The Nautical Institute

Vessel Traffic Services Training (IALA R0103) Scheme of Audit For Accreditation

February 2026

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For Accreditation

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NI Approval authority for issue

Authority	Name	Position	Date
NI	Developed by JCJ	Consultant	
NI	Proposed by DJP	Director of Projects	
NI	John Lloyd and NI HoDs	Chief Executive Officer	

NI Version control sheet

Version	Corrections made
Revision 1	

Document References

Name	Link
IALA Standard 1050 – Training and Certification Ed. 2.0 Jun 2023	
IALA Recommendation on Training and Certification for Vessel Traffic Services R0103 Ed 3.1 Jan 2022	
IALA Model course for VTS Operators C0103-1 Ed. 3.0 Dec 2022 (formerly V-103/1)	
IALA Model course for VTS Supervisors C0103-2 Ed. 3.0 Dec 2023 (formerly V-103/2)	
IALA Model course for VTS On-the-Job Training C0103-3 Ed. 3.0 Dec 2022 (formerly V-103/3)	All IALA documents can be viewed on the IALA website at www.iala-aism.org
IALA Model course for VTS On-the-Job Training Instructors C0103-4 Ed. 2.0 Dec 2009 (formerly V-103/4)	
IALA Model course on the revalidation process for VTS qualification and certification C0103-5 Ed. 1.0 Jun 2016 (formerly V-103/5)	
IALA Guideline 1014 on the accreditation and approval process for VTS Training Ed. 4.0 Jan 2022	
IALA Guideline 1156 – Recruitment, Training and Certification of VTS Personnel Ed. 1.1 Jan 2022	

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1 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, co-developed and approved by The NI with industry stakeholders.

Accreditation is defined by IALA as the formal endorsement by a competent authority that a training organisation operates under a quality management system to deliver effective training.

Accredited VTS Training Providers 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 Competent Authority, 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 formal endorsement by the competent authority that a training organisation meets the standards specified in an IALA model course for its implementation, delivery and assessment.

Audit is a systematic and independent verification process to assess whether the required standards are being met.

Competent Authority is the entity made responsible by the government for vessel traffic services.

Compliance Matrix – A document designed to measure the effectiveness of how the requirements are being met. The document aims to assist a training organisation in its preparation prior to the audit and auditors during the audit.

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

Normative provisions – (reference to IALA Standards) are those with which it is necessary to conform in order to claim compliance to the Standard.

Remote learning – Where the student and the instructor are not physically together. This may occur either in a synchronous or asynchronous manner, using online or offline training approaches (e.g. distance learning, e-learning, self-study or a blended delivery).

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 designed with the objective of ensuring the consistency in the delivery of the course and the assessment of the trainees in accordance with the minimum requirements.

Training Organisation is an entity accredited by the competent authority and approved to deliver one or more IALA model courses.

VTS Provider is the organisation or entity authorised by the government or competent authority to provide vessel traffic services.

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

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

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

2 Introduction to Vessel Traffic Services Training (IALA R0103) Scheme of Accreditation

The IMO Safety of Life at Sea (SOLAS) convention, 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.1158(32) provides further information on the implementation of VTS, including the training of VTS personnel. The Resolution indicates that the competent authority for VTS should ensure that VTS training is approved and VTS personnel are certified.

The IMO Convention on the Standards of Training, Certification of Watchkeeping (STCW) contains regulations concerning training of ships' personnel. STCW 95 adopted Resolution 10 concerning the training of maritime pilots, vessel traffic personnel 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 8th International Symposium on VTS (Rotterdam 1996), IALA developed Recommendation V-103 on Training and Certification of VTS Personnel, which was updated in January 2022 as a Normative IALA Recommendation R0103 (V-103). IALA publishes Standards with both normative and informative provisions. IALA S1050 – Training and Certification – notes that R0103 is a normative provision.

There is a series of guidelines and model courses to support the recommendation. G1156 provides details on the Recruitment, Training and Certification of VTS Personnel while G1014 is focused on the Accreditation of VTS Training Organisations and approval to deliver IALA VTS Model Courses. The guideline provides guidance on the process to ensure VTS training meets the standards identified in the IMO Resolution and IALA Standards, Recommendations and Guidelines. The process includes both the Quality Management System (accreditation) and the IALA model courses (approval).

