Document Revisions

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**IALA Guideline No. ####**

**On**

**Assessing and Auditing the Overall**

**Performance of**

**VTS Centres**

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

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# Introduction

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

* ‘Vessel Traffic Services (VTS) contribute to safety of life at sea, safety and efficiency of navigation and protection of the marine environment, adjacent shore areas, work sites and offshore installations from possible adverse effects of maritime traffic.’ and
* ‘Governments may establish VTS when, in their opinion, the volume of traffic or the degree of risk justifies such services’.

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

Recognising that the safety and efficiency of maritime traffic and the protection of the marine environment would be improved if vessel traffic services were established and operated in accordance with internationally approved guidelines the IMO Assembly adopted IMO Resolution A.857(20) Guidelines for Vessel Traffic Services in 1997.

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

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

# Overview

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

# Aim and Objectives

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

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

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

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

# Framework for Assessment

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

* the guidance provided in the VTS Manual and IALA Recommendations and Guidelines regarding the establishment and operation of VTS and the use of quality management and safety management systems in VTS;
* the ‘VTS Assessment checklist’, which is contained in the Annex.

## Quality Management

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

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

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

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

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

* ISO 9000:2005 - Quality management systems - Fundamentals and vocabulary;
* ISO 9001:2008 - Quality management systems - Requirements; and
* ISO 9004:2009 - Managing for the sustained success of an organization - A quality management approach.

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

ISO 9001:2008 is the standard that provides a set of standardized requirements for a quality management system, regardless of what the user organization does, its size, or whether it is in the private, or public sector. It is the only standard in the family against which organizations can be certified – although certification is not a compulsory requirement of the standard.

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

## Safety Management

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

The relationship between SMS and QMS leads to the complementary contributions of each system to the attainment of the organization‘s safety and quality goals.

1. Summary comparison of SMS & QMS

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

## Checklist for the Assessment of VTS

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

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

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

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

# Responsibilities

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

## VTS Authority

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

## Contracting Government / Competent Authority

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

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

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

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

* assessment by the Competent Authority; or
* assessment by an accredited third party.

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

# Measuring Performance

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

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

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

1. Example Objectives & associated performance indicators

|  |  |
| --- | --- |
| **Objective** | **Performance Indicator** |
| Minimise the risk of a maritime accident and consequential ship sourced pollution and damage to the marine environment | * Incidents / Events per 10,000 transits, such as: * Number of groundings; * Number of collisions; * Number of near misses. |
| Provide VTS capabilities to interact with and respond to developing traffic situations | * Availability of key VTS equipment: * The percentage availability of key equipment on a monthly / annual basis, such as: * Radar; * AIS; * VHF Voice; * Decision Support tools. * This should be compared to the availability targets determined for the individual equipment in accordance with IALA Recommendation V-128 on Operational and Technical Performance Requirements for VTS Equipment. |
| Enhance relationships with allied services, stakeholders and other interested parties | * Stakeholder feedback * In delivering VTS services a VTS maintains close interaction and communication with its key stakeholders, that is, masters/OOW/Pilots of vessels transiting the VTS area.   This provides a continuous and ongoing mechanism to receive and record stakeholder satisfaction with the delivery of service. All feedback in such circumstances should be recorded and where applicable an Opportunity for Improvement raised within the QMS.   * Other mechanisms for monitoring stakeholder satisfaction include: * Feedback from individual Stakeholders - Whether received in writing (letter, email) or verbally (VHF radio) * Feedback at forums with Stakeholders |

# Undertaking an Assessment

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

The checklist is designed in such a way that it should be provided to the VTS Authority / centre before the assessment is to be undertaken so responses to the questions and any relevant supporting documentation can be provided. This enables the assessor to maximise their time spent during the actual visit.

The assessment should be planned and conducted using a recognised assessment / audit structure as in the following example:

* VTS Authority / centre completes checklist as far as possible prior to the assessment being undertaken and provides appropriate supporting documentation;
* Assessor carries out document and checklist review in preparation for assessment;
* Opening Meeting at the start of the assessment;
* Agree on the assessment framework;
* Using checklist, carry out assessment, utilising document review, interview and document inspection;
* Agree on final assessment report identifying and agreeing any required areas of continuous improvement and timescales for completion;
* Conduct closing at the end of the assessment;

As well as identifying areas for potential improvement, the checklist is also designed to identify and promote best practice.

