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| IALA Guideline |

Guideline 1014

ACCREDITATION OF VTS TRAINING ORGANIZATIONS AND APPROVAL TO   
DELIVER IALA MODEL COURSES

Edition x.x

Date (of approval by Council)

*Revokes Guideline [number]*

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

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| Date | Page / Section Revised | Requirement for Revision |
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# INTRODUCTION

Recognising that a major factor in the operation of a VTS is the competence of its personnel, IMO Resolution XXXX(XX) *Guidelines for Vessel Traffic Services* states:

* That the Competent Authority for VTS should *“ensure that VTS training is approved and VTS personnel are certified”*.
* *“VTS personnel should only be considered competent when appropriately trained and qualified for their VTS duties. This includes:*

*.1 satisfactorily completing generic VTS training approved by a competent authority;*

*.2 satisfactorily completing on-the-job training at the VTS where the person is employed;*

*.3 undergoing periodic assessments and revalidation training to ensure competence is maintained; and*

*.4 being in possession of appropriate certification”.*

* *“Contracting Governments are encouraged to take into account IALA standards and associated recommendations, guidelines and model courses”*

IALA standards relating to accreditation and approval to deliver IALA model courses include:

* *Standard 1010 – Marine Aids to Navigation planning and service requirements.* This standardspecifies the practices associated with, inter alia, quality management. The Standard references normative provisions associated with the accreditation of training organizations.
* *Standard 1050 – Training and Certification*. This standard specifies the practices associated with, inter alia, the training and assessment of VTS personnel. The Standard references normative provisions associated with the accreditation of training organizations.

# PURPOSE OF GUIDELINE

This Guideline provides the framework for competent authorities to:

* Accredit organizations to provide training based on IALA Model Courses; and
* Approve their delivery of IALA model courses, including:
* Model Course V-103/1 on VTS Operator Training;
* Model Course V-103/2 on VTS Supervisor Training;
* Model Course V-103/4 on VTS On-the-Job Training Instructor; and
* Model Course V-103/5 on the Revalidation Process for VTS Qualification and Certification.

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| IALA Guideline 1014 on *Accreditation of VTS training organizations and approval of the delivery of IALA model courses* is associated with Recommendation 0149 on *the Accreditation of Training Organizations*, a normative provision of IALA Standard 1050 *Training and Certification*.  To demonstrate compliance with the Recommendation the provisions of this Guideline should be implemented. |

Note: IALA model courses not listed above do not need to be approved by the competent authority. Model course V-103/5 may also be delivered by VTS providers for their own personnel. In such cases the competent authorities are encouraged to establish a review and approval process as outlined in this Guideline.

# ACCREDITATION

Accreditation is the formal endorsement by the competent authority that a training organization operates under quality standards to deliver effective training and to assess the competency of students.

An assessment of the quality management system forms the basis of the accreditation. The assessment by the competent authority (or a delegated third party of the competent authority) should include an audit to ensure the training organization operates under quality standards.

## QUALITY STANDARDS

Training organizations should operate under a quality management system.

Relevant international guidance prepared and published by appropriate international organizations regarding management systems for training organizations should be taken into account, or where there are national requirements for quality standards, these should be used.

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| ISO Standard 21001:2018 on *Educational organizations – management systems for educational organizations – requirements with guidance for use*, is an international standard issued by the International Organization for Standardization (ISO). The term of ‘EOMS’ is commonly used to describe the management systems used by educational organizations.  In summary, the standard specifies the requirements for a management system when an educational organization:   * Needs to demonstrate its ability to support the acquisition and development of competence through teaching, learning or research. * Aims to enhance satisfaction of learners, other beneficiaries and staff through the effective application of EOMS, including processes for improvement of the system and assurance of conformity to the requirements and other beneficiaries. |

*Note: While this guidance provides an example to ISO 21001:2018, the training organisation may adopt, for example, another equivalent form of national quality standards or other international standards.*

Key elements of the management system typically include:

|  |  |
| --- | --- |
| Scope of the EOMS | Understanding the organization and its context  Understanding the needs and expectations of interested parties  Scope of the EOMS |
| Leadership | Leadership and commitment  Focus on learners and other beneficiaries  Developing and communicating the educational organization policy  Assigning the organizational roles, responsibilities and authorities |
| Planning | Planning of actions to address risks and opportunities  Establishing the educational organization objectives, and planning to achieve them  Planning and managing changes |
| Support | Determining and providing the necessary resources for the operation of the EOMS (human resources, facilities, organizational knowledge)  Competency and training  Awareness and communication  Creating, updating and controlling the documented information |
| Operation | Planning operations and controls  Determining and communicating requirements for the educational products and services and any changes to them  Establishing controls including design and development controls and procedures  Control of externally provided processes, products and services  Delivering the educational products and services |
| Performance evaluation | Monitoring and measuring the satisfaction of learners, other beneficiaries and staff  Analysis and evaluation of the obtained information  Conducting internal audits and management reviews |
| Improvement | Reacting to non-conformities and taking corrective actions  Continually improving the EOMS  Determining opportunities for improvement |

## OTHER CONSIDERATIONS

### Recognition of quality standards

Where a competent authority has assessed that a training organization has quality standards in place to deliver STCW courses or other formally recognized education programmes, the authority may take this into account when assessing compliance with IALA standards 1010 and 1050 to accredit a training organization.

### WHERE A COMPETENT AUTHORITY OPERATES A TRAINING ORGANIZATION

Where a competent authority also operates a training organization, measures should be implemented to ensure that the process of accreditation and approval is sufficiently independent and conducted by auditors who do not have a routine connection with the management and operation of the training organization.