If Competent Authorities for VTS need assistance to fulfil part of, or the whole, Accreditation and Approval process, G1014 identifies the use of a third-party organisation. With significant experience in accreditation and approval of maritime courses, the NI is uniquely placed to support Competent Authorities to audit VTS training for accreditation and approval. 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.

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
C0103-1	VTS Operator Training	Initial training for all VTS personnel
C0103-2	VTS Supervisor Training	Advanced training for personnel identified as VTS Supervisors
C0103-3	VTS On the Job training (VTS OJT)	A specific course for the VTS Centre, it addresses the focus elements for the new VTS officer
C0103-4 (V-103/4)	VTS On the Job Training Instructor (VTS OJTI)	Training to prepare VTS personnel to deliver the VTS centre-specific C0103-3 training (VTS OJT)
C0103-5 (V-103/5)	Revalidation process for VTS qualification and certification	Presents three elements to maintain and improve 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 C0103-3 is designed for implementation at the VTS Centre and the audit process will be specific to the OJT training programme, noting the difference in port activities, environmental considerations, interaction with allied services and services provided. The IALA framework for C0103-3 is Accreditation for VTS training is as identified by the Competent Authority; IALA recommends that accreditation is valid for no longer than five years and is subject to periodic audits.

On successful completion of the audit for accreditation and approval process, the Competent Authority should retain one copy of the audit certificate and one copy should be sent to the IALA Secretariat. The NI can arrange for the certificate to be sent to the IALA Secretariat if required (contact@iala-aism.org).

This document provides details of how The Nautical Institute scheme of accreditation will operate to meet the IALA requirements, as identified through IALA Guideline 1014 Edition 4.

The document is intended to provide information to Competent Authorities for VTS, VTS authorities and VTS training institutions on the services that the NI provides to address VTS training accreditation.

3 NI Accreditation Scheme for VTS Training

3.1 Accreditation scheme 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 improvement, evaluate the effectiveness of the process and provide for consistency in the approach.

The governance body will comprise one or two Competent Authorities for VTS, an IALA Representative (nominally the chair of the IALA VTS Committee), a representative from NI Headquarters and a VTS expert from within the NI membership.

NI accreditation schemes are overseen by the NI VTSO Policy Group, which operates under the following terms of reference:

1. Reviews work of external bodies such as the IMO and IALA with regard to VTS and VTS training.
2. Meets annually with accredited providers to share lessons and promote best practice.
3. Reviews and develops the scheme in respect of an ever-changing maritime industry and regulatory environment.
4. Evaluates effectiveness of the scheme.
5. Makes decisions and implements actions to improve the scheme and promote best practice.
6. Takes measures to ensure consistency of approach and measurement across accreditation bodies.
7. Considers and makes recommendations for the funding model.
8. Makes its decisions on a consensus basis.

3.2 Quality standards

Bodies providing 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).

4 The Nautical Institute accreditation process

4.1 Requesting accreditation

A Competent Authority for VTS, a VTS Provider or a VTS training provider wishing to seek Nautical Institute accreditation applies by contacting the NI's accreditation team and follows this contact with a formal written request.

4.1.1 Contents of a formal request for accreditation

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

- The Competent Authority or Authorities for VTS under which the training is being provided
- Details of the contact person within the Competent Authority
- The VTS Provider(s) associated with the training requirement
- Details of the contact person within the VTS Provider(s)
- 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 accredited
- 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 the 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 accreditation process, the provider must sign and return the audit agreement with the NI provided at the time of enquiry.

4.1.5 Setting an audit date

The NI and the provider will agree a date for the audit, which may be on-site, remote or hybrid, 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, one of whom will audit the components specific to VTS training. The other will be a trained auditor linked to the NI's administrative staff who will audit the training provider's administrative and management procedures. This requirement may be waived for training providers who maintain a recognised QMS and TMS.

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 audit should be between 2 and 4 days for on-site, remote or hybrid activity. Time to complete the audit documentation will depend on the response from the Training Organisation based on the outcomes of the audit.