1. Draft Conformance / Assessment Matrix

| **Part 1 - Conformance with the International Convention on the Safety of Life at Sea (SOLAS)**  **SOLAS Chapter V (Safety of Navigation) Regulation 12 provides for Vessel Traffic Services and states, amongst other things, that:** | | | |
| --- | --- | --- | --- |
| **Item** | **Yes / No** | **Reference** | **Supporting Comments** |
| **Contracting Governments undertake to arrange for the establishment of VTS when, in their opinion, the volume of traffic or the degree of risk justifies such services** |  | IMO Resolution A.857(20)  IALA Recommendation V-119 on The Implementation of Vessel Traffic Services  VTS Manual |  |
| In considering the establishment of a new VTS, or the enhancement of an existing one, has a formal risk assessment been undertaken to define clearly the need for a VTS to attain the desired level of safety and efficiency of the maritime traffic in the area under consideration? |  |  |  |
| If yes: |  |  |  |
| * What was the process for justifying the provision of VTS relative to the volume of traffic or degree of risk? |  |  |  |
| * What were the main reasons for determining the need for a VTS? |  |  |  |
| * What was the process for determining the level of service of VTS relative to the volume of traffic and degree of risk? |  |  |  |
| * What was the process for determining the details on the establishment and operation of VTS, including plans for the establishment of an emergency VTS? |  |  |  |
| * Are reports available? |  |  |  |
| **Contracting Governments planning and implementing VTS shall, wherever possible, follow the guidelines developed by the Organisation (i.e. the IMO).** |  |  |  |
| In Planning and establishing the VTS have the guidelines developed by the IMO been followed, wherever possible? |  |  |  |
| Are there any guidelines that have not been adopted? |  |  |  |
| If yes, please list these and the associated reason/s? |  |  |  |
| Describe the legislative framework in place to ensure arrangements for compliance with resolution A.857(20) Guidelines for VTS? |  |  |  |
| Describe the legislative framework in place for the measures taken to ensure compliance with VTS? |  |  |  |

