**The Nautical Institute**

# Vessel Traffic Services Training (IALA R0103)

**Scheme of Audit for Accreditation**

The
**Nautical**
Institute

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**Version 2, July 2019**

**The Nautical Institute**

# Vessel Traffic Services Training (IALA R0103)

Design by Phil McAllister Design

The
Nautical
Institute

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# Definitions

**Accreditation** is defined by The Nautical Institute (NI) as the systematic verification of the processes, procedures, methods and techniques employed to deliver a maritime product or service in accordance with standards defined, developed and approved by The NI with industry stakeholders.

**Accreditation** is defined by IALA as a process whereby the competent authority (CA), or an authority designated and approved by the CA, grants recognition to a training organisation for demonstrated ability to meet predetermined criteria for established standards.

**Accredited VTS training** organisations have demonstrated that their training processes and procedures meet the standard required for IALA accreditation. This award is valid for a period as required by the CA, noting that IALA indicates this should be for a period of no longer than five years. The NI provides audit services to support the accreditation of VTS training.

**Approval** is the result of successfully completing the quality assurance process under which a VTS training course is assessed to ensure that the IALA standards are met. In these Guidelines, the accreditation process is for the VTS training organisation and approval is for the actual VTS courses themselves.

**Audit** is a systematic and independent verification process to assess whether the VTS training course concerned meets the IALA V-103 standards as well as the training management system.

**Competent authority** is the authority made responsible, in whole or in part, by a government for the safety, including environmental safety, and efficiency of vessel traffic and the protection of the environment.

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

**Training management system (TMS)** is a quality management system (QMS) designed with the objective of ensuring consistency in the delivery of the course and the assessment of trainees in accordance with the minimum requirements.

**Training organisation** refers to a training facility providing VTS training or to a VTS centre providing on the job training (OJT).

**VTS authority** is the authority with responsibility for the management, operation and coordination of VTS, interaction with participating vessels and the safe and effective provision of services.

*Note:*

**To assess** is to evaluate the nature, ability or quality of the object assessed.

**To verify** is to prove the truth of or check the accuracy of the object examined – by presentation of evidence or testimony .

**To approve** is to have a positive opinion that something is good or acceptable.

# 2 Introduction to the vessel traffic services training (IALA R0103) scheme of audit for accreditation

The IMO Safety of Life at Sea (SOLAS), Chapter V, Regulation 12, identifies the value of implementing a VTS where justified by the volume of traffic and degree of risk. The IMO Assembly Resolution A.857(20) provides further information on the implementation of VTS, including the training of VTS personnel. The IMO Convention on the Standards of Training and Certification of Watchkeepers (STCW) contains regulations concerning training of ships' personnel. STCW 95 adopted Resolution 10 concerning training of maritime pilots, VTS and maritime personnel employed on mobile offshore units. It is recognised that authorities should set standards for VTS operators, in accordance with international guidelines and other relevant material.

Following the the 8th International Symposium on VTS (Rotterdam 1996) IALA developed Recommendation V-103 (R0103) on Standards for Training and Certification of VTS Personnel. There are a series of model courses to support the recommendation. This recommendation identifies that it is the responsibility of the competent authority to accredit and audit VTS training organisations and approve VTS training courses. IALA Guideline 1014 on the Accreditation and Approval Process for VTS Training (edition 3, December 2011) provides guidance on the process to ensure VTS training meets the identified standards in the IMO Resolution and IALA Recommendations and Guidelines. In addition, IALA members have agreed to a set of seven IALA Standards, which include S 1040 on VTS and S 1050 on Training and Certification.

IALA has confirmed that, subject to the formal appointment by a competent authority, The Nautical Institute may provide appropriate support in the implementation of IALA Guideline 1014 on the Accreditation and Approval process for VTS training. The NI recognises that, should such support be provided, the final decision on the accreditation of a VTS training organisation and the approval of the relevant model courses would rest with the competent authority for VTS.

This document provides details of how The Nautical Institute  scheme of audit for accreditation will meet the IALA requirements, as identified through IALA Guideline 1014 edition 3.

The document is intended to provide information to competent authorities for VTS; VTS authorities and VTS training institutions about services that the NI provides to address VTS training accreditation.

### 2.1    Provision of VTS training

VTS training may be provided to meet any, or all of, the identified requirements as defined in the IALA documentation (Table 1):

**Table 1 – IALA VTS Model Courses**

| Model Course Reference | Title | Comments |
| --- | --- | --- |
| V-103/1 | VTS operator training | Initial training for all VTS personnel. |
| V-103/2 | VTS supervisor training | Advanced training for personnel identified as VTS Supervisors |
| V-103/3 | VTS on- the- job training (VTS OJT) | A specific course for the VTS centres, addresses the primary the focus elements for the new VTS officer. |
| V-103/4 | VTS on the job training instructor (VTS OJTI) | Training to prepare VTS personnel to deliver the VTS centre specific V-103/3 training (VTS OJT) |
| V-103/5 | The Revalidation evalidation process for VTS qualification and certification | Presents three elements to support ongoing proficiency: recurrent; adaptation; and updating training. |

Training organisations may provide any or all of the model courses. The NI accreditation scheme for VTS training covers all VTS training. The IALA V-103/3 is designed for implementation at the VTS centre, and the audit process will be specific to the OJT training programme, noting differences in port activities, environmental considerations, interaction with allied services, equipment used and services provided.

IALA recommends that accreditation for VTS training is valid for a period as required by the Competent Authority; IALA indicates this should be for a period of no longer than five years, subject to periodic audits.

On successful completion of the audit and accreditation process, the *Confirmation of Audit Certificate* will be issued. The competent authority should retain one copy of the certificate and forward one copy to the IALA Secretariat. The NI can arrange for the certificate to be sent to the IALA Secretariat with written confirmation from the Competent Authority.

# 3

# NI VTS training scheme of audit for accreditation

## 3.1 VTS training scheme of audit for accreditation governance

The overall goal of the governance approach is to keep up to date on the standard; address any challenges identified; provide opportunity for feedback and continuing improvement; evaluate the effectiveness of the process and provide for consistency in approach.

A governance body will provide all encompassing monitoring of the scheme, and will be made up of one or two competent authorities for VTS; an IALA Representative; a representative from NI headquarters; and a VTS expert from the NI membership.