4.2 Duties and conduct of accreditation team members

Team members will:

- Review and report on the materials submitted.
- Participate in accreditation visits and related activities in accordance with the standards and policies of the NI.
- Maintain confidentiality with respect to information gained during the accreditation process.
- Return all materials received from an applicant, if requested.
- Act in the best interest of the provider 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, compliance matrices and supporting documents before confirming the time frame for the audit. All pre-audit documentation, 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 work with the appropriate training provider, VTS provider or authority to arrange an audit.

If an audit has previously 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 of VTS training providers and approval of VTS training. 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.

4.5   VTS training, audit and approval process

In most instances, the audit will start with the pre-audit questionnaire and compliance matrix review, including a review of the detailed course compliance matrix for the specific VTS courses being put forward for approval. Clarification of any questions arising from the review will need to be addressed prior to the on-site, remote or hybrid audit and post-audit report preparation.

The process may start by contact from the Competent Authority for VTS, the VTS Provider 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 compliance matrices and is prepared to proceed.

The audit timing will be agreed between the NI and the VTS training organisation only after the pre-audit questionnaire and compliance matrices have been received and accepted by the NI. Following an 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 a **Confirmation of Audit Certificate** to the Competent Authority for VTS, with a copy to the VTS Training Organisation and the VTS Provider (if appropriate). The Competent Authority for VTS will then advise IALA, in writing, of the accreditation of the VTS training organisation.

A flow chart for the process is provided in Figure 1.

4.5.1 Pre-audit:

All documents submitted to the accreditation body by the VTS training provider will be reviewed. The pre-audit questionnaire template and compliance matrix, including the list of documents required, is provided in Appendix 2.

4.5.2 Audit

This is estimated to take 2-4 days depending on the training course(s) to be audited. Based on the review of the pre-audit documentation and the requirements of the organisation, the audit may be on-site, remote or hybrid.

A draft agenda for the audit is provided in Table 2.

4.5.3 Post-audit

Following the audit activity, audit findings will be documented and reviewed. A copy of the audit report and findings will be forwarded to the training institute for comment and indication of response.

Based on confirmation from the training institute, the NI will make a recommendation on the suitability of the VTS training for accreditation.

Depending on the process agreed during the initial notification of the audit, this will be provided to the appropriate authority. The recommendation will be made regarding the accreditation status based on the audit results.

Table 2 – Template agenda for audit activity

Item	Element	Comments
1	Opening meeting	Review of pre-audit questionnaire and submitted documents; overview and agreement of on-site audit process; clarification of timing for activities.
2	Verification of instructor qualifications	Confirming instructor qualifications for the elements to be taught.
3	Review of QMS/TMS and LMS	If not in place, audit will focus on the elements that would be in place if such a system existed.
4	View facilities for training	Include classroom, labs or work areas, simulation and assessment areas.
5	Monitor training – classroom	Should include lecture and exercise. May include monitor of assessment.
6	Monitor training – simulation	Review of briefing, simulation activity and debriefing.
7	Compile notes and 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.