| **Part 2 - Conformance with IMO Resolution A.857(20) Guidelines for Vessel Traffic Services** | | | |
| --- | --- | --- | --- |
| **IMO Resolution A.857** |  | **Associated IALA Recommendations / Guidelines /VTS Manual** | **Supporting Comments**  **QMS / SMS Reference** |
| **2.2.2 In planning and establishing a VTS, the Contracting Government or Governments or the competent authority should:** | **2.2.3 In operating a VTS the VTS Authority should:** |  |  |
| **.1 ensure that a legal basis for the operation of a VTS is provided for and that the VTS is operated in accordance with national and international law;** |  |  |  |
| ***Policy and legal framework*** | | |  |
| What are the processes by which international instruments are formally adopted and transported into your national legislation? | | |  |
| Which government body is responsible for the implementation and enforcement of SOLAS Chapter V Reg. V/12? | | |  |
| Briefly describe any internal stakeholder arrangements for the determination and operation of VTS, in particular the sectional and governance arrangements for the responsibilities of VTS. Insofar as is possible, clarification of any special organisational arrangements should be fully detailed? | | |  |
| What national legislation is in place to enable laws to be passed to give domestic effect to SOLAS obligations, that is, makes it part of national law and to enforce it just like any other law? | | |  |
| Does the legislation provide:   * Head of power for VTS? * Regulatory provisions? * Compliance and enforcement provisions? | | |  |
| Who is Competent Authority for VTS? | | |  |
| Does the VTS to extend beyond the Territorial Sea? | | |  |
|  | | |  |
| **.2 ensure that objectives for the VTS are set;** | **.1 ensure that the objectives of the VTS are met;** | **Recommendation V-119 On the Implementation of Vessel Traffic Services**  **Recommendation V-120 On Vessel Traffic Services in Inland Waters** |  |
| Have the operational objectives of the VTS been set? | | |  |
| If Yes,   * List the operational objectives of the VTS? * How are the objectives promulgated? | | |  |
| What performance measures are in place to assess and monitor that the objectives of the VTS are being met? | | |  |
| How regularly are the performance measures compiled? | | |  |
| Could you provide records of the results of the performance measures for the <period> | | |  |
|  | | |  |
| **.3 ensure that a VTS authority is appointed and legally empowered;** |  |  |  |
| Is the Competent Authority legally empowered to appoint a VTS Authority? | | |  |
| Under what legislation is the VTS Authority appointed? | | |  |
| Under what legislation does the VTS Authority operate? | | |  |
| Does the legislation provide:   * Head of power for VTS? * Regulatory provisions? * Compliance and enforcement provisions? | | |  |
|  | | |  |
| **.4 ensure that the service area is delineated and declared a VTS area; where appropriate, this area may be subdivided in sub-areas or sectors;** |  | **Recommendation V-119 On the Implementation of Vessel Traffic Services**  **Recommendation V-120 On Vessel Traffic Services in Inland Waters** |  |
| Has the proposed VTS area been delineated? | | |  |
| If Yes, how is it promulgated? | | |  |
| Are sectors or sub-areas proposed in the VTS area? | | |  |
| If Yes, how has this been promulgated? | | |  |
|  | | |  |
| **.5 determine the type and level of services to be provided, having regard to the objectives of the VTS;** | **.2 ensure that the standards set by the competent authority for levels of services and operators qualifications and equipment are met;** | **Recommendation V-119 On the Implementation of Vessel Traffic Services**  **Recommendation V-120 On Vessel Traffic Services in Inland Waters**  **Guideline 1089 On provision of VTS types of service** |  |
| What Types of Service are provided:   * Information Service? * Traffic Organisation Service? * Navigational Assistance Service? | | |  |
| What information and data was used to support the decision about the type of service/s required to mitigate the risks identified? | | |  |
| How do the types of service link to the operational objectives of the VTS? | | |  |
| Are the types of service/s delivered in a manner consistent with Guideline 1089 On provision of VTS types of service? | | |  |
|  | | |  |
| **.6 establish appropriate standards for shore- and offshore-based equipment;** | **.2 ensure that the standards set by the competent authority for levels of services and operators qualifications and equipment are met;** | **Recommendation V-128 On Operational and Technical Performance Requirement for VTS Equipment**  **Guideline 1056 On The Establishment of VTS Radar Services** |  |
| What was the process used to determine the shore- and offshore-based equipment to meet the operational objectives of the VTS? | | |  |
| Recommendation V-128 On Operational and Technical Performance Requirement for VTS Equipment? | | |  |
| Guideline 1056 On The Establishment of VTS Radar Services | | |  |
|  | | |  |
| **.7 ensure that the VTS authority is provided with the equipment and facilities necessary to effectively accomplish the objectives of the VTS;** | **.2 ensure that the standards set by the competent authority for levels of services and operators qualifications and equipment are met;** |  |  |
| What was the process used to determine the equipment and facilities necessary to effectively accomplish the objectives of the VTS? | | |  |
| Is the VTS equipment consistent with the provisions of Recommendation V-128 On Operational and Technical Performance Requirement for VTS Equipment? | | |  |
|  | | |  |
