Aids to Navigation Authorities |
| * Guideline 1089 on Provision of Vessel Traffic Services (IMS, TOS & NAS) (Complete Annex A.3) |
| * Guideline 1018 on Risk Management |
| * Guideline 1052 on the Use of Quality Management Systems for Aids to Navigation Service Delivery |
| * VTS Manual |
| 1. Does the VTS to extend beyond the Territorial Sea? |
| 1. If yes, is this consistent with Guideline No. 1071 On Establishment of a Vessel Traffic Service beyond Territorial Seas? |

.2 ensure that objectives for the VTS are set:

|  |
| --- |
| 1. Have the objectives of the VTS been set? |
| * If Yes: |
| * List the objectives of the VTS? |
| * How are the objectives promulgated? |
| 1. What performance measures will be in place to assess and monitor that the objectives of the VTS are being met? |
| 1. How regularly will the performance measures be compiled? |
| 1. How will you record the results of the performance measures for the <period>? |

.3 ensure that a VTS authority is appointed and legally empowered (not applicable for an entity applying for an appointment):

|  |
| --- |
| 1. Is the Competent Authority legally empowered to appoint a VTS Authority? |
| 1. Under what legislation is the VTS Authority appointed? |
| 1. Under what legislation does the VTS Authority operate? |
| 1. Does the legislation provide: |
| * + Head of power for VTS? |
| * + Regulatory provisions? |
| * + Compliance and enforcement provisions? |

.4 ensure that the service area is delineated and declared a VTS area; where appropriate, this area may be subdivided in sub-areas or sectors:

|  |  |
| --- | --- |
| 1. Has the proposed VTS area been delineated? | Recommendation V-119 On the Implementation of Vessel Traffic Services |
| * + If Yes, how is it promulgated? |
| 1. Are sectors or sub-areas proposed in the VTS area? |
| * If Yes, how has this been promulgated? |
| Have you developed a plan which demonstrates the delineation of the VTS area/sectors? |

.5 determine the type and level of services to be provided, having regard to the objectives of the VTS;

|  |  |
| --- | --- |
| 1. What Types of Service will be provided: | Recommendation V-119 On the Implementation of Vessel Traffic Services |
| * Information Service? |
| * Traffic Organisation Service? |
| * Navigational Assistance Service? |
| 1. What information and data will be used to support the decision about the type of service/s required to mitigate the risks identified? |
| 1. How will the types of service link to the operational objectives of the VTS? |
| 1. Will the types of service/s be delivered in a manner consistent with Guideline 1089 On provision of VTS types of service? |

.6 establish appropriate standards for shore- and offshore-based equipment:

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| --- |
| 1. Does the shore- and offshore-based equipment meet the operational objectives of the VTS? |
| 1. Is this consistent with IALA Recommendation V-128 On Operational and Technical Performance Requirement for VTS Equipment? |
| * Where there any aspects of this recommendation not followed/embraced? |
| * If Yes, please list them? |

.7 ensure that the VTS authority is provided with the equipment and facilities necessary to effectively accomplish the objectives of the VTS;

|  |
| --- |
| 1. What was the process used to determine the equipment and facilities necessary to effectively accomplish the objectives of the VTS? |
| 1. Is the VTS equipment consistent with the provisions of Recommendation V-128 On Operational and Technical Performance Requirement for VTS Equipment? |

.8 ensure that the VTS authority is provided with sufficient staff, appropriately qualified, suitably trained and capable of performing the tasks required, taking into consideration, the type and level of services to be provided and the current IMO Guidelines on the recruitment, qualifications and training of VTS operators

|  |
| --- |
| 1. Are the staffing levels for the VTS been determined in a manner consistent with IALA Guideline 1045 On Staffing levels for VTS Personnel? |
| * If Yes, please provide confirmation / evidence (for example, procedures, policy document, etc) |

.9 establish appropriate qualifications and training requirements for VTS operators, taking into consideration the type and level of services to be provided;

|  |
| --- |
| 1. Have appropriate qualifications and training requirements for VTS operators, taking into consideration the type of services to be provided, been determined? |
| * + If yes, are these qualifications/training requirements supported by policy or legislation? |
| 1. Are training courses for VTS operators delivered by accredited training organizations in a manner consistent with Guideline 1014 On accreditation of VTS training courses? |
| 1. Are training courses consistent with Recommendation V-103 On standards for training and certification of VTS Personnel and associated Model Courses? |
| 1. Are the training requirements determined in a manner consistent with Guideline 1017 On the assessment of training requirements for existing VTS personnel, candidate VTS operators, and revalidation of VTS operator certificates? |