Figure 1 – NI VTS Training Audit and Approval Process

Figure 1 – NI VTS Training Audit and Approval Process
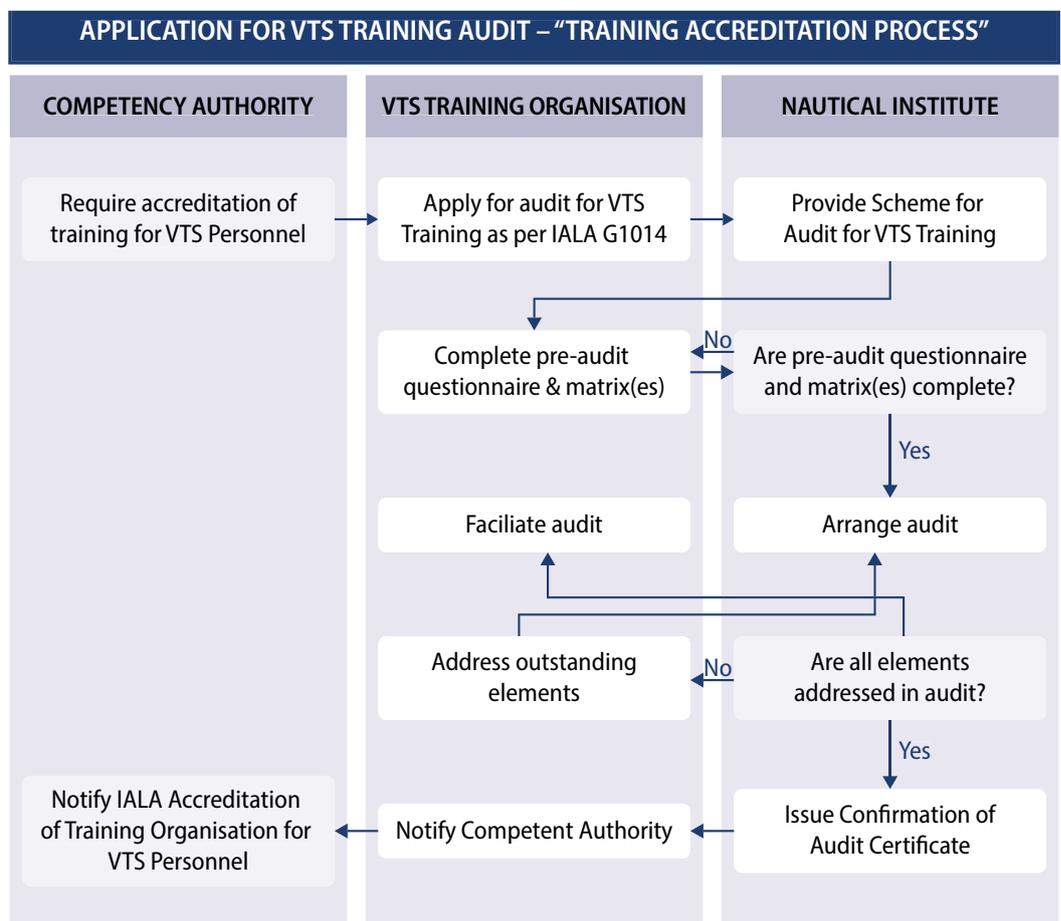
4.6 Awarding Confirmation of Audit Certificate

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 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 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 24 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 for a period of five years subject to verification of the completion of the action plan within the agreed time frame and an interim audit to be taken between years 2 and 3 of the valid accreditation period.

Major improvements: the VTS Training Organisation must address major 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 for a period of five years subject to verification of the completion of the action plan within the agreed time frame and an interim audit to be taken between years 2 and 3 of the valid accreditation period.

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 or 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 or the NI of significant changes to the VTS training organisation.
● Failure to notify the Competent Authority or the NI of additional contractual commitments that 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.
● 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 provider and, if appropriate, to the VTS Provider. The Confirmation of Audit Certificate will clearly state the courses for which the approval has been provided. The certificate will be of a form agreed by the NI and will include the NI's logo.

The period of accreditation is for 5 years.

4.9   When the VTS training organisation changes location

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 VTS training organisation it has audited to carry out a spot audit to ensure standards are maintained. The cost for spot audits will be borne by the VTS training organisation.

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 £6,000 per facility for a 5-year certification (including interim audit). This fixed fee will cover the accreditation of an IALA C0103-1 course and/or IALA C0103-2 course (if the audit is requested for both courses at the same time) and is based on a remote (online) audit. Where the NI is unable to satisfy itself fully that the requirements of the Standard have been met through a remote audit, the NI may require a site visit to complete the audit, which will incur further costs for travel, accommodation and travel days for the auditor. Where applicable, VAT will be an additional cost.

The fee will cover:

● Administration
● Pre-audit document assessment
● Audit (estimated up to 4-person days)
● Final report
● All travel and sustenance costs for auditor(s) if on-site audit is required
● Certificate issue and registration
● Interim (document-only) audit mid-way through 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 only and will be included in the initial fee.

The fixed cost of £6,000 will cover the assessment for a C0103-1 course and/or C0103-2 course if done at the same time. If additional VTS courses are developed (C0103-2 – if not included in initial audit – C0103-3, C0103-4, C0103-5) within the 5-year certificate period, additional certification at reduced rates can be discussed on a case-by-case basis.

The invoice will be in two parts: the first invoice for £3,000 will be made 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 prior to issuing the certificate. All costs are billed in GBP.