| **.8 ensure that the VTS authority is provided with sufficient staff, appropriately qualified, suitably trained and capable of performing the tasks required, taking into consideration, the type and level of services to be provided and the current IMO Guidelines on the recruitment, qualifications and training of VTS operators given in Annex 2;** | **.2 ensure that the standards set by the competent authority for levels of services and operators’ qualifications and equipment are met;** |  |  |
|  | | |  |
| **.9 establish appropriate qualifications and training requirements for VTS operators, taking into consideration the type and level of services to be provided;** | **.2 ensure that the standards set by the competent authority for levels of services and operators’ qualifications and equipment are met;** | **Guideline 1014 On accreditation of VTS training courses**  **Recommendation V-103 On standards for training and certification of VTS Personnel and associated Model Courses**  **Guideline 1017 On the assessment of training requirements for existing VTS personnel, candidate VTS operators, revalidation of VTS operator certificates** |  |
| Have appropriate qualifications and training requirements for VTS operators, taking into consideration the type of services to be provided, been determined? | | |  |
| If yes:   * Is this by policy, and/or * Law? | | |  |
| Are training courses for VTS operators delivered by accredited training institutes in a manner consistent with Guideline 1014 On accreditation of VTS training courses? | | |  |
| Are training courses consistent with Recommendation V-103 On standards for training and certification of VTS Personnel and associated Model Courses? | | |  |
| Are the training requirements determined in a manner consistent with Guideline 1017 On the assessment of training requirements for existing VTS personnel, candidate VTS operators, and revalidation of VTS operator certificates? | | |  |
|  | | |  |
| **.10 ensure that provisions for the training of VTS operators are available;** | **.2 ensure that the standards set by the competent authority for levels of services and operators qualifications and equipment are met;** |  |  |
|  | | |  |
| **.11 instruct the VTS authority to operate the VTS in accordance with relevant IMO resolutions;** | **.3 ensure that the VTS is operated in conformity with relevant IMO resolutions;** |  |  |
|  | | |  |
| **.12 establish a policy with respect to violations of VTS regulatory requirements, and ensure that this policy is consistent with national law. This policy should consider the consequences of technical failures, and due consideration should be given to extraordinary circumstances that result.** |  |  |  |
|  | | |  |
|  | **.4 ensure that the VTS operations are harmonized with, where appropriate, ship reporting and routeing measures, aids to navigation, pilotage and port operations;** |  |  |
|  | | |  |
|  | **.5 consider, where appropriate, the participation of the pilot both as a user and provider of**  **information** |  |  |
|  | | |  |
|  | **.6 ensure that a continuous listening watch on the designated radio frequencies is kept and that all published services are available during the operational hours of the VTS;** |  |  |
|  | | |  |
|  | **.7 ensure that operating procedures for routine and emergency situations are established;** | **Recommendation V-127 On Operating Procedures for Vessel Traffic Services** |  |
| Are documented operational procedures for routine and emergency situations in place? | | |  |
| Are operational procedures consistent with Recommendation V-127 On Operating Procedures for Vessel Traffic Services? | | |  |
|  | | |  |
|  | **in a timely manner, provide mariners with full details of the requirements to be met and the procedures to be followed in the VTS area. This information should include the categories of vessels required or expected to participate; radio frequencies to be used for reporting; areas of applicability; the times and geographical positions for submitting reports; the format and content of the required reports; the VTS authority responsible for the operation of the service; any information, advice or instructions to be provided to participating ships; and the types and level of services available. This information should be published in the appropriate nautical publications and in the "World VTS Guide".\*** |  |  |
|  | | |  |
| **2.4 Communication and reporting**  2.4.1 Communication between a VTS authority and a participating vessel should be conducted in accordance with the Guidelines and Criteria for Ship Reporting systems and should be limited to information essential to achieve the objectives of the VTS.2 IMO Standard Marine Communication Phrases should be used where practicable. |  |  |  |
|  | | |  |
| 2.4.2 In any VTS message directed to a vessel or vessels it should be made clear whether the message contains information, advice, warning, or an instruction. |  |  |  |
|  | | |  |
| **2.5 Organization** |  |  |  |
| **2.5.1 Elements of a VTS**  In order to perform the required tasks a VTS organization requires adequate staff, housing, instrumentation and procedures governing operations and interactions between the various elements. The requirements in each field are determined by the particular nature of the VTS area, the density and character of the traffic and the type of service that is to be provided. Consideration should be given to the establishment of back-up facilities to sustain and maintain the desired level of reliability and availability |  |  |  |
|  | | |  |