.10 ensure that provisions for the training of VTS operators are available:

|  |
| --- |
| 1. Are VTS personnel trained and qualified to enable them to perform the tasks required in accordance with IALA Recommendation V-103 On standards for training and certification of VTS Personnel and associated Model Courses? |
| 1. Is training for VTS personnel provided by training organisations accredited in accordance with IALA Guideline 1014 On the accreditation and approval process for VTS training? |
| 1. Are the training courses provided by accredited training organisations approved in accordance with IALA Guideline 1014 On the accreditation and approval process for VTS training? |

.11 instruct the VTS authority to operate the VTS in accordance with relevant IMO resolutions (not applicable for an entity applying for an appointment):

|  |
| --- |
| 1. What mechanism/s are used by the competent authority to instruct VTS authorities to operate in accordance with relevant IMO resolutions? |
| 1. How are VTS authorities assessed to ensure that the VTS is operated in conformity with relevant IMO resolutions? |

.12 establish a policy with respect to violations of VTS regulatory requirements, and ensure that this policy is consistent with national law. This policy should consider the consequences of technical failures, and due consideration should be given to extraordinary circumstances that result.

|  |
| --- |
| 1. Is there a strategy in place outlining the approach to managing compliance with the VTS regulatory requirements? |
| * + If yes, does the strategy: |
| * + - aim to maximise voluntary compliance by raising awareness and encouraging and educating the shipping industry and other maritime users to comply with legislation; |
| * + - Provide an effective deterrent capability (detection, penalties and prosecution) against non-compliance? |
| 1. Outline the means for detecting, preventing and investigating non-compliance? |
| 1. Provide a mechanism to report and monitor non-compliance? |

**Annex A Part 2 When already operating a VTS**

2.2.3 In **operating a VTS** the VTS authority should:

.1 ensure that the objectives of the VTS are met;

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| --- |
| 1. Have the objectives of the VTS been met? |
| If Yes: |
| List the objectives of the VTS? |
| How are the objectives promulgated? |
| 1. What performance measures are in place to assess and monitor that the objectives of the VTS are being met? |
| 1. How regularly are the performance measures compiled? |
| 1. Could you provide records of the results of the performance measures for the <period>? |

.2 ensure that the standards set by the competent authority for levels of services and operators

qualifications and equipment are met;

|  |
| --- |
| What are the standards set by the competent authority for levels of service and how are they being met? |
| What are the standards set by the competent authority for the equipment and how are they being met? |
| Are the equipment standards consistent with IALA Recommendation V-128 on Operational and Technical Performance Requirements for VTS Equipment |
| Are the VTS operator qualifications consistent with IALA Recommendation V-103 on Standards for Training and Certification of VTS Personnel and associated model courses |

.3 ensure that the VTS is operated in conformity with relevant IMO resolutions;

|  |
| --- |
| Is the VTS operated in accordance with relevant IMO resolutions? |
| How are VTS authorities assessed to ensure that the VTS is operated in conformity with relevant IMO resolutions? |

.4 ensure that the VTS operations are harmonized with, where appropriate, ship reporting and

routeing measures, aids to navigation, pilotage and port operations;

|  |
| --- |
| Are the VTS operations harmonized with ship reporting and routeing measures, aids to navigation, pilotage and port operations? |
| Describe how these operations are harmonized? |
| Are there any formal procedures, agreements or legislation? |

.5 consider, where appropriate, the participation of the pilot both as a user and provider of

information;

|  |
| --- |
| Describe how the pilot may provide information to the VTS? |
| Describe how the VTS provides information to the pilot? |
| Are there any formal procedures, agreements or legislation? |

.6 ensure that a continuous listening watch on the designated radio frequencies is kept and that

all published services are available during the operational hours of the VTS;

|  |
| --- |
| Are there documented procedures in place to ensure that a continuous listening watch on the designated radio frequencies is kept? |
| How are the VTS operations organized to ensure that a continuous listening watch on the designated radio frequencies is kept? |
| Where /how is the VTS information published or promulgated to mariners, for example the IALA World VTS Guide, Notice to Mariners etc. |
| How do you ensure that the published services made available during the operational hours? |
| Is there a contingency plan to ensure to the availability of the VTS operations (i.e. manning, redundancy of equipment, emergency procedures, etc.)? |

.7 ensure that operating procedures for routine and emergency situations are established;

|  |
| --- |
| Are there established operating procedures for routine and emergency situations? |
| Are these procedures consistent with IALA Recommendation V-127 On Operating Procedures for Vessel Traffic Services |

.8 in a timely manner, provide mariners with full details of the requirements to be met and the

procedures to be followed in the VTS area.