The competent authority may consider the use of a third-party organization to conduct or assist in the audit process. Alternatively, this may also be achieved by ensuring that the audit team are appointed from different departments within the competent authority.

# APPROVAL OF MODEL COURSES

IALA Model Courses are documents which define the level of training and knowledge needed to reach levels of competence defined by IALA. Model Courses for VTS include training programmes on the specific knowledge and skill requirements necessary for qualification.

Approval the formal endorsement by the competent authority that a training organization meets the standards specified in an IALA model course for its implementation, delivery and assessment.

Model courses described in section 2 above should be approved by the competent authority (or a delegated third party of the competent authority).

To assist training organisations, competent authorities should prepare compliance matrices for each IALA model course for their assessment by an audit. The training organization should also provide supporting information on the following:

## Course curriculum

Course curriculums and detailed lesson plans should be prepared based on the relevant IALA model course, giving consideration to:

* The methodology of learning and teaching techniques employed to meet the learning outcomes.
* Time spent (e.g. number of hours) allocated to particular subjects or module elements.
* Total course duration (if the proposed teaching hours differ greatly from the nominal hours given in the model course, the methodology to achieve the objectives is to be substantiated).

In order for a course to be approved in accordance with the Guideline, the minimum standards specified in the model course should be implemented. Where additional subject elements have been included the model course, then these should be taken into account in the development of course material.

## Entry standards

The training organization should take into account any pre-requisites specified for that model course, and where additional pre-requisites requirements need to be met then relevant details should be documented. s

## RECOGNITION OF PRIOR LEARNING

The training organisation should have a framework in place to assess and recognise the prior learning of students.

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| *IALA Guideline 1017 - Assessment of Training for VTS* provides further guidance on the assessment and recognition of prior learning. |

## Conduct of training

The conduct of training should take into consideration which should be reviewed and their implementation and use verified during the audit process:

### Training methods and materials

The training organization is to determine the number of students enrolled on the course and provide information on the student/staff ratio.

The training materials (e.g. course notes, course presentations and reference documents etc) should be of a suitable quality and substance to enable the student to complete the course. Where e-learning, distance or blended delivery is proposed, training organizations should consider the necessary adjustments that may be required.

### Facilities and equipment

The teaching aids, facilities and equipment students will utilise during the course should be of a sufficient standard to ensure quality course delivery and acceptable levels of health and safety.

The simulation equipment used for training should be of a sufficient standard.

## Qualifications of Instructors and Assessors

The training organisation should provide information on the qualifications and experience of their instructors and assessors delivering the IALA model courses.

In determining the acceptability of the qualifications for instructors and assessors consideration should be given to:

* Ensuring they are appropriately qualified (eg recognised teaching qualifications) and experienced for the training being provided and assessing competence
* Where simulator-based training is conducted, they should be qualified at a minimum to provide simulation activities consistent with IALA Guideline 1027 - *Simulation in VTS Training*.

The competent authority may decide to set minimum qualification standards for instructors and assessors.

## Student assessment procedures

The assessments of students should take into consideration:

* The assessment procedures (for example, examination, practical, continuous assessment etc) carried out to satisfy the model course requirements, as well any other national requirements.
* Maintenance of student records. Training results should be recorded and retained as evidence to indicate the competency for each subject of the module course.
* Issuing of course certificates.

## OTHER CONSIDERATIONS FOR APPROVAL OF MODEL COURSES

### Outsourcing of course delivery

A training organization may utilise the services of third parties to deliver, in full or in part, an IALA model course.

In such circumstances, it is the responsibility of the training organization to ensure that:

* The services provided by the third party are in compliance with the relevant IALA model course and are consistent with the training organizations EOMS; and
* The third party is trained in and fully aware of the requirements and procedures of the training organizations EOMS.

If the services of a third party are used, the training organization remains fully responsible for the oversight and implementation of the EOMS requirements to ensure the relevant standards for the accreditation and approval are maintained.

# PROCEDURES FOR CONDUCTING AUDITS

An audit is an evidence gathering process used to evaluate how well the audit criteria are being met. Audits must be objective, impartial, and independent, and the audit process must be both systematic and documented.

The competent authority (or a delegated third party of the competent authority) is to ensure that the training organization meets the requirements of IALA Recommendation R0103, and the specific requirements of the model courses they seek approval for. The auditor undertaking compliance audits should have the necessary knowledge and skills to apply audit principles, procedures and techniques.

The training organization may apply at the same time to be accredited and approved to deliver individual model courses. Subsequent applications may be made for the approval of additional courses to be added their certificate of accreditation.

Audits should preferably be undertaken when the course is being delivered as a means to review in a live setting the practical application of procedures and training materials. This will also provide an overall evaluation on the interaction between course instructors and students, and the effectiveness of how the model course has been implemented under their quality framework (eg EOMS). Where this is not possible, the competent authority may grant an interim approval for the delivery of a single course in order to facilitate the start-up operation of a new training organization, or the implementation of an additional model course at an existing training organization.

There are three stages to the audit process:

## STAGE 1 – PRE-ONSITE

### Application for accreditation and approval of model courses

The training organization submits an application with supporting documentation to demonstrate that:

* Training is being provided within a functioning quality management system.
* The course material and curricula comply with the IALA model courses
* Instructors and assessors are properly qualified to deliver training and assess competency of students.

The competent authority should develop procedures to provide guidance and assist training organizations in their application for accreditation. Example compliance matrix’s are available in Annex A and B.

