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| IALA Guideline |

Guideline XXXX

TRAINING NEEDS FOR PLANNING AND IMPLEMENTING VTS

Edition 1.0

December 20XX

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

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# DOCUMENT PURPOSE

The purpose of the guidance is to assist Contracting Governments, Competent Authorities and VTS authorities [providers] in establishing, planning and implementing VTS effectively in a manner consistent with their international obligations under SOLAS and to conform with IALA Standards.

In particular, the guidance provides a mechanism to ensure those responsible for the planning and implementation are competent in the practices described in *Recommendation RO119 - The Implementation of Vessel Traffic Service*s and to implement those practices as described in *Guideline 1150 - Establishment of Vessel Traffic Services*.

For the purpose of this guidance competence is defined as having the necessary knowledge, skills and capability to effectively and efficiently establish, plan and implement VTS to expected and recognised standards.

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| IALA *Guideline XXXX – Training Needs Planning and Implementing VTS* is associated with *Recommendation R0119 <to follow> as the document matures*. |

# INTRODUCTION

The IMO Convention for the Safety of Life at Sea (SOLAS) 1974 - Chapter V (Safety of Navigation), Regulation 12 provides for Vessel Traffic Services and states that:

*“Contracting Governments undertake to arrange for the* ***establishment of Vessel Traffic Services*** *where, in their opinion, the volume of traffic or the degree of risk justifies such services”;*

Under the general provisions of treaty law and of IMO conventions, States are responsible for promulgating laws and regulations and for taking all other steps which may be necessary to give those instruments full and complete effect so as to ensure safety of life at sea and protection of the marine environment.

IMO Resolution A.857(20) Guidelines for Vessel Traffic Services invites Governments to take account of the annexed Guidelines when developing, implementing and operating vessel traffic services, specifically setting out the responsibilities of Contracting Governments for ***planning and implementing*** a vessel traffic service.

IALAG1150 provides the framework to assist authorities implement practices specified in IALA R0119. This includes arranging for establishing, planning and implementing VTS.

# OVERVIEW

The implementation of VTS to improve the safety and efficiency of navigation, safety of life at sea and the protection of the marine environment, and its ongoing operation, is a significant investment.

Careful planning should be undertaken to ensure VTS is implemented effectively, achieves its objectives and is sufficiently resourced and funded on an ongoing basis.

A key factor in achieving this is ensuring that those involved in the planning and implementation are familiar with the international framework for VTS and competency to implement the practices specified in RO119 and associated G1150.

The key areas include:

| **Activity** | | **Key Components** |
| --- | --- | --- |
| **ESTABLISHING** |  | How to give effect to regulation V/12 of the Convention?  *International Framework and Obligations*  *National law* |
| **PLANNING** |  | How to plan for VTS?  *Comprehensive information gathering and analysis process to determine the need for VTS, the feasibility of operating VTS and the design necessary to achieve the needs identified* |
| **IMPLEMENTING** |  | How to implement VTS?  *Project Management*  *Procurement*  *Conformance with IMO Resolution A.857(20) and IALA Standards*  *Authorisation* |

# ESTABLISHING



The international framework for establishing VTS includes:

1. International Convention for the Safety of Life at Sea (SOLAS) 1974;
2. IMO Resolution A.857(20) Guidelines for Vessel Traffic Services;
3. IALA Standards; and
4. National Law.

Another key consideration in establishing VTS is setting up the governance framework to ensure the effective implementation and on-going delivery of VTS and that the authority is effectively administering its obligations under SOLAS such as:

* Promulgating laws and regulations and for taking all other steps which may be necessary to give effect to SOLAS regulation V/12 (Vessel Traffic Services);
* Implementing a regulatory framework for establishing and operating VTSs in accordance with relevant international conventions and IMO instruments, IALA standards and national law;;
* Appointing and authorizing a competent authority for VTS;
* Authorizing VTS authorities to operate VTS and ensuring that VTS training is approved and VTS personnel are certified;
* Ensuring appropriate control and monitoring mechanisms are in place to demonstrate the authority is effectively administering its obligations.

Further guidance is provided in IALA Guidelines:

* G1115 – Preparing for an IMO Member State Audit Scheme (IMSAS) on Vessel Traffic Services;
* G1101 – Auditing and Assessing VTS.