This information should include the categories of vessels required or expected to participate; radio frequencies to be used for reporting; areas of applicability; the times and geographical positions for submitting reports; the format and content of the required reports; the VTS authority responsible for the operation of the service; any information, advice or instructions to be provided to participating ships; and the types and level of services available. This information should be published in the appropriate nautical publications and in the "World VTS Guide".\*

|  |
| --- |
| How is information about the VTS Promulgated to mariners (for example, World VTS Guide, ALRS, User Guides, on-line, etc)? |
| Does this include: |
| * categories of vessels required or expected to participate? |
| * radio frequencies to be used for reporting? |
| * areas of applicability? |
| * the times and geographical positions for submitting reports? |
| * the VTS authority responsible for the operation of the service? |
| * any information, advice or instructions to be provided to participating ships? |
| * types and level of services available? |

**Annex A Part 3 – Conformity with IALA Recommendation O-132 - ‘Quality Management for Aids to Navigation Authorities’**

| **Item** |
| --- |
| Do you operate under a quality management system? |
| Describe the quality management system. |
| Demonstrate how Management supports the QMS/SMS? |
| Demonstrate how the strategic and business planning / direction occurs to ensure the objectives of the VTS are delivered and continuous improvement maintained |
| Is the integrity of the QMS ensured through:  Certification by an accredited third party, and/or:  Assessment by a third party, and or  Self-assessment |
| * When was the last assessment /audit? |
| * Do you maintain an audit schedule? |
| * Are internal audits carried out and records maintained |
| * Can you provide a copy of the assessment / audit report? |
| * What is the process for identifying and managing opportunities for improvement? |
| * What is the process to planning and taking corrective and/or preventative action? |
| What is the scope of the QMS? |
| Does the Quality Policy statement make reference to VTS? |
| Do you operate under a safety management system? |
| Do you operate a performance monitoring regime? |
| How do you measure customer satisfaction? For example what is the level of relationships with allied services, stakeholders and other interested parties |
| How do you monitor and analyse the strategic environment to identify future directions, resource requirements |
| How do you monitor equipment availability? |

**Annex B Framework for the competent authority to appoint a VTS**

(to be developed: The following list contains essential elements to be considered in the development of the framework for the competent authority to appoint a VTS.)

Details of the following items should be developed in order to assist the competent authority to appoint and assess a VTS.

* The competent authority should ensure the national legislation provides for VTS in compliance with SOLAS obligations.
* The requirements for the appointment of the VTS authority should be made available.
* The competent authority will ensure that the submitted application and supporting documentation is consistent with IMO Resolution A857(20).

(Detailed points need to be developed for this process to aid the competent authority in its review of the application.)

* If the document does not comply, the competent authority should notify the applicant to take corrective actions.
* The competent authority shall determine how the initial audit shall be undertaken.

(Detail points need to be developed on how initial audits should be undertaken.)

* List of major recommendations to be referenced
* Use of Annex A checklist in assessing a VTS
* If the applicant does not comply, the competent authority should notify the applicant to take corrective action.
* The procedure for the appointment of the VTS:
* Need for a sample appointment document with the essential details listed.

The formal appointment document from the competent authority may provide contain the following information:

1. Number: A unique serial number should be inserted.
2. Name of the VTS authority: The full name of the VTS authority, as given in their official documentation should be inserted.
3. Address of VTS authority: The full address of the VTS authority, as given in their official documentation, should be inserted. This may not necessarily be the address where the audit took place or where the VTS will be delivered.
4. Date of audit: The dates on which the audit started and when it was completed satisfactorily should be inserted.
5. Name of the issuing competent authority: The full name of the issuing competent authority should be inserted.
6. Date of the VTS appointment: The date on which the VTS is appointed should be inserted. This may not necessarily be the same as the date on which the audit was completed.
7. Expiry date: The date to VTS appointment will expire should normally be five years after the date on which the VTS was appointed.
8. Dates of Periodic audit: The date of the periodic audit to be inserted should normally be two years after the date on which the VTS was appointed.
9. Type of service: the type of VTS provided by the VTS authority – INS, NAS, TOS.
10. Area of VTS: a plan showing the delineation of the VTS area/sectors.
11. Designated VHF channels: provide a list of the VTS frequencies
12. Radio Call sign: provide the radio call sign of the VTS authority
13. MMSI: provide the MMSI for the VTS authority?