An NI VTS Policy Group supports the NI accreditation scheme, and operates under these terms of reference:

1. Review work of external bodies such as the IMO and IALA with regards to VTS and VTS training
2. Meet annually with accredited training organisations to share lessons and promote best practice
3. Review and develop the scheme against an ever changing maritime industry and regulatory environment
4. Evaluate effectiveness of the scheme
5. Make decisions and implement actions to improve the scheme and promote best practice
6. Identify measures to promote consistency of VTS training and accreditation
7. Consider and make recommendations for the funding model for the audit scheme
8. Make decisions on a consensus basis.

## 3.2 Quality standards

Bodies providing audits for accreditation services should hold a recognised quality standard and work within a quality management system.

The Nautical Institute is registered against the following quality standard:

● ISO 9001:2015 quality management certified by United Kingdom Accreditation Service (UKAS). Expiry 2020.

# 4 The Nautical Institute audit process

## 4.1 Requesting an audit for accreditation

A competent authority for VTS, a VTS authority or a VTS training organisation wishing to seek The Nautical Institute training scheme of audit for accreditation should apply by contacting the NI's accreditation team with a written request.

### 4.1.1 Request for audit

The request for audit should contain the following information (as appropriate):

- The competent authority(ies) for VTS under which the training is being provided
- Details of the contact person within the competent authority(ies)
- The VTS authority(ies) associated with the training requirement
- Details of the contact person within the VTS authority(ies)
- The training organisation wishing to provide VTS training
- Details of the contact person within the training organisation
- Indication of the IALA VTS Model Course(s) to be approved
- Nature of business.

A form is provided in Appendix 1 to record the application

### 4.1.2 Indication of agreement to proceed

The NI will review applications and confirm with the contacting body. When agreement to proceed is reached, candidate training organisations will be requested to complete a pre-audit questionnaire. This questionnaire will be tailored to the specific circumstances and training to be provided. A template form for the pre-audit questionnaire, based on IALA Guideline 1014, is provided in Appendix 2.

### 4.1.3 Timing of the request

The NI requires completion of the pre-audit questionnaire at least three months before the date requested for assessment so that pre-assessment queries can be resolved and travel booked in good time.

### 4.1.4 Audit agreement

Before progressing with the audit for accreditation and approval process, the training organisation must sign and return the audit agreement with the NI provided at the time of enquiry.

### 4.1.5 Setting an onsite audit date

The NI and the training organisation will agree a date for the onsite audit based on the status of the pre-audit questionnaire, the availability of auditors and the schedule for VTS training by the training organisation. It is required that NI auditors monitor VTS training in progress, including provision of simulation activities.

It is possible that there will be a requirement for two auditors. In this case, one will audit the VTS training specific components while the other, a trained auditor linked to the NI's administrative staff, will audit the training organisation's administrative and management procedures. This requirement may be waived for training organisations who maintain a recognised Quality Management System (QMS) and Training Management System (TMS) as defined in IALA Guideline 1014.

Additional specialist assessors may be identified when appropriate. The actual number of auditors assigned will be at the discretion of the NI.

The number of days will be determined by the training programmes to be accredited. Under normal circumstances, an onsite audit should take between 2-4 days.

## 4.2 Duties and conduct of training scheme of audit for accreditation team members

Team members will:

- Review and report on the materials submitted
- Participate in accreditation and approval visits and related activities in accordance with the standards and policies of the NI
- Maintain confidentiality of information obtained during the accreditation and approval process
- Return all materials received from an applicant, if requested
- Act in the best interest of the training organisation and the NI and in accordance with good professional conduct.

## 4.3 Documentation to be submitted to the NI before the audit

The assessors will require the completed pre-audit questionnaire and supporting documents before confirming the time frame for the audit. All pre-audit questionnaires, including the provision of supplementary information, must be completed. Once the NI is satisfied that all questions have been answered and all documents reviewed, the NI will arrange an audit.

If a previous audit has been carried out, the documentation provided must include the previous audit report, findings and closure report for actions resulting from the audit.

## 4.4 Standard for audit

IALA Guideline 1014 provides the framework for accreditation and approval of VTS training organisations. This document is closely linked with IALA R0103 and the relevant model course(s) identified for the audit.

IALA has identified a two-step approach. First the VTS training organisation receives accreditation to deliver VTS training and then individual training courses are approved.