### Appointment of the audit team

Following the receipt of an application an audit team is appointed to assess the application and where appropriate, plan and undertake the audit. Note – the audit team may consist of one, or more people.

### Preliminary assessment

The audit team is to assess the compliance matrix and supporting documentation in terms of how the applicant’s response demonstrates they have a functioning quality management system, and has systems and processes in place to satisfy compliance with the audit criteria.

During the preliminary assessment consideration may be given to identifying areas of concern, or where the compliance audit should focus.

Where the audit team determines that the information provided is insufficient for the audit to proceed then communications with the applicant should occur with a view to rectifying the issue/s identified.

Where the information provided demonstrates the applicant could provide objective evidence during the audit to meet the accreditation and approval of the model course requirements, then the team should prepare an audit plan.

### Audit plan

An audit plan should be developed to outline the audit activities that will be carried out in order to achieve the audit objectives. The audit plan should contain:

* Audit date/s.
* Audit location/s.
* Objective and scope and of the audit. The scope of an audit is typically a statement that specifies the focus, extent, and boundary of a particular audit.
* Audit criteria.
* Audit timetable. The audit timetable should include the date and places where on-site activities will be conducted, and the expected time and duration of each activity including the opening meeting, overview of operations and closing meeting.
* Any other areas that may be reviewed.

## STAGE 2 – ONSITE

### Opening meeting

An opening meeting should be held at the beginning of the audit to:

* introduce the audit team
* explain the purpose of the audit
* explain the audit objectives, scope and criteria (this will help keep the audit on track)
* provide a short summary of how the audit activities will be undertaken (e.g. sampling of objective evidence which will form the basis of the findings, audit report prepared) and proposed an audit timetable
* ensure that access to appropriate personnel and resources are available for the audit team
* provide opportunity for the auditee to ask questions

### Collecting audit evidence / audit findings

A sampling approach is often undertaken during an audit to demonstrate by way of objective evidence that the auditee has systems and processes in place to show conformance with the audit criteria. This may include:

* Document verification – The documentation referred to by the applicant in the compliance matrix and supporting documentation should be verified. For example, it should be:
* Complete - all expected content is contained in the document
* Correct - the content conforms to other reliable sources such as standards and regulations
* Consistent - the document is consistent in itself and with related documents
* Current - the content is up to date and version control maintained.
* Records – Records such as minutes of meetings, audit reports, student feedback, monitoring programs, measurement processes and statistical reports should be reviewed as applicable, to demonstrate conformance with relevant audit criteria.
* Interviews – Interviews are an important way to collect information by allowing the interviewee to explain or clarify their operations, however this information needs to be verified with supporting information such as observations and records.
* Observing training delivery – Where possible, the instructor’s delivery, the interaction between instructor and students, and student assessments should be observed. Key areas that should be assessed when observing training include:
* teaching design,
* teaching key points and difficult points,
* instructors language competence,
* students’ class exercise and practice,
* interaction between the instructors and students,
* teaching quality assessment and so on.
* Data Summaries – Analysis of data often provides a useful mechanism to confirm that procedures are being followed and key items being reported to management.

Once evidence has been assessed and compliance with requirements determined, auditors should document their findings which will form the basis to compile the audit report.

### Closing meeting

A closing meeting should be held at the end of the audit to:

* provide a general indication of the preliminary audit findings. It is important that the auditor indicates that findings are preliminary and that the final conclusions could be subject to change once all evidence is fully considered
* provide a briefing on any items needing immediate attention
* request any further information or clarification in order to finalise audit findings
* inform the applicant that they will be able to comment on the draft audit findings and the Corrective Action Plan

## STAGE 3 – POST-ONSITE

### Audit report

A report on the audit should be prepared summarising the audit findings and conclusions. There are two possible outcomes from the audit:

1. Audit criteria satisfied

The auditors conclude the objective evidence provided demonstrates that the training organization meets the criteria for accreditation and approval of the model courses they applied to deliver.

Under this scenario, the competent authority can issue the certificate of accreditation, and approval of the model courses they applied to deliver.

1. Audit criteria **not** satisfied

The auditors conclude there was insufficient objective evidence provided to demonstrate the training organization meets the criteria for accreditation and approval of the model courses they applied to deliver.

Under this scenario, the competent authority should notify the training organization and provide reasons to why the certificate of accreditation should not be issued.

In both scenarios, the audit report and corrective action plan should be prepared, and provided to the applicant.

### Corrective action plan

The purpose of a corrective action plan is for the auditors and auditee to agree on a course of action to deal with non-compliances identified during the audit. The corrective action plan can be developed with input from auditee representatives to ensure that the actions required are appropriate, fully understood and achievable.

The corrective action plan should:

* List the audit findings (e.g. minor non-conformances, observations and opportunities for improvement). The findings should not be prescriptive recommendations on how to address the non-compliances, but rather to describe what was not evident, or in place the time the audit was conduct.
* Auditees should provide a response to each finding in terms of proposed corrective actions to be taken to address the audit findings by a proposed close out date.

The competent authority should closely monitor and follow-up progress with the auditee to close out outstanding non-conformities. The auditor should review the proposed corrective actions submitted by the training organization and determine their acceptability.

Depending on the nature of the non-conformities the auditor may require a follow‐up periodic audit to confirm effectiveness of the implemented corrective actions, or in the case of major non‐conformities the auditor may recommend the certificate of accreditation be suspended until corrective action has been successfully completed.