Annex C Checklist for auditing and accessing VTS operations (to be revised)

(The checklist has been developed by reference to the IALA Guidelines V-127 On Operational Procedures for Vessel Traffic Services)

**INTRODUCTION**

To achieve a standardised operations/performance within the VTS centre, clearly defined operating procedures, particularly those relating to external communications are paramount. This will assist the user in understanding information or instructions given by the VTS.

Recommendation V-127 – Operational Procedures for Vessel Traffic Services was prepared as to assist VTS authorities in identifying key aspects that should be considered when developing operational procedures for a VTS centre. The list is neither mandatory nor exhaustive and should be adapted to suit individual needs. In preparing this Recommendation it is recognised that:

* The nature of the tasks and activities to be performed will depend on the capability of the VTS, the VTS area and the type and level of services to be provided. In general, these tasks and activities all involve collecting, processing, evaluating and disseminating information. The collection and dissemination of this information will involve both internal and external communications, while information will be processed within the VTS centre itself. The level of decision-making that can be taken within the VTS centre should be clearly identified.
* The objectives of the VTS can only be met through co-operation and trust among users of the service, VTS personnel and allied services. This can only be achieved through the reliability of the VTS information, which is dependent on the assured availability, continuity and quality of the service provided to all stake-holders.

**Quality Management**

An active Quality Management System provides a tool to ensure that the objectives of the VTS, the standards set for levels of service and operator qualifications continue to be met. Properly conducted, a Quality Management System will ensure that a consistent quality of service is maintained to meet the demands of local maritime traffic.

IALA is committed to the provision of high quality services and encourages authorities to adopt internationally recognised standards for the management and delivery of services as set out in IALA Recommendation O-132 - ‘Quality Management for Aids to Navigation Authorities’. For the purposes of this Recommendation, VTS is deemed to be an Aid to Navigation. IALA Recommendation O-132 recommends that:

* authorities responsible for aids to navigation, implement and maintain a **Quality Management System**;

The requirement for service providing organisations to adopt quality management principles is well established throughout the world. The IMO introduced a mandatory system for shipping and ship operators in 2002, the International Safety Management (ISM) Code.

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| *The purpose of the Code is to provide an international standard for the safe management and operation of ships and for pollution prevention.*  *Preamble, ISM Code 2002* |

Part I

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| A properly implemented quality control programme approved by the competent authority can ensure that the standards set for the type and level of service are consistently maintained, and that the service is delivered accurately, efficiently and effectively. |
| Does the VTS operate under a Quality Management System (QMS) as per IALA Recommendation O-132 - ‘Quality Management for Aids to Navigation Authorities’? |
| If Yes: |
| * Is the ongoing integrity of the QMS ensured through periodic:   + certification by an accredited third party; and/or   + assessment by a third party |
| * Is the QMS third party internationally recognised (e.g. ISO 9001)? |
| * Are the VTS Operational Procedures included in the scope of the QMS? |
| * Does the scope of the QMS include conforming to IALA Recommendation V-127 - Operational Procedures for Vessel Traffic Services? |
| * Can you provide copies of the reports from the last internal audit, external audit and management reviews? |
| * If the answer is yes to the above dot points and sighting of the reports confirms the accreditation is being satisfactorily maintained no further action is required with regards to conformance with IALA Recommendation V-127 On Operational Procedures for Vessel Traffic Services. |
| Is the ongoing integrity of the QMS ensured through periodic self-assessment? |
| If no, the VTS is not conforming to IALA Recommendation V-127 On Operational Procedures for Vessel Traffic Services. |
| Does the documentation for the QMS include: |
| * A Quality Manual - that is documentation that identifies the processes and procedures, technical instructions, indicators, records, forms of measurement, monitoring analysis and improvement to ensure that customer requirements, needs and expectations are met? |
| * Procedure documents, e.g., operating guidelines, operating procedures, work instructions; |
| * Recordkeeping: |
| Are the VTS Operational Procedures included in the scope of the QMS? |
| Does the QMS reference conforming to IALA Recommendation V-127 On Operational Procedures for Vessel Traffic Services? |
| Complete the Compliance Matrix in Part 2 |