Knowledge and competence required to establishing VTS includes:

| **Table 1 - The international framework for establishing VTS includes** | |
| --- | --- |
| **Subject** | **Ability/ Competency** |
| 1. **International Convention for the Safety of Life at Sea (SOLAS) 1974** | Sound understanding of the general provisions of treaty law and of IMO Conventions. *(Note - Kevin Gregory to provide competency matrix/framework for use or words Sound, Good, etc).*  In particular, the responsibility of States for promulgating laws and regulations and for taking all other steps which may be necessary to give those instruments full and complete effect so as to ensure safety of life at sea and protection of the marine environment.  Good understanding of:   * SOLAS Chapter V:   + Regulation 12 – Vessel Traffic Services   + Regulation 10 - Ships' routeing   + Regulation 11 – Ship reporting systems * MARPOL * XXXX   Thorough understanding of the objective, principles, scope, responsibilities and capacity building aspect of the IMO Member State audit scheme as it relates to VTS, including:   * Resolution A.1067(28) on the Framework and Procedures for the IMO Member State Audit Scheme * Resolution A.1070(28) on IMO Instruments Implementation Code (III Code) |
| 1. **IMO Resolution A.857(20) Guidelines for Vessel Traffic Services** | Thorough understanding of IMO Resolution A.857(20) Guidelines for Vessel Traffic Services. In particular:   * The responsibilities to ensure 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. * Establishing appropriate standards for shore and offshore based equipment. * Ensuring the VTS Authority is provided with sufficient staff, appropriately qualified, suitably trained and capable of performing the tasks required; * Establishing appropriate qualifications and training requirements for VTS operators; and * Instructing the VTS Authority to operate the VTS in accordance with relevant IMO Resolutions. |
| 1. **IALA Standards** | * Thorough understanding of the principal components to the IALA document structure relating to VTS including: **Standards** relating to VTS, that is:   + 1040 - Vessel Traffic Services;   + 1010 – Marine Aids to Navigation Planning and Service Requirements   + 1050 - Training and Certification; and   + 1070 – Information Services. * **Recommendations** – In particular, the practices that shall be carried out in order to comply with a Recommendation * **Guidelines** – In particular, how to implement practices normally specified in a Recommendation * **Model Courses** - training documents which define the level of training and knowledge needed to reach levels of competence defined by IALA. |
| 1. **National Law** | A broad understanding of national law, including the regulatory, compliance and enforcement framework. In particular, sufficient understanding and skills to:   * 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 * Ensure that VTS Authorities are appointed and legally empowered; * Instructing the VTS Authority to operate the VTS in accordance with relevant IMO Resolutions * Establishing a policy with respect to violations of VTS regulatory requirements, and ensuring that this policy is consistent with national law.   *<Possibly provide web links to the regulatory frameworks adopted by some countries as examples in an Annex to the guideline>* |
| 1. **Governance** | A thorough understanding of the administration’s policies relating to VTS need to be acquired. Key considerations include establishing policy frameworks for:   * Training and Certification * Compliance and Enforcement * Authorising VTS Providers * Auditing VTS. A proper quality assurance system should be implemented to ensure policies issued by the competent authority are adhered to by the VTS provider and the approved VTS training organization. * An ongoing evaluation of the VTS in terms of meeting its objectives and addressing the reasons for which it was implemented. |

# PLANNING AND IMPLEMENTING

The implementation of VTS to improve the safety and efficiency of navigation, safety of life at sea and the protection of the marine environment, and its ongoing operation, is a significant investment. Careful planning should be undertaken to ensure VTS is implemented effectively, achieves its objectives and is sufficiently resourced and funded on an ongoing basis.

Adopting a project management approach to planning and implementing will ensure the major deliverables, assumptions and constraints are clearly documented and assist in defining the scope of the VTS, its goals and objectives that need to be met.

<establish link to R0119 and associated Guideline>.

### Initiating

In this phase, the idea for implementing VTS is explored and elaborated. The goal of this phase is to define the proposed implementation of VTS at a broad level and its feasibility to address the issues and problems associated with the volume of traffic and degree of risk in the waterway.This invariably required the skills and competence to:

* Undertake a comprehensive information gathering and analysis to enable relevant issues and problems in the maritime area to be identified, assessed, defined and analyzed. Possible issues and problems relating to ship traffic include:
  + Interaction of maritime traffic;
  + Volume and composition of traffic;
  + Protection of the marine environment and the surrounding area; and
  + The local conditions such as geography, hydrological/meteorological, and tides.
* Utilise risk management methodologies to assist in:
  + Determining the need for VTS;
  + Defining the functional requirements needed to achieve the desired level of safety and efficiency and protection of the environment; and
  + Determining the costs associated with implementing VTS and whether the expected reduction in risk would be justified in terms of the level of investment required.

<text to follow>

Risk Assessment

### Planning

Possible topics include:

* Objectives of the VTS
  + The objectives should be clearly stated so that no ambiguity exists as to the purpose of the VTS. (Comment - take account the QMS when describe the objective of the VTS)
* VTS area
  + The VTS area should identify the geographical limits of the VTS, special waterway features/hazards, the type of marine traffic encountered, types of port facilities and adjacent VTS areas (if applicable).
* Equipment / Technologies
  + The type of equipment/technology to be used/installed at the VTS should be listed and defined.
* Qualifications and Training
  + The required qualifications for VTS officers should be identified. Training specifications should also be listed, such as course length, VTS training facilities to be used, type of training to be employed, etc.
* Funding

### Implementing

<Text to follow>