The general audit process, as identified in IALA Guideline 1014, is identified in Figure 1.
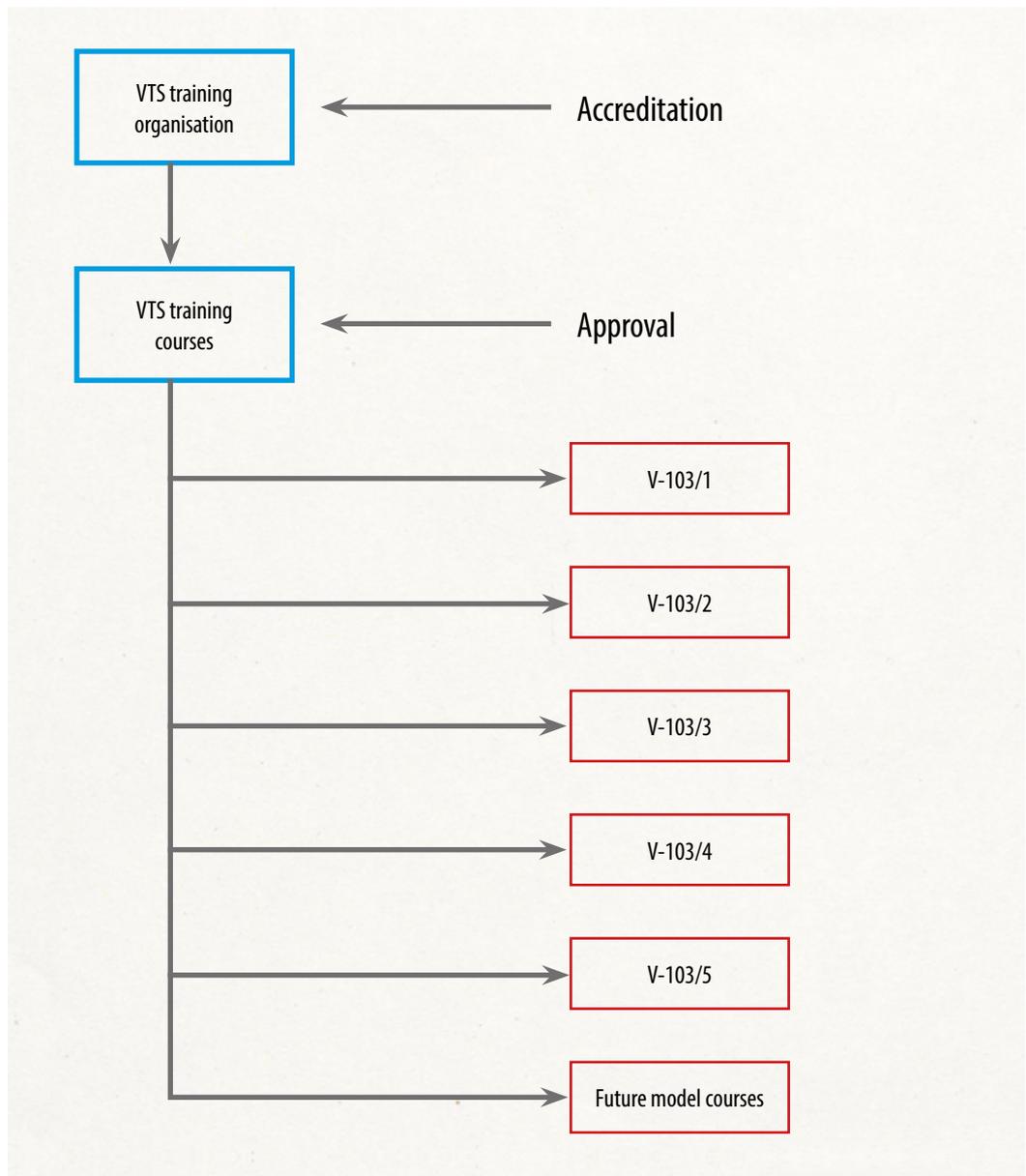
**Figure 1 – IALA VTS accreditation process source: IALA Guideline 1014 Figure 1**

## 4.5    VTS training audit and approval process

In most instances the audit will start with the pre-audit questionnaire review, clarification of any questions arising, an onsite audit and post audit report preparation.

The process may start with contact from the competent authority for VTS, the VTS authority or the VTS training organisation. In all cases, the NI will contact the competent authority for VTS to verify the audit process.

Once an audit for accreditation of the VTS training organisation has been agreed, the NI will confirm the VTS training courses to be approved. The NI will then verify that the VTS training organisation has the pre-audit questionnaire and is ready to proceed.

The audit timing will be agreed between the NI and the VTS training organisation only after the pre-audit questionnaire has been received and accepted by the NI. Following an onsite audit, the NI will prepare an audit report, including any findings. The VTS training organisation will be required to address any findings and provide a completion action plan.

When the NI is confident that the VTS training organisation and the courses being delivered meet the standard required by IALA the NI will issue two copies of the Confirmation of Audit Certificate to the competent authority for VTS. One copy will go to the VTS training organisation and one to the VTS authority (if appropriate). The competent authority for VTS will retain one copy and forward the duplicate copy to IAL , along with an official written confirmation that the training organisation has been accredited and the relevant courses approved to their satisfaction. This document provides IALA with notification of the VTS training organisation accreditation.

A flow chart for the process is provided in Figure 2.

### 4.5.1 Pre-audit

All documents submitted to the NI by the VTS training organisation will be reviewed. The pre-audit questionnaire template, including the list of documents required, is provided at Appendix 2.

### 4.5.2 Onsite audit

This is estimated to take 2-4 days depending on the training course(s) to be audited.

A draft agenda for the onsite audit is provided in Table 2, page 13.

### 4.5.3 Post onsite audit

Following the onsite visit audit findings will be documented and reviewed. A copy of the audit report and findings will be forwarded to the training organisation for comment and response.

Based on confirmation from the training organisation, the NI will make a recommendation to the competent authority on the suitability of the VTS training for accreditation.

**Table 2 – Template agenda for onsite audit**

| Item | Element | Comments |
|------|---------|----------|
| 1 | Opening meeting | Review of pre-audit questionnaire/submitted documents; overview and agreement of onsite audit process; clarification of timing for activities. |
| 2 | Verification of instructor qualifications | Confirmation of instructor qualifications for the elements to be taught. |
| 3 | Review of QMS /TMS | If not in place, audit will focus on the elements that would be in place if such as system existed. |
| 4 | View facilities for training | Include classroom, laboratories or work areas, simulation and assessment areas. |
| 5 | Monitor training – classroom | Should include lecture and exercise. May include monitoring of assessment. |
| 6 | Monitor training – simulation | Review of briefing, simulation activity and debriefing. |
| 7 | Compile notes/identify additional elements to view | A quiet location will be required. There may be additional questions or requirements to view aspects related to the audit. |
| 8 | Closing meeting | Overview of initial findings; discussion and clarification; confirmation of date for provision of audit report; indication of process following the audit. |

## 4.6    Awarding a Confirmation of Audit Certificate

The Nautical Institute will write formally to award a **Confirmation of Audit Certificate** at three levels:

**Level 1 Confirmed** – this will be awarded when all aspects of the IALA standard have been met with no minor or major improvements required. Observation notes may be identified. The NI will recommend that the competent authority for VTS notify IALA of the accreditation and relevant course approvals, for a period of five years subject to an interim audit to be taken between years 2 and 3 of the valid accreditation period.

**Level 2 Acknowledged** – this will be awarded when the audit identifies minor improvements and/or no more than three major improvement elements.

Minor improvements: the VTS training organisation must address minor improvement elements within an agreed time-frame, which would normally be no more than 12 months following the audit. This will be based on an agreed audit action plan. The NI will recommend that the competent authority for VTS notify IALA of the accreditation. This will be for five years, subject to confirmation of completion of the action plan within the agreed time frame. An interim audit will be taken between years 2 and 3 of the valid accreditation period.