## Other Considerations

### USE OF THIRD-PARTY ORGANIZATIONS FOR THE AUDIT PROCESS

The competent authority may decide to recognise a third‐party organization, such as an international certification company, or another national authority or organization, as qualified fully to conduct audits in full or in part on its behalf. In that case, the competent authority should ensure that the audit process has been conducted in accordance with this guideline.

The final decision and responsibility with respect to granting the accreditation and approval rests with the competent authority. The competent authority must issue certificate of accreditation.

# CERTIFICATION OF ACCREDIATION

## INTERIM APPROVAL ARRANGEMENTS

In order to facilitate the start-up operation of a new training organization, or the implementation of a new model course at an existing training organization, the competent authority may grant an interim approval for the delivery of a single course within a defined timeframe, for example 12 months.

The interim approval process should consist of a desktop assessment that covers the elements described in Section 3 (Accreditation) and Section 4 (Approval of model courses) with the exception of the physical audit that should be conducted while the course is in progress.

An interim approval should be valid for the initial delivery of a model course. This will enable the training organization to attract students to the course and enable the full accreditation and approval audit to be conducted while the course is in process.

## ISSUING CERTIFICATE OF ACCREDITATION

The competent authority may issue the certificate of accreditation where the training organisation has demonstrated through the compliance audit they meet the criteria for accreditation, and approval of the model courses they applied to deliver. A sample copy of the certificate is located in Annex C.

The competent authority should determine the period of validity for the certificate of accreditation and it is recommended that the maximum period should not normally exceed five years. Open-ended certificates should not be issued.

Information to be contained on the certificate includes:

* Certificate number - A unique serial number should be inserted.
* Name of training organization - The full name of the training organization, as given in their official documentation.
* *Address of training organization (Optional) - The full address of the training organization, as given in their official documentation, should be inserted. This may not necessarily be the address where the audit took place or where the training will be given.*
* Name of competent authority - The full name of the competent authority issuing the certificate.
* *Issuing Authority/Organization (Optional) - The name of the issuing authority or organization.*
* Date of certificate - The date on which the certificate is awarded or issued. Note - this may not necessarily be the same as the date on which the audit was completed.
* Expiry date - The expiry date should normally be five years less one day after the date on which the certificate was awarded.
* List of the model courses – List of the courses the organization is approved to deliver.
* Other conditions – It may be relevant to list any other conditions that the training organization needs to comply with.

The competent authority should retain a copy of the certificate for their records, and forward an electronic copy to IALA secretariat ([XXX@iala-aism.org](mailto:XXX@iala-aism.org)).

## MAINTAINING ACCREDITATION

During the period of accreditation a competent authority may consider the use of periodic audits and associated compliance matrixes to ensure the accredited training organisation continues to conform with the practices specified in Recommendation 0149 on *the Accreditation of Training Organizations* and this guidance described in this Guideline.

Examples of how this could be adopted include:

* an audit conducted approximately half way through the validity period
* where concerns have been raised regarding the delivery of the courses they have been approved to deliver.
* Requiring an annual report listing the number of students attending courses, details of current instructors/assessors, copies of student feedback results etc.

Periodic audits may also aim to ensure the model courses for which the training organization is approved to deliver are being implemented in a manner consistent with the respective model course, and that updates to the model course, IALA recommendations and guidelines are incorporated into training materials.

The competent authority should have procedures in place to facilitate any amendments that may be required by the training organization during the period of validity for which the certificate of accreditation has been issued.

## RENEWAL ACCREDITATION

If the training organization intends to continue operating after the expiration of the certificate of accreditation, the competent authority should conduct an appropriate audit similar to the initial audit to renew accreditation, and approve the model courses they intend to deliver. Ideally, this audit should be completed within 6 months of the certificate expiry date.

This renewal audit ensures the necessary standards are being maintained, and that a new certification of accreditation can be issued.

## WITHDRAWAL OF ACCREDITATION

The training organization may notify the competent authority that they no longer require their accreditation, or intend to deliver their approved model courses.

Similarly, the competent authority may consider suspending or withdrawing their certificate of accreditation where a training organization is not able to demonstrate compliance with the relevant quality standards, and the requirements for the implementation, delivery and assessment of the respective model course.

Where a certificate of accreditation is withdrawn, IALA should be informed so records can be updated and reflected accordingly on the IALA website.

# ENGAGING IALA AND USE OF IALA LOGO

The competent authority should inform IALA that a request has been made for the accreditation of a new training organization. If necessary, IALA can provide further advice on the accreditation and approval process.

The use of IALA logo indicates that the accreditation and approval process complies with these Guidelines. The IALA logo may only be used by IALA member countries.

Once an accreditation and approval process has been completed, the competent authority should provide copies of the certificate of accreditation and the report on the audit process to IALA.

Following receipt of these documents, the details of the training organization will be added to the IALA website and copies of the IALA logo provided to the training organization. The training organization will then have permission to use the IALA logo for the duration of the validity of their certificate of accreditation. The IALA logo may only be used by training organizations located in a country that is a national member of IALA.

# INTERNATIONAL RECOGNITION OF ACCREDITED TRAINING ORGANIZATIONS

The accreditation and approval process will initially apply to the training of students to operate in one country unless reciprocal arrangements with the competent authority of another country (or countries) have been made. The final decision on such arrangements lies with the competent authority to be satisfied that the training arrangements comply with IALA standards.

This process should be conducted on a formal basis through a process of written recognition via a memorandum of understanding, or other appropriate instrument.

# GLOSSARY

To assist in the use of these Guidelines, the following definitions and clarifications have been used:

**Accreditation** is the formal endorsement by the competent authority that a training organization operates under quality standards to deliver effective training and to assess the competency of students.