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 publication 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 accreditation and approval, 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:

- accreditations@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 the Chief Executive Officer at The NI using accreditations@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 award

Any issues that arise as a result of an on-site audit of the VTS training organisation will be provided to the VTS training organisation in the form of a report outlining the changes that need to occur 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 another visit to the VTS training organisation's premises and this cost will be borne by the VTS training organisation, according to audit agreement.

6 Core requirements for 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 S1040 – Vessel Traffic Services
- Standard S1050 – Training and Certification
- IALA Recommendation R0103 and relevant model courses
- IALA Guideline G1014 – Accreditation and Approval Process for VTS Training
- IALA Guideline G1017 – Assessment of Training for VTS
- IALA Guideline G1027 – Simulation in VTS Training
- IALA Guideline G1103 – 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 must 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 disposal 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 procedure

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.

7 Auditor selection and approval

All NI auditors for this standard will be qualified. Typically, NI auditors will have the following attributes:

- Recognised VTS qualifications (IALA V-103/1 or greater)
- 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 auditors 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 attributes:

- 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.

A1 Appendix 1 – Application form and pre-audit questionnaire

Application form and pre-audit questionnaire for VTS Training Accreditation and Approval

Terms and conditions of business

The provider agrees to the following conditions:

1. The provider accepts The Nautical Institute's accreditation standards, which are based on the IALA VTS Training Accreditation and Approval requirements (IALA Guideline G1014). The provider 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 provider will be issued a **Confirmation of Audit** certificate when the accreditation team has completed its considerations and determined that the provider meets or exceeds a minimum standard. Subject to a right of appeal, which would be at their own expense, the providers will abide by the decision of the accreditation team.

3. The Nautical Institute and the provider will follow the procedures and policies developed and periodically reviewed and updated by The Nautical Institute covering the setting of standards, reporting of information, complaints, display of certificates, use of The Nautical Institute logo, appeals and other matters.

4. The provider 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 accreditation visit to a provider is required, requested or otherwise deemed necessary or desirable, The Nautical Institute will agree in advance the approximate date of the visit with the provider. Detailed arrangements for the visit will be made through direct contact between The Nautical Institute and the provider.

6. The provider 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 provider agrees to reimburse The Nautical Institute for any related expenses incurred. If the claim was raised by another provider and is found to be without merit, the second provider may be required to reimburse the Institute.

7. When reference is made to **Confirmation of Audit**, the following may be used:
   i. A provider that has made an application for accreditation may use the term "Audited by The Nautical Institute – Probationary", in a font and style established by the Institute, until it is notified of the accreditation team's decision.
   ii. A provider that has been notified that it has received either provisional or full accreditation may use the term "Audited by The Nautical Institute" in a font and style established by the Institute.

8. The official accreditation logo of The Nautical Institute may be used on appropriate materials. The Institute will notify providers 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 provider's material is the property of the provider and that all material submitted to the Institute will be treated as confidential.

10. The provider 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 provider.
12. The provider 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	

1.   Pre-Audit Questionnaire

1.1 General Information

Training programme to be audited	
Name of Competent Authority for VTS	
Name of VTS Provider (if required)	
Name of training organisation	
Address of training organisation	
Contact person of training organisation	
Telephone number of training organisation	
Fax number of training organisation	
E-mail of training organisation	
Is the organisation accredited to a quality management centre for training (ISO Standard 21001:2022 or similar)?	Yes ☐ No ☐ If yes, provide a copy of the latest audit report. If no, complete Accreditation Compliance Matrix (Based on IALA G1014 Ed. 4.0)

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]

2   Educational Organisations' Management Systems (EOMS)

2.1 Scope of QMS

Quality Policy Scope	Yes/No	Comments
In establishing the scope of the quality management system, has the organisation considered:	Yes ☐ No ☐	
External and internal issues relevant to its purpose, social responsibility and strategic direction?	Yes ☐ No ☐	
The requirements of relevant interested parties?	Yes ☐ No ☐	
Its products and services?	Yes ☐ No ☐	

2.2 Leadership and Commitment

Leadership and Commitment	Yes/No	Comments / identify how addressed
How does management support the QMS? Does it:		
Accept accountability for the effectiveness of the quality management system?	Yes ☐ No ☐	
Ensure the integration of the quality management system requirements into the business processes?	Yes ☐ No ☐	
Promote the use of the process approach and risk-based thinking?	Yes ☐ No ☐	
Ensure resources needed for the quality management system are available?	Yes ☐ No ☐	
Communicate the importance of he quality management system and its requirements?	Yes ☐ No ☐	