Major improvements: the VTS training organisation must address major improvements required within an agreed time frame, which would normally be no more than 9 months following the audit. This will be based on an agreed audit action plan. The NI will recommend that the competent authority for VTS notify IALA of the accreditation. This will be for five years, subject to confirmation of completion of the action plan within the agreed time frame. An interim audit will be taken between years 2 and 3 of the valid accreditation period.

# Application for VTS training audit –
# Training Accreditation Process
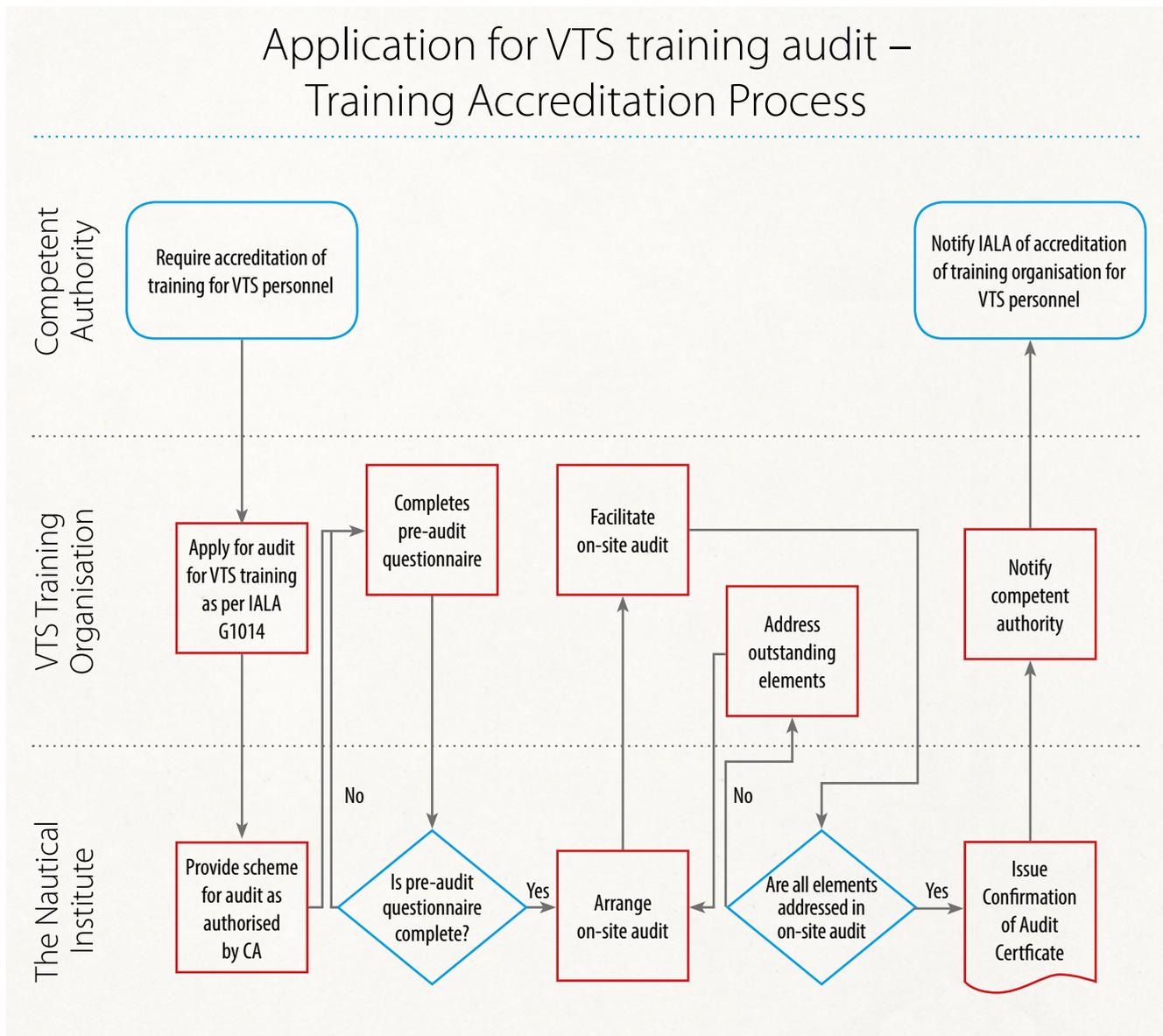


**Figure 2 – NI VTS Training Audit and Approval process**

**Level 3 Not acknowledged** – this will be identified, with clarification for the reason. A re-audit can be requested, and invitation to re-submit made.

## 4.7  Withdrawal of Confirmation of Audit Certificate

The Confirmation of Audit Certificate may be cancelled or withdrawn for any of the following reasons:

- Failure to settle the audit for accreditation/re-accreditation invoice within the time documented on the NI invoice
- Failure to be successfully re-accredited within three months of the expiry date of the existing certificate, unless agreed with the competent authority for VTS
- Bankruptcy, receivership or liquidation of the VTS training organisation or its parent organisation
- Failure to notify the competent authority and/or the NI of significant changes to the VTS training organisation

- Failure to notify the competent authority and/or the NI of additional contractual commitments which may affect provision of VTS training
- Failure to address audit findings within the agreed time frame
- Misrepresentation, misuse, abuse or misdemeanour relating to the provision of VTS training
- Failure to apply for an interim audit
- Failure to comply with a spot audit
- Engaging in any illegal activity.

## 4.8      Form of Confirmation of Audit Certificate

On successfully completing the audit, the NI will issue a Confirmation of Audit Certificate to the competent authority for VTS, with a copy to the VTS training organisation and, if appropriate, to the VTS authority. The Confirmation of Audit Certificate will clearly state the courses for which the approval has been provided. The certificate will be of a form as agreed by the NI, and will include the NI's logo.

The period of accreditation is for five years.

## 4.9      Change of location of the VTS training organisation

The NI must be notified if a VTS training organisation changes location, premises or its training equipment (for example VTS simulators). If required, an update audit will be arranged.

## 4.10     Spot audits

The NI retains the right to visit any audited VTS training organisation in response to a complaint or concern to carry out a spot audit. This is to ensure standards are maintained. The cost for spot audits will be borne by the VTS training organisation or authority.