**Approval** is the formal endorsement by the competent authority that a training organization meets the standards specified in an IALA model course for its implementation, delivery and assessment.

**Audit** is a systematic and independent verification process to assess whether the training organization has met the required standards.

**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.

**Compliance Matrix** – A document that assists both the training organization to prepare prior to the audit, and for auditors during the audit to ensure that the management system addresses and conforms to the quality standard.

**Interim Approval** is issued when a training organization seeks to deliver an IALA model course for the first time. The interim approval is valid for the first presentation of the course to enable a full approval audit to be undertaken by a competent authority.

**Model course** – IALA Model Courses are training documents which define the level of training and knowledge needed to reach levels of competence defined by IALA.

**Quality Standards** - ……..

**Quality Management System** (QMS) is a documented process of the training organization 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.

**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.

**Simulator Training** is the simulation of operational events, practices and procedures to instruct students and assess their ability to demonstrate their levels of competence.

**Training organization** – An entity accredited by the competent authority approved to deliver one or more IALA model courses.

# ACRONYMS

ISO

EOMS -

STCW

1. EXAMPLE COMPLIANCE MATRIX FOR ACCREDITATION

This example compliance matrix assumes that the training organization operates under an established management system for educational organizations (eg ISO 21001:2018). In the event where a training organization has not, then they need to demonstrate to the competent authority how their procedures and processes map to this ISO Standard, for example, they may use another equivalent form of quality standards such as ISO 9001:2015.

**Audit details**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Organization Name |  | | | |
| Organization Contact |  | | | |
| Phone/Mobile |  | | | |
| Email |  | | | |
| Type of Audit |  Initial |  Interim |  Renewal |  Follow-up |

This compliance matrix aligns to the clauses in the ISO Standard 21001:2018 on *‘Educational organizations – management systems for educational organizations – requirements with guidance for use’*. Please refer directly to the ISO 21001:2018 standard for more detail on these clauses.

To assist the auditor during the audit process, any cross references to documents and other general comments should be included by the auditee on their application as required.

|  |  |  |  |
| --- | --- | --- | --- |
| **Ref #** | **Elements** | **Auditee** | |
| **References** | **Comments** |
| **4** | **CONTEXT OF THE ORGANIZATION** |  |  |
| 4.1 | Does the training organization maintain and operate under an EOMS? Is the EOMS:   * Certified by an accredited third party, * Assessed by a third party, or * Self-assessed. |  |  |
| 4.2 | Has the scope of the management system been defined? |  |  |
| **5** | **LEADERSHIP** |  |  |
| **5.1** | **Leadership and commitment** |  |  |
| 5.1.1 | How does top management support the EOMS? |  |  |
| **5.2** | **Policy** |  |  |
| 5.2.1 | Has an educational organizational policy been established? Does the policy reflect the training organizations commitment to achieving its goals and objectives, and to fulfilling the training needs of students? |  |  |
| 5.2.2 | How is this policy communicated, understood and applied within the organization? |  |  |
| **5.3** | **Organizational roles, responsibilities and authorities** |  |  |
|  | ? |  |  |
| **6** | **PLANNING** |  |  |
| 6.1 | How does the strategic and business planning activities ensure the training outcomes are met? |  |  |
| **7** | **SUPPORT** |  |  |
| **7.1** | **Resources** |  |  |
| 7.1.1 | Are there procedures/processes in place to ensure learning resources are reviewed at planned intervals and materials are up to date? |  |  |
| **7.2** | **Competence** |  |  |
| 7.2.1 | How does the training organization determine the competency of its instructors/assessors in terms of education, training experience? Are there procedures/processes in place? |  |  |
| 7.2.2 | How is the performance of instructors/assessors evaluated? |  |  |
| **7.3** | **Awareness** |  |  |
| 7.3.1 | How does the training organization ensure that:   * persons doing work under the training organizations control is aware of the EOMS, and * they contribute to the effectiveness of the EOMS? |  |  |
| **7.4** | **Communication** |  |  |
|  | ?? |  |  |
| **7.5** | **Documented information** |  |  |
| 7.5.1 | Are there procedures/processes to address the control of documents and records, such as:   * distribution, access, retrieval and use; * protection and security, including redundancy; * storage and preservation, including preservation of legibility; * control of changes (e.g. version control); * retention and disposition; * ensuring confidentiality; * prevention of the unintended use of obsolete documented information. |  |  |
| **8** | **OPERATION** |  |  |
| **8.1** | **Operational planning and control** |  |  |
|  | ? |  |  |
| **8.2** | **Requirements for the educational products and services** |  |  |
|  | ? |  |  |
| **8.3** | **Design and development of the educational products and services** |  |  |
|  | Are there procedures in place for periodic design reviewing the curriculum, and educational materials? |  |  |
|  | ***Refer to the Annex B - Compliance Matrix for the Approval of model courses for detailed information on the design and development of individual model courses.*** |  |  |
| **8.4** | **Control of externally provided processes, products and services** |  |  |
|  | ***Refer to the Ref# 4.6.1 of Annex B - Compliance Matrix for the Approval of model courses for detailed information on the design and development of individual model courses.*** |  |  |
| **8.5** | **Delivery of the educational products and services** |  |  |
|  | ??? perhaps refer to Annex B |  |  |
| **8.6** | **Release of the educational products and services** |  |  |
|  | ? |  |  |
| **8.7** | **Control of the educational nonconforming outputs** |  |  |
|  | ? |  |  |
| **9** | **PERFORMANCE EVALUATION** |  |  |
| **9.1** | **Monitoring, measurement, analysis and evaluation** |  |  |
| 9.1.1 | How is the satisfaction of learners, other beneficiaries and staff both negative (eg complaints, appeals) and positive (eg compliments) feedback being measured and evaluated? |  |  |
| 9.1.2 | Are there procedures in place for addressing complaints and appeals? |  |  |
| 9.1.3 | Are there procedures in place for feedback collection, evaluation and improvements? |  |  |
| **9.2** | **Internal audit** |  |  |
| 9.2.1 | Are internal audits being carried out at planned intervals? When was the last internal audit? |  |  |
| 9.2.2 | Has an audit programme been established? |  |  |
| 9.2.3 | Is a copy of the last internal audit report available? |  |  |
| **9.3** | **Management review** |  |  |
| 9.3.1 | Are management reviews carried out at planned intervals (eg at least once per year)? |  |  |
| 9.3.2 | Are outputs from management reviews documented? |  |  |
| **10** | **IMPROVEMENT** |  |  |
| **10.1** | **Nonconformity and corrective action** |  |  |
| 10.1.1 | Are there procedures/processes in place to deal with non-conformities (eg to react, evaluate, implement and review the effectiveness of actions taken) |  |  |
| 10.1.2 | Are nonconformities documented including any subsequent corrective actions taken? |  |  |
| **10.2** | **Continual improvement** |  |  |
|  | ?? |  |  |
| **10.3** | **Opportunities for improvement** |  |  |
| 10.3.1 | Are there procedures/processes to identify and manage opportunities for improvement? |  |  |