Leadership and Commitment	Yes/No	Comments / identify how addressed
Ensure the quality management system achieves its intended outcomes?	Yes ☐ No ☐	
Engage, direct and support persons to contribute to the effectiveness of the QMS?	Yes ☐ No ☐	
Promote continual improvement?	Yes ☐ No ☐	
Support other relevant management roles?	Yes ☐ No ☐	
Support the sustainable implementation of the education vision and educational concepts?	Yes ☐ No ☐	
Establish, develop and maintain a strategic plan for the organisation?	Yes ☐ No ☐	
Ensure the learners' educational requirements are identified and addressed?	Yes ☐ No ☐	
Consider the principles of social responsibility?	Yes ☐ No ☐	
Does management ensure that:		
The needs and expectations of learners are determined, understood and consistently met?	Yes ☐ No ☐	
The risks and opportunities are determined and addressed including the ability to enhance learner satisfaction?	Yes ☐ No ☐	

2.3 Policy

Policy	Yes/No	Comments / identify how addressed
Has a quality policy been established? Does this quality policy give consideration to:		
Supporting the organisation's mission and values?	Yes ☐ No ☐	
Ensuring it is appropriate to the purpose and context of the organisation?	Yes ☐ No ☐	
Provide a framework for setting the organisation's objectives?	Yes ☐ No ☐	
Include a commitment to continual improvement?	Yes ☐ No ☐	
The relevant educational, scientific and technical developments?	Yes ☐ No ☐	
Satisfying the organisation's social responsibility?	Yes ☐ No ☐	
Managing intellectual property?	Yes ☐ No ☐	
The needs and expectations of relevant interested parties?	Yes ☐ No ☐	
How is the quality policy communicated? Is the policy:		
Available and maintained as documented information?	Yes ☐ No ☐	
Communicated, understood and applied within the organisation?	Yes ☐ No ☐	
Available to relevant interested parties, as appropriate?	Yes ☐ No ☐	

2.4 Risks and Opportunities

Risks and Opportunities	Yes/No	Comments / identify how addressed
How does the organisation consider the issues, risks and opportunities that need to be addressed in order to:		
Give assurance that the quality management system can achieve its intended results?	Yes ☐ No ☐	
Enhance desirable effects?	Yes ☐ No ☐	
Prevent, mitigate or reduce undesired effects?	Yes ☐ No ☐	
Achieve continual improvement?	Yes ☐ No ☐	

2.5 Objectives and Planning

Organisation Objectives and Planning	Yes/No	Comments / identify how addressed
Has the organisation established educational organisational objectives relevant to its functions, levels and processes? Are these quality objectives:		
Consistent with the educational organisational policy?	Yes ☐ No ☐	
Measurable?	Yes ☐ No ☐	
Taken into account regarding applicable requirements?	Yes ☐ No ☐	
Relevant to conformity of products and services, and to the enhancement of learners' satisfaction?	Yes ☐ No ☐	
Continually monitored?	Yes ☐ No ☐	

Organisation Objectives and Planning	Yes/No	Comments / identify how addressed
Communicated?	Yes ☐ No ☐	
Updated, as appropriate?	Yes ☐ No ☐	
Has the organisation determined how objectives will be achieved? For example:		
What will be done?	Yes ☐ No ☐	
What resources will be required?	Yes ☐ No ☐	
Who will be responsible?	Yes ☐ No ☐	
When it will be completed?	Yes ☐ No ☐	
How will the results be evaluated?	Yes ☐ No ☐	

2.6 Resources

Resources	Yes/No	Comments / identify how addressed
How does the organisation provide and maintain a safe learning environment that is:		
Suitable to support and enhance learners' development?	Yes ☐ No ☐	
Adequate to the requirements of those using them and how they are achieved?	Yes ☐ No ☐	
Are monitoring and measuring resources used to ensure that the educational products and services are valid and reliable? For example, are they:		
Suitable for the type of monitoring and measuring of activities being undertaken?	Yes ☐ No ☐	
Maintained to ensure continued fitness for their purpose?	Yes ☐ No ☐	