## 4.11     The cost of assessment

The Nautical Institute is a not for profit organisation and will charge costs for the assessment to cover costs incurred by the Institute. The Institute will charge a fixed fee of £13,000 GBP per facility for a 5-year certification (including interim audit). This fixed fee will cover the accreditation of an IALA V-103/1 course and/or IALA V-103/2 course (if the audit is requested for both courses at the same time). Where applicable VAT will be an additional cost. The fee will cover:

- Administration
- Pre-audit document assessment
- On-site audit (estimated four person days)
- Final report
- All travel and sustenance costs for auditor(s)
- Certificate issue and registration
- Interim audit (document review) mid-way in the audit validity period.

Any follow up review of actions identified to address audit findings will be negotiated on a case by case basis.

It is expected that the interim assessment will be a document review process and will be included in the initial fee. Should there be a need for a site visit due to anomalies, expenses will be charged in addition to the quoted fee.

The fixed cost of £13,000 will cover the assessment for existing courses if done at the same time. This will include a V-103/1 course and/or V-103/2 and/or V-103/4 and/or V-103/5 courses. If additional VTS courses are developed within the 5 year certificate period, additional certification at reduced rates can be discussed on a case by case basis. Noting that V-103/3 courses are specific to VTS Centres, these will be addressed on a case by case basis.

The invoice will be in two parts, the first invoice for £5,000 GBP will be issued following the document review stage and at the time of booking an audit. The second invoice, for the balance, will be made after the audit and before issuing the certificate.

All costs are billed in GBP and will be subject to annual review.

### 4.12   GDPR statement

The Nautical Institute processes personal data on a legitimate interests basis under Article 6 (1) of the EU General Data Protection Regulation (GDPR). This enables the Institute to provide a full range of services to its members, and its dynamic positioning (DP), accreditation and publications activities.

Full details of the NI's privacy policy are available on its website: https://www.nialexisplatform.org/privacy-policy/

Please note that any information received as a result of the application for an NI audit for VTS training audit for accreditation, and any subsequent correspondence related to the audit, may be stored electronically on a database held by the Scheme. Any information provided may be shared with the IALA and the competent authority for VTS as appropriate.

# 5

# Complaints and appeals procedure

General enquiries and correspondence relating to the Scheme should be directed to The NI using the contact details below:

sec@nautinst.org

## 5.1    Complaints

Complaints and disputes relating to the NI's audit process for VTS training or officers of the NI should be directed to Chief Operating Officer at The NI using sec@nautinst.org Acknowledgements will normally be made within seven days and a response given within 30 days. Decisions made by the Executive Board of The NI will, in all matters, be considered final.

## 5.2    Appeals against findings

Any issues that arise as a result of onsite audit of the VTS training organisation will be provided to the VTS training organisation in the form of a report outlining the changes that are needed before the *Confirmation of Audit Certificate* can be awarded.

If a VTS training organisation fails to meet the requirements of the IALA standard it will have the opportunity to provide additional information or clarification and have its application reassessed. The resolution procedure may require revisiting the VTS training organisation premises and this cost will be borne by the VTS training organisation, according to the audit agreement.

# 6

# Core requirements for the provision of VTS training

## 6.1 IALA Documentation

To be awarded NI *Confirmation of Audit Certificate* the VTS training organisation must meet all aspects of the IALA documentation, including Standard S 1040; S1050; IALA Recommendation V 103 (R0103) and relevant model courses; IALA Guideline 1014 – Accreditation and Approval Process for VTS Training; IALA Guideline 1017 – Assessment of Training for VTS; IALA Guideline 1027 – Simulation in VTS Training; IALA Guideline 1103 – Train the VTS Trainer; and other documents, as appropriate to the training being provided.

## 6.2 Additional requirements

To ensure consistency in the delivery of VTS Training, the NI has identified additional elements to be confirmed before the *Confirmation of Audit Certificate* is awarded.

### 6.2.1 Appraisals

The VTS training organisation shall put in place an appraisal system to assess staff skills and competence. Records of the implementation of this system shall be kept, including actions taken for staff improvement.

### 6.2.2 Feedback system

The VTS training organisation shall establish management reviews, monitoring and student/ customer feedback systems to ensure its continuing suitability, adequacy and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the quality of the VTS training organisation's performance, including policies and objectives.

These elements may be addressed within an existing training management system or other quality management system.

## 6.3 General administration

The VTS training organisation shall have any relevant country specific licence documentation showing that it is legally eligible to provide training and assessment services.

### 6.3.1 Control of documents

Documentation control must be demonstrated, including confirmation that the most up to date documents are available.

Documented procedures shall be established to define the controls needed:

1. To approve documents before issue
2. To review, update as necessary and re-approve documents
3. To ensure that changes and the current revision status of documents are identified

4. To ensure that relevant versions of applicable documents are available at points of use
5. To ensure that documents remain legible and readily identifiable
6. To prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

This element may be addressed within an existing training management system or other quality management system.

### 6.3.2   Control of records

Records will be established and maintained to provide evidence of conformity to requirements and the effective operation of the quality management system. Records will be legible, readily identifiable and retrievable. A documented procedure will be established to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records.

Documents are required to be stored for the period determined by the VTS training organisation's internal regulations, or any prevailing statutory requirements. As a minimum the NI requires that the VTS training organisation keeps the records for the period of the accreditation as they will be checked during the next audit.

This element may be addressed within an existing training management system or other quality management system.

### 6.3.3   Feedback and training evaluation, complaints and appeal procedures

The VTS training organisation must have documented processes and procedures in place to address feedback and training evaluation. In addition, the VTS training organisation must have a complaints and appeals procedure in place.

This element may be addressed within an existing training management system or other quality management system.

# 7 Auditor selection and approval

All NI audit teams will have the following attributes:

- Recognised VTS qualifications
- Recognised training qualification (instructional certification)
- Recognised auditor qualification (i.e. lead auditor qualification from a recognised agency).

The CEO of the NI will select VTS training organisation auditor(s) in consultation with the competent authority for VTS and the training organisation to be audited.

Additionally, the auditor will be supported by the NI as a professional organisation. This will provide quality assurance and a second layer of checks for the audit process itself.

## 7.1 Auditor selection procedure

The auditor's qualifications for performing the work will be signed off by the CEO of the NI.

The auditor is expected to have the following skills:

- Experience in the provision of VTS training
- Experience in auditing
- Proven communication skills
- No conflict of interest with the audit to be undertaken.