1. EXAMPLE COMPLIANCE MATRIX FOR THE APPROVAL OF MODEL COURSES

A separate compliance matrix will need to be developed for each IALA model course. The training organization should complete the compliance matrix for each course they intend to deliver.

**Audit details**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Organization Name |  | | | |
| Organization Contact |  | | | |
| Phone/Mobile |  | | | |
| Email |  | | | |
| Type of Audit |  Initial |  Interim |  Renewal |  Follow-up |
| Model Course |  V-103/1 |  V-103/2 |  V-103/4 |  Recurrent V-103/5 |

**General**

This section are general questions that relate to, and aligns with section 4 of this Guideline.

| **Ref #** | **Elements** | **Auditee** | |
| --- | --- | --- | --- |
| **References** | **Comments** |
| 4.1 | **COURSE CURRICULUM** |  |  |
| 4.1.1 | Do the lesson plans detail: |  |  |
| 4.1.1.1 | * The methodology of learning and teaching techniques employed to meet the learning outcomes. |  |  |
| 4.1.1.2 | * Time spent (eg number of hours) allocated to particular subjects or module elements. |  |  |
| 4.1.1.3 | * Total course duration (if the proposed teaching hours differ greatly from the nominal hours given in the Model Course, the methodology to achieve the objectives is to be substantiated). |  |  |
| 4.1.2 | Where national requirements have been identified for a model course, have these been taken into account? |  |  |
| **4.2** | **ENTRY STANDARDS** |  |  |
| 4.2.1 | Have the student’s pre-requisite requirements been specified? |  |  |
| 4.2.2 | Are there procedures to evaluate and ensure students pre-requisite requirements are met? |  |  |
| 4.2.3 | Are there documented procedures for the recognition of prior learning? |  |  |
| **4.3** | **CONDUCT OF TRAINING** |  |  |
| 4.3.1 | What is the student / staff ratio for this course? How was this determined? |  |  |
| 4.3.2 | Course notes, delivery material and reference documents: |  |  |
| 4.3.2.1 | * Are the course notes and reference material available to students? |  |  |
| 4.3.2.2 | * Is information available on the how the course will be delivered? Does this vary depending on the delivery material used (eg classroom, e-learning, distance or blended) |  |  |
| 4.3.2.3 | * Does the course presentations / simulation training met the learning outcomes? |  |  |
| 4.3.2.4 | * Is the training materials of a suitable quality and substance to enable the student to complete the course? |  |  |
| 4.3.3 | Is the training facilities and equipment suitable for course delivery? |  |  |
| 4.3.4 | If relevant, what simulation training is being used? |  |  |
| **4.4** | **QUALIFICATIONS OF INSTRUCTORS AND ASSESSORS** |  |  |
| 4.4.1 | Provide information on the instructors and assessors conducting the course, including information on their qualifications, experience in their subject, teaching skills and assessment skills. |  |  |
| 4.4.2 | Are instructors and assessors qualified to conduct simulation training? |  |  |
| **4.5** | **STUDENT ASSESSMENT PROCEDURES** |  |  |
| 4.5.1 | Are there documented procedures on how the competency of students will be assessed? |  |  |
| 4.5.2 | Are student records being maintained? |  |  |
| 4.5.3 | Are there procedures/processes to how model course certificates will be issued? |  |  |
| 4.5.4 | Does the course certificate include:   * + the name of the student;   + the country in which it was awarded;   + authorised signature of the accredited training organization;   + the name of the relevant model course;   + unique identification information;   + the date of award; and   + the unique course certificate number. |  |  |
| 4.5.5 | Is the VTS model course certificates in the official language or languages of the awarding country? *Note - If the language is not English, then a translation should be available.* |  |  |
| **4.6.1** | **OUTSOURCING OF MODEL COURSE DELIVERY** |  |  |
| 4.6.1.1 | Are third parties being used to deliver the model course, in full or in part? |  |  |
| 4.6.1.2 | What mechanisms are employed to ensure that the services provided by the third party are: |  |  |
| 4.6.1.2.1 | * in compliance with the relevant IALA model course |  |  |
| 4.6.1.2.2 | * consistent with the training organization EOMS. |  |  |
| 4.6.1.3 | How is the third party is trained in, and made aware of the requirements and procedures of the training organizations EOMS? |  |  |