| 2.5.2.1 A VTS should at all times be capable of generating a comprehensive overview of the traffic in its service area combined with all traffic influencing factors. The VTS should be able to compile a traffic image, which is the basis for its capability to respond to traffic situations developing in its service area. The traffic image allows the VTS operator to evaluate situations and make decisions accordingly. Data should be collected to compile the traffic image. This includes:  .1 data on the fairway situation, such as meteorological and hydrological conditions and  the operational status of aids to navigation;  .2 data on the traffic situation, such as vessel positions, movements, identities and  intentions with respect to manoeuvres, destination and routing;  .3 data of vessels in accordance with the requirements of ship reporting and if necessary  any additional data, required for the effective operation of the VTS.\* |  |  |  |
|  | | |  |
| **2.5.2.3 To respond to traffic situations** developing in the VTS area and to decide upon appropriate actions the acquired data should be processed and evaluated. Conclusions from the evaluation need to be communicated to participating vessels. A distinction should be made between the provision of navigational information, being a relay of information extracted from the VTS sensors and the traffic image, and the provision of navigational advice, where a professional opinion is included. |  |  |  |
|  | | |  |
| **2.5.3 Operating procedures**  Where operating procedures are concerned, a distinction should be made between internal and external procedures. Internal procedures cover operating instruments, interactions among the staff and the internal routing and distribution of data. External procedures cover interactions with users and allied services. A further distinction should be made between procedures governing the daily routine and procedures governing contingency planning such as search and rescue and environmental protection activities. All operational procedures, routine or contingency, should be laid down in handbooks or manuals and be an integral part of regular training exercises. Adherence to procedures should be monitored. |  |  |  |
| **2.6 Participating vessels** |  |  |  |
| 2.6.1 Vessels navigating in an area where vessel traffic services are provided should make use of these services. Depending upon governing rules and regulations, participation in a VTS may be either voluntary mandatory. Vessels should be allowed to use a VTS where mandatory participation is not required |  |  |  |
|  | | |  |
| 2.6.3 Communication with the VTS and other vessels should be conducted on the assigned frequencies in accordance with established ITU and SOLAS chapter IV procedures, in particular where a communication concerns intended manoeuvres. VTS procedures should stipulate what communications are required and which frequencies should be monitored. Prior to entering the VTS area, vessels should make all required reports, including reporting of deficiencies. During their passage through the VTS area, vessels should adhere to governing rules and regulations, maintain a continuous listening watch on the assigned frequency and report deviations from the agreed sailing plan, if such a plan has been established in co-operation with the VTS authority. |  |  |  |
|  | | |  |
| **3.3 Further guidance on vessel traffic services**  3.3.1 VTS Authorities should, in the planning of the VTS to be established, make use of available manuals prepared by and published by appropriate international organizations or associations.  3.3.2 The following references should also be consulted for further details:  .1 IMO Guidelines and Criteria for Ship Reporting Systems (resolution MSC.43(64))  .2 General Principles for Ship Reporting Systems and Ships Reporting Requirements,  including Guidelines for Reporting Incidents Involving Dangerous Goods, Harmful Substances and/or Marine Pollutants (resolution A.851(20))  .3 The IALA vessel traffic services Manual  .4 IALA/IMPA/IAPH/World VTS Guide |  |  |  |
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| **Part 3 – Conformity with IALA Recommendation O-132 - ‘Quality Management for Aids to Navigation Authorities’** | | | |
| --- | --- | --- | --- |
| **Item** | **Yes / No** | **Reference** | **Proposed / VTS Authority’s Supporting Comments** |
| Do you operate under a quality management system?  If yes: |  |  |  |
| * Demonstrate how Management supports the QMS/SMS? |  |  |  |
| * Demonstrate how the strategic and business planning / direction occurs to ensure the objectives of the VTS are delivered and continuous improvement maintained |  |  |  |
| * Is the integrity of the QMS ensured through:   + Certification by an accredited third party, and/or:   + Assessment by a third party, and or   + Self-assessment |  |  |  |
| * When was the last assessment /audit? |  |  |  |
| * Do you maintain an audit schedule? |  |  |  |
| * Are internal audits carried out and records maintained |  |  |  |
| * Can you provide a copy of the assessment / audit report? |  |  |  |
| * What is the process for identifying and managing opportunities for improvement? |  |  |  |
| * What is the process to planning and taking corrective and/or preventative action? |  |  |  |
| What is the scope of the QMS |  |  |  |
| Does the scope cover all of the aspects in Part B and Part C of this Annex? |  |  |  |
| Does the Quality Policy statement make reference to VTS? |  |  |  |
| Do you operate under a safety management system? |  |  |  |
| Do you operate a performance monitoring regime? |  |  |  |
| How do you measure customer satisfaction? For example what is the level of relationships with allied services, stakeholders and other interested parties |  |  |  |
| How do you monitor and analyse the strategic environment to identify future directions, resource requirements |  |  |  |
| How do you monitor equipment availability? |  |  |  |
|  |  |  |  |
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