## 7.2 List of auditors

The NI will maintain a list of auditors. All CVs for auditors will be retained by the NI, and will be updated on an annual basis. The list of auditors will be provided on request.

# Appendix 1 Application form and pre-audit questionnaire

**Application form and pre-audit questionnaire for VTS Training Scheme of Audit for Accreditation**

### Terms and conditions of business

The training organisation agrees to the following conditions:

1. The training organisation voluntarily agrees to accept The Nautical Institute's accreditation standards, which are based on the IALA VTS Training Accreditation and Approval requirements (IALA Guideline 1014). The training organisation agrees to submit the necessary documentation for accreditation based on the pre-audit questionnaire (Section B) and to receive the approval visit, if appropriate, in accordance with The Nautical Institute's policy and procedures.

2. The training organisation will be issued a Confirmation of Audit certificate when the accreditation team has completed its considerations and determined that the training organisation meets or exceeds a minimum standard. Subject to a right of appeal, which would be at its own expense, the training organisation will abide by the decision of the audit team.

3. The Nautical Institute and the training organisation will follow the procedures and policies developed by The Nautical Institute in accordance with IALA documentation, and periodically reviewed and updated, covering the setting of standards, reporting of information, complaints, display of certificates, use of The Nautical Institute logo, appeals and other matters.

4. The training organisation will use all practical means at its disposal to ensure that the services it provides fully comply with the applicable accreditation standards at all times.

5. When an audit for accreditation visit to a training organisation is required, requested, or otherwise deemed necessary or desirable, the Nautical Institute will agree in advance the approximate date of the visit with the training organisation. Detailed arrangements for the visit will be made through direct contact between the Nautical Institute and the training organisation.

6. The training organisation agrees that if a formal complaint is raised concerning its operation under The Nautical Institute's accreditation procedures, policies or standards, it will promptly comply with any requests from the Institute for necessary information. The training organisation agrees to reimburse The Nautical Institute for any related expenses incurred. If the claim was raised by another training organisation and is found to be without merit, the second training organisation may be required to reimburse the Institute.

7. When reference is made to Confirmation of Audit, the following may be used:
   i. The term "Audited by The Nautical Institute – Interim Approval (as defined in Guideline 1014)", in a typeface and style established by the Institute. This may be used by a training organisation that has made application for accreditation, until it is notified of the audit team's decision;
   ii. The term "Audited by The Nautical Institute", may be used in a typeface and style established by the Institute by a training organisation that has been notified that it has received either provisional or full accreditation.

8. The official accreditation logo of The Nautical Institute may be used on appropriate materials. The Institute will notify training organisations of any material used or issued by them that the Institute considers to be incorrect, inappropriate or misleading.

9. The Nautical Institute recognises that the training organisation's material is the property of the training organisation and that all material submitted to the Institute will be treated as confidential.

10. The training organisation agrees not to hold The Nautical Institute, its directors, officers, members and employees liable for any loss, damages, costs, or expenses which they may incur or be required to pay as a consequence of their actions.

11. This agreement will run from the date below. The agreement may be terminated on one month's notice from the Institute or the training organisation.

12. The training organisation agrees to provide a purchase order and to pay the fees in GBP for accreditation when due and within the time scale documented on the NI invoice.

_____

*Signature of the responsible person from the organisation Date*

_____

*Name and Title/Position of the responsible person from the organisation*

_____

*Name of organisation*

**For The Nautical Institute**

_____

*Signature*

_____

*Name*

_____

*Date*

# Pre-Audit Questionnaire

### 1.1    General Information

| | |
|---|---|
| Training programme to be audited | |
| Name of competent authority for VTS | |
| Name of VTS authority (if required) | |
| Name of training organisation | |
| Address of training organisation | |
| Contact person of training organisation | |
| Training organisation telephone number | |
| Training organisation fax number | |
| Training organisation email | |

To be filled in by the competent authority

| | |
|---|---|
| Auditing organisation | The Nautical Institute |
| Contact person at the auditing organisation | [to be confirmed] |
| Contact information for the auditing organisation. | [to be confirmed] |

## 1.2    Training management system (TMS)

| Quality Policy | Yes/No | Comments |
|---|---|---|
| Declaration of general aims and objectives of the training organisation in relation to the training of VTS Personnel | Yes    No | |
| Relevance of the quality policy to the student training needs in general | Yes    No | |
| Relevance to applicable requirements of V-103 and appropriate model course | Yes    No | |
| Expression of the organisations commitment to achieving its goals and objectives and to fulfilling the training needs of the student | Yes    No | |
| Confirmation that the quality policy is available, understood by, maintained and implemented at all levels of the organisation | Yes    No | |

## 1.3    Organisational arrangements

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

## 1.4 Internal TMS audits

| Internal TMS audits | Yes/No | Comments |
|---|---|---|
| Are there documented procedures for internal audits to verify activities comply with the requirements of the TMS? | Yes    No | |
| Is the TMS audited at least annually? | Yes    No | |
| Are internal audit records maintained? | Yes    No | |

## 1.5 Corrective/preventative action

| Corrective/ preventative action | Yes/No | Comments |
|---|---|---|
| Are TMS deficiencies documented? | Yes    No | |
| Are documents including non-conformance reports, audit reports, student and customer complaints and quality records reviewed to detect potential deficiencies? | Yes    No | |
| Are student reports reviewed and analysed to identify trends that may indicate a deficiency in the training? These deficiencies might include training programme development or training delivery procedures. | Yes    No | |
| Are the causes of deficiencies determined and is corrective action taken to eliminate them? | Yes    No | |
| Are TMS records of these activities maintained? | Yes    No | |

### 1.6 Management review

| Management review | Yes/No | Comments |
|---|---|---|
| Are regular management reviews carried out? | Yes    No | |
| Are records of management reviews maintained? | Yes    No | |