There may be a small handful of additional questions from the existing Guideline that may be useful either here in Annex B or Annex A. ….. but most will need to be reworded to align with terminology in ISO 21001:2018.

|  |  |
| --- | --- |
|  | **2.10 Training Development** |
|  | **2.10.1 Training Course Development** |
| 2.10.1.1 | Is there a documented procedure to control and verify the development in training courses in order to ensure that training requirements are met? |
| 2.10.1.2 | Does the training course development procedure ensure that: |
|  | 1. Responsibility and authority for training course development and review activities are assigned to qualified personnel? |
|  | 1. Requirements for the pertinent model course and the authority are taken into account? |
|  | 1. Training course objectives are defined in terms of targeted qualifications? |
|  | 1. Students knowledge and competence requirements are taken into account? |
|  | 1. Appropriate use of simulators is taken into account? |
|  | 1. Appropriate reference documents are made available to persons involved in training course development? |
|  | 1. Ambiguities within the training course documentation are resolved? |
|  | 1. Review of training course documentation is controlled? |
| 2.10.1.3 | Are records of training course development maintained? |
|  | **2.10.3 Training Plan** |
| 2.10.3.1 | Are the training plans for each course defined and documented? |
| 2.10.3.2 | Do these plans include: |
|  | 1. A description of the training course? |
|  | 1. Prerequisite student qualifications? |
|  | 1. Identification of required resources? |
|  | 1. Instructor/examiner qualification requirements? |
|  | 1. Instructor to student ratio? |
|  | 1. Reference to course materials, applicable TMS procedures and documentation? |
|  | 1. Procedures or instructions specific to delivery of the course? |
|  | 1. Criteria for and methods of evaluating students competence, knowledge, understanding and proficiency as documented in IALA Recommendation V-103? |
|  | **2.11 TRAINING SUPPORT PROCEDURES** |
| 2.11.1 | Do documented procedures exist for functions that support the delivery of training? |
| 2.11.2 | Are these activities identified, planned and conducted under controlled conditions? |
| 2.11.3 | Do these controlled conditions include: |
|  | 1. Documented procedures where their absence could adversely affect training? |
|  | 1. Use and availability of suitable equipment and facilities? |
|  | 1. Maintenance of facilities and equipment that have a direct impact upon training? |
|  | 1. Observance of documented safety procedures? |
|  | **2.12 APPLICATION REVIEW** |
| 2.12.1 | Do documented procedures exist for reviewing the qualification of applicants? |
| 2.12.2 | Do these procedures: |
|  | 1. Identify the qualification sought by the applicant? |
|  | 1. Evaluate applicant’s stated qualification against prerequisite requirements for the pertinent training course? |
|  | 1. Determine suitability of the training course for providing qualifications sought by the applicant? |
|  | 1. Communicate with the applicant regarding suitability of course(s) and curricula offered to fulfil the students qualifications needs? |
| 2.12.3 | Are records of application review maintained? |
|  | **2.13 VERIFICATION OF STUDENTS COMPETENCE** |
|  | **~~2.12.3 Aptitude/Assessment Testing~~** |
| ~~2.13.1.1~~ | ~~Is a procedure in place to test candidate’s suitability for VTS operator basic training?~~ |
|  | **2.13.2 Acceptance Verification** |
| 2.13.2.1 | Is there a procedure in place to ensure student candidates fulfil prerequisite requirements detailed in the applicable training plan? |
| 2.13.2.2 | Is the identity of student candidates confirmed and suitable evidence of prerequisite qualifications sought prior to commencement of training? |
|  | **2.13.3 Examinations and Competence** |
| 2.13.3.1 | 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? |
| 2.13.3.2 | Do documented procedures exist for the development and administration of examinations and tests of competence? |
| 2.13.3.3 | Is the responsibility and authority for evaluation of student knowledge or competence defined? |
|  | **2.13.4 Satisfactory Completion** |
| 2.13.4.1 | Are records of examinations of student knowledge and competence maintained in accordance the requirements of the authority? |
|  | **2.13.5 Student Progress** |
| 2.13.5.1 | Does a documented procedure exist for identifying and recording student progress from application through completion of training? |
|  | **2.15 CONTROL OF STUDENT LEARNING DEFICIENCIES** |
| 2.15.1 | Do documented procedures exist for the evaluation of student knowledge and competence? |
| 2.15.2 | Where appropriate, are students: |
|  | 1. Retained and re-examined in the specific area where deficiencies are noted? |
|  | 1. Failed and required to repeat the training course? |
|  | 1. Recommended to cease training? |

**Specific details on each Model Course**

The training organization should provide information on how the course module elements are being delivered, for example, covered in Lesson Plan X or Simulation Exercise Y. Copies of the lesson plans should be made available for review either prior to, or during the audit.