### 1.7 Training management system requirements

| Training management manual | Yes/No | Comments |
|---|---|---|
| Is a TMS established, documented and maintained conforming to IALA requirements to ensure that students are trained in accordance with V-103 and the requirements of the authority? | Yes    No | |
| Does TMS include a training management manual? | Yes    No | |
| Does the manual provide: | | |
| a. a copy of the quality policy? | Yes    No | |
| b. an overview of the TMS? | Yes    No | |
| c. an outline of TMS documentation structure? | Yes    No | |
| d. a cross-reference to the requirements of this standard? | Yes    No | |
| e. references to pertinent TMS documentation? | Yes    No | |

| TMS procedures | Yes/No | Comments |
|---|---|---|
| Are procedures documented and consistent with the requirements of IALA and the stated quality policy? | Yes    No | |
| Are TMS and documented procedures effectively implemented? | Yes    No | |
| Do the TMS procedures detail the: | | |
| a. complexity of training and support functions? | Yes    No | |
| b. skills of instructors and support personnel? | Yes    No | |
| c. internal TMS training provided for organisation personnel? | Yes    No | |

## 1.8    Document and data control

| Training management manual | Yes/No | Comments |
|---|---|---|
| Is there a documented procedure for the control of all documents and data relating to the requirements of IALA, V-103 and the competent authority? | Yes    No | |
| Document/data approval and issue | Yes    No | |
| Is TMS documentation reviewed and approved as adequate by approved personnel? | Yes    No | |

| Do the procedures ensure that: | | | |
|---|---|---|---|
| a. those involved with the review process are provided with the appropriate reference material and background information? | Yes | No | |
| b. the revision status of TMS documents can be readily identified? | Yes | No | |
| c. TMS documents are available at all locations where work essential to TMS is performed? | Yes | No | |
| d. instructor's manuals and materials issued to students are current? | Yes | No | |
| e. invalid or dated documents are removed from all points of use? | Yes | No | |
| f. archived or obsolete documents are suitably identified and stored in order to preclude unintended use? | Yes | No | |
| g. records of changes are maintained? | Yes | No | |
| **Storage of materials** | | | |
| Is there a documented procedure for the storage of training materials to prevent damage or deterioration? | Yes | No | |

## 1.9 Resources

| Resources identification | Yes/No | Comments |
|---|---|---|
| Are staff members suitably qualified and trained to manage, support, conduct and verify training activities? | Yes    No | |
| Are there adequate facilities, equipment and materials to the support the TMS? | Yes    No | |
| **Training organisation personnel** | | |
| Are there documented procedures to identify the training needs of personnel performing management, training, examination and support functions? | Yes    No | |
| Have all personnel directly involved in student training activities satisfactorily completed relevant instructor training requirements? | Yes    No | |

### 1.10 Purchasing

| Purchasing | Yes/No | Comments |
|---|---|---|
| Are there documented procedures to ensure that services, facilities, equipment and materials support training and comply with IALA recommendations and the authorities' requirements? | Yes   No | |
| Do these procedures ensure that: | | |
| a. subcontracted instructors are suitably trained? | Yes   No | |
| b. external facilities utilised in the training of students comply with the requirements of the applicable training plan? | Yes   No | |
| c. equipment purchased for training is suitable for the applicable training plan? | Yes   No | |
| d. subcontracted organisations providing part or all of the training meet the requirements of the training plan? | Yes   No | |
| **Evaluation of subcontractors** | | |
| Is there a procedure to evaluate subcontractors? | Yes   No | |
| Are the criteria applied and the methods of evaluation used appropriately to assess the impact of the services, facilities, equipment and materials on the training provided? | Yes   No | |

## 1.11    Training course development

| Training course development | Yes/No | Comments |
|---|---|---|
| Is there a documented procedure to control and verify the development of courses to ensure that training requirements are met? | Yes    No | |
| Does the training course development procedure ensure that: | | |
| a. responsibility and authority for training course development and review activities are assigned to qualified personnel? | Yes    No | |
| b. requirements for the relevant model course and the authority are taken into account? | Yes    No | |
| c. training course objectives are defined in terms of targeted qualifications? | Yes    No | |
| d. students' knowledge and competence requirements are taken into account? | Yes    No | |
| e. appropriate use of simulators is taken into account? | Yes    No | |
| f. appropriate reference documents are made available to those involved in training course development? | Yes    No | |
| g. ambiguities within the training course documentation are resolved? | Yes    No | |
| h. review of training course documentation is controlled? | Yes    No | |

| | | |
|---|---|---|
| Are records of training course development maintained? | Yes   No | |
| Are the training plans for each course defined and documented? | Yes   No | |
| Do these plans include: | | |
| a. a description of the training course? | Yes   No | |
| b. prerequisite student qualifications? | Yes   No | |
| c. identification of required resources? | Yes   No | |
| d. instructor/examiner qualification requirements? | Yes   No | |
| e. the desired instructor to student ratio? | Yes   No | |
| f. reference to course materials, applicable TMS procedures and documentation? | Yes   No | |
| g. procedures or instructions specific to delivery of the course? | Yes   No | |
| h. criteria for and methods of evaluating students' competence, knowledge, understanding and proficiency as documented in IALA Recommendation V-103? | Yes   No | |

## 1.12    Training support procedures

| Training support procedures | Yes/No | Comments |
|---|---|---|
| Are there documented procedures to support the delivery of training? | Yes    No | |
| Are these activities identified, planned and conducted under controlled conditions? | Yes    No | |
| Do these controlled conditions include: | | |
| a. documented procedures which, if absent, could adversely affect training? | Yes    No | |
| b. use and availability of suitable equipment and facilities? | Yes    No | |
| c. maintenance of facilities and equipment that have a direct impact upon training? | Yes    No | |
| d. observance of documented safety procedures? | Yes    No | |

### 1.13    Application review

| Application review | Yes/No | Comments |
|---|---|---|
| Are there documented procedures to review applicants' qualifications? | Yes    No | |
| Do these procedures: | | |
| a. identify the qualification the applicant is training for | Yes    No | |
| b. evaluate applicants' stated qualifications against the requirements for the relevant training course | Yes    No | |
| c. determine the suitability of the training course to provide the qualifications the applicant is training for? | Yes    No | |
| d. Ensure communication with applicants about the suitability of course(s) and curricula offered to fulfil their qualifications needs | Yes    No | |
| e. Record and review applications? | Yes    No | |

### 1.14    Verification of student competence

| Aptitude/ assessment testing | Yes/No | Comments |
|---|---|---|
| Is there a procedure to test candidates' suitability for VTS operator basic training? | Yes    No | |
| **Acceptance verification** | **Yes/No** | **Comments** |
| Is there a procedure to ensure candidates fulfil the requirements detailed in the applicable training plan? | Yes    No | |
| Is the identity of students confirmed and suitable evidence of prerequisite qualifications sought before training starts? | Yes    No | |
| **Examinations and competence** | **Yes/No** | **Comments** |
| Is there a process to ensure that students adequately demonstrate all applicable knowledge and competence requirements before being considered as having successfully completed the training course? | Yes    No | |
| Are there documented procedures for the development and administration of examinations and tests of competence? | Yes    No | |
| Is the responsibility and authority for evaluation of student knowledge or competence defined? | Yes    No | |

| Satisfactory completion | Yes/No | Comments |
|---|---|---|
| Are records of examinations of student knowledge and competence maintained in accordance the requirements of the authority? | Yes    No | |
| **Student progress** | **Yes/No** | **Comments** |
| Are there documented procedures to identify and record student progress from application through to completion of training? | Yes    No | |

## 1.15    Certification and endorsement

| Control of student learning | Yes/No | Comments |
|---|---|---|
| Are there documented procedures to inform VTS authorities of a student's successful completion of training, if required? | Yes    No | |
| Is there a documented procedure to award VTS course certificates? | Yes    No | |

### 1.16    Control of student learning deficiencies

| Control of student learning | Yes/No | Comments |
|---|---|---|
| Are there documented procedures for the evaluation of student knowledge and competence? | Yes    No | |
| Where appropriate, are students: | | |
| a. Re-trained and re-examined in the specific area where deficiencies are noted? | Yes    No | |
| b. required to repeat the training course if they fail | Yes    No | |
| c. recommended to stop training? | Yes    No | |

### 1.17    Control of TMS records

| Control of TMS records | Yes/No | Comments |
|---|---|---|
| Are there documented procedures to identify, collect, index, access, file, store, maintain and dispose of TMS records in accordance with the requirements of the authority? | Yes    No | |
| Are TMS records maintained in order to demonstrate: | | |
| a. students' satisfactory completion of training and applicable competence requirements | Yes    No | |
| b. effective functioning of the TMS? | Yes    No | |

### 1.18    General comments

Official Stamp of
Training organisation

_____

*Date*


_____

*Name of training organisation*


_____

*Name*


_____

*Signature*

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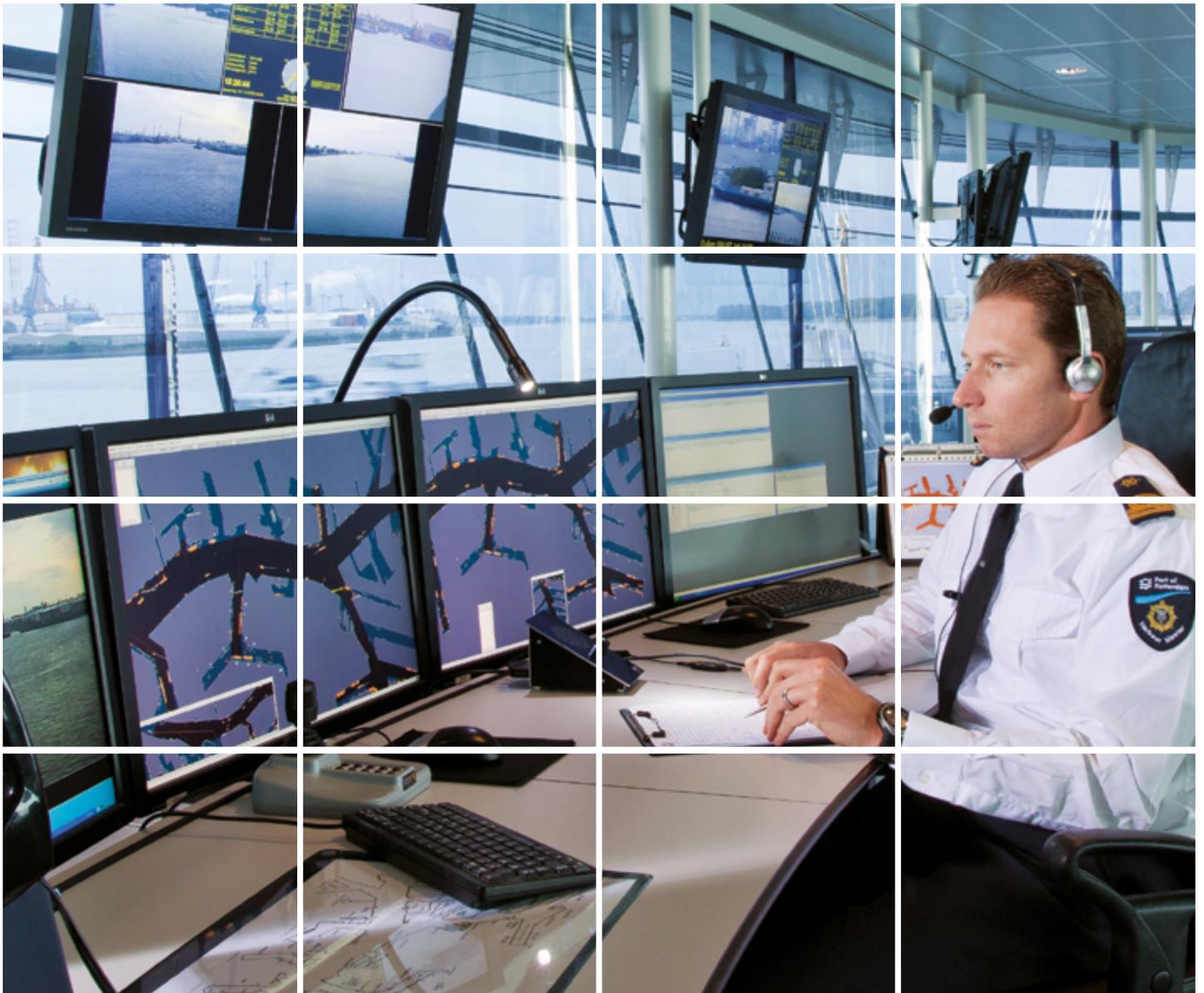


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