This example below is for the V103/1 model course:

| **Ref #** | **Elements** | **Auditee** | |
| --- | --- | --- | --- |
| **Represents Module and Unit Subject Area as identified in  IALA Model Course V103/1 - VTS Operator** | **References to Lesson Plans / Exercises etc** | **Comments** |
|  | **MODULE 1 - Language** |  |  |
| **Language Structure** | Explain the use of English for special purposes, redundancy and precision   * The exclusion of all items, except those directly applicable to the subject * Legal and engineering terminology and their different structures * Advantages and disadvantages of redundancy * The choice of precise words to express meaning |  |  |
| Describe the techniques to eliminate ambiguity   * ‘Conditional’ words and their elimination in VTS messages * Consequences of misuse of ‘conditional’ words |  |  |
| Describe the use of message markers and the meaning they imply   * Legal implications of using message markers, particularly “Warning”, “Information”, “Advice” and “Instruction” * Legal and psychological relationship between master, pilot and VTS, and the use of message markers * Examples from operational VTS |  |  |
| **Specific VTS message construction** | Construct VTS messages   * Practical communications * Examples from ‘Basic English’ and ‘ICAO English’ * Explain speech techniques to imply higher message status |  |  |
| **Standard Phrases** | State the advantages, disadvantages and application of SMCP   * Use of standard phrases to trigger predictable actions * Limiting the number of standard phrases to ensure recognition and memory retention * When standard phrases are not the best method available |  |  |
| Demonstrate the use of IMO Standard Marine Communication Phrases (SMCP)   * Introduction to the SMCP - Its overall construction and origins * The use of the SMCP on ships, particularly during emergency situations and distress * When and how to use the SMCP in response to ships using the system * Exercise: Use of SMCP in simulation and in actual recorded events |  |  |
| Explain when and how to use the SMCP within a VTS (Part 3, section 6 of the SMCP   * General layout * Exercise: Use of SMCP by a VTS in simulation and recorded VTS events |  |  |
| **Collecting information** | Describe information collection and questioning techniques   * Direct questioning using message markers * Linguistic problems in using voice tone to pose a question * Rejection of abstract questions and double questions * Sarcasm in questioning. |  |  |
|  | **MODULE 2 – TRAFFIC MANAGEMENT** |  |  |
|  | ….. list individual unit subject areas of the model courses |  |  |
|  | **MODULE 3 - EQUIPMENT** |  |  |
|  | ….. list individual unit subject areas of the model courses |  |  |
|  | **MODULE 4 – NAUTICAL KNOWLEDGE** |  |  |
|  | ….. list individual unit subject areas of the model courses |  |  |
|  | **MODULE 5 – COMMUNICATION** |  |  |
|  | ….. list individual unit subject areas of the model courses |  |  |
|  | **MODULE 6 – VHF RADIO** |  |  |
|  | ….. list individual unit subject areas of the model courses |  |  |
|  | **MODULE 7 - PERSONAL ATTRIBUTES** |  |  |
|  | ….. list individual unit subject areas of the model courses |  |  |
|  | **MODULE 8 – EMERGENCY SITUATION** |  |  |
|  | ….. list individual unit subject areas of the model courses |  |  |

1. EXAMPLE COPY OF CERTIFICATE OF ACCREDIATION

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Logo of IALA if the accreditation /approval process has been approved by IALA  Logo of issuing competent authority or designated body/ organization on behalf of the Competent Authority  **CERTIFICATE OF ACCREDIATION**  This is to certify that  **[Enter name of Training organization]**  *[Optional - Enter address of Training organization]*  has been accredited as a  **VTS TRAINING ORGANIZATION**  The approved VTS training course[s] that the VTS Training organization may provide are:   * IALA Model Course XXX on XXX * IALA Model Course XXX on XXX   **Conditions of Authorisation**  [Enter name of Training organization] must operate in accordance *with IALA Guideline 1014 on the Accreditation of VTS training organizations and approval of IALA model courses*, as in force from time to time.  [List any other conditions that may apply (for example, subject to periodic audit(s) etc)]  Issued by [Enter name of competent authority (*alternatively - Issued by [Issuing Authority/Organization] on behalf of [Enter name of competent authority])*] on [Enter date of certificate] and valid until [Enter expiry date].   |  |  | | --- | --- | |  |  | | Authorised Signature | Stamp of the issuing Authority |  |  |  |  |  |  | | --- | --- | --- | --- | --- | | Certificate Number - Version: | **[Unique number]** |  | Certificate Issued: | **[Date of certificate]** | |  |  |  | Expiry Date: | **[Expiry date]** | |

**TEXT THAT MAY BE USEFUL SOMEWHERE**

Should this best practice material still be included within this guideline or another one ??? or could it be deleted?

**RECOMMENDED PRACTICES AND PROCEDURES FOR VTS TRAINING ORGANIZATIONS**

Organizations 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.
   1. Clearly identify and carry out an assessment of prior learning to ensure all competencies, as indicated in IALA Recommendation V-103, are met.
   2. Establish and maintain documented procedures that specify:
      1. 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;
      2. control and assessment activities put in place to ensure trainees acquire the necessary levels of competence for each module of the appropriate model course.
      3. appropriate training facilities to meet the documented training objectives.
      4. maintenance procedures for the training facility’s equipment.
      5. qualifications and competence requirements of instructors and assessors.
      6. adherence to appropriate health and safety requirements and regulations.
   3. Ensure all aspects of study progression are documented and disseminated to trainees, VTS Authorities and course managers as required.
   4. Continually control and evaluate teaching activities to ensure the learning results are in accordance with the appropriate course plan.
   5. 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.
   6. Establish procedures for the maintenance and use of equipment during the training in order to ensure that:
      1. equipment and systems are maintained in accordance with the manufacturer’s instructions and, where appropriate, calibrated as and when necessary.
      2. equipment and systems are operated in a safe and efficient manner.
      3. working conditions in the training environment, such as lighting, ventilation and heating, conform to appropriate rules and regulations.
   7. 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.