2.7 Competence

Competence	Yes/No	Comments / identify how addressed
How does the organisation:		
Determine the necessary competence of persons doing work under their control and ensure that these persons are competent on the basis of education, training or experience?	Yes ☐ No ☐	
Establish methods to evaluate the performance of staff?	Yes ☐ No ☐	
Take actions to acquire the necessary competence?	Yes ☐ No ☐	

2.8 Awareness

Awareness	Yes/No	Comments / identify how addressed
How does the organisation ensure that all persons under the control of the organisation are aware of:		
The educational organisation policy and strategy and relevant objectives?	Yes ☐ No ☐	
Their contribution to the effectiveness of the quality management system?	Yes ☐ No ☐	
The implications of not conforming to the quality management system's requirements?	Yes ☐ No ☐	

2.9 Communication

Communication	Yes/No	Comments / identify how addressed
How does the organisation monitor its communication efforts? Does it:		
Monitor communication efforts?	Yes ☐ No ☐	
Analyse and improve communication based on the results of monitoring?	Yes ☐ No ☐	

2.10 Documented Information

Documented Information	Yes/No	Comments / identify how addressed
Has the organisation addressed how it will control documented information in terms of:		
Distribution, access, retrieval and use?	Yes ☐ No ☐	
Storage and preservation?	Yes ☐ No ☐	
Control of changes (e.g. version control)?	Yes ☐ No ☐	

Documented Information	Yes/No	Comments / identify how addressed
Retention and disposition?	Yes ☐ No ☐	

2.11 Operational Planning and Control

Planning and Control	Yes/No	Comments / identify how addressed
How does the organisation plan the design, development and expected outcomes of educational products and services, such as:		
Learning outcomes?	Yes ☐ No ☐	
Ensuring appropriate and accessible teaching methods and learning environments?	Yes ☐ No ☐	
Defining criteria for learning assessments?	Yes ☐ No ☐	
Defining and conducting improvement methods?	Yes ☐ No ☐	
Providing support services?	Yes ☐ No ☐	

2.12 Requirements for Education Products and Services

Requirements – Products and Services	Yes/No	Comments / identify how addressed
When educational products and services are changed, how does the organisation ensure relevance? Does it:		
Ensure relevant documented information is amended?	Yes ☐ No ☐	
Make interested parties aware of the changes?	Yes ☐ No ☐	

2.13 Design and Development of Education Products and Services

Design/Develop – Products and Services	Yes/No	Comments / identify how addressed
How does the organisation identify, review and control changes for education products and services? Does it:		
Identify, review and control changes made during the design and development phase?	Yes ☐ No ☐	
Identify, review and control changes made subsequent to the design and development phase?	Yes ☐ No ☐	
Is documented information retained on:		
Design and development changes?	Yes ☐ No ☐	
The results of reviews?	Yes ☐ No ☐	
The authorisation of changes?	Yes ☐ No ☐	
The actions taken to prevent adverse impacts?	Yes ☐ No ☐	

2.14 Control of External Processes, Products and Services

Control External Processes	Yes/No	Comments / identify how addressed
How does the organisation ensure that externally provided processes, products and services do not adversely affect the organisation's ability to consistently deliver conforming products and services to its learners? Does it:		
Ensure externally provided processes remain within its control?	Yes ☐ No ☐	
Define both the controls applied to an external provider and to the resulting output?	Yes ☐ No ☐	

Control External Processes	Yes/No	Comments / identify how addressed
Take into consideration the potential impact of the externally provided processes, products and services to meet requirements (customer, statutory, regulatory) and the effectiveness of the controls applied by the external provider?	Yes ☐ No ☐	
Determine the verification necessary to ensure that the externally provided processes, products and services meet requirements?	Yes ☐ No ☐	
How does the organisation communicate to external providers its requirements? Does it communicate requirements for:		
The processes, products and services to be provided?	Yes ☐ No ☐	
The approval of products and services, methods, processes and equipment? The release of products and services?	Yes ☐ No ☐	
Competence and qualifications of persons?	Yes ☐ No ☐	
External providers' interactions with the organisation?	Yes ☐ No ☐	
Control and monitoring of the external providers' performance?	Yes ☐ No ☐	
Verification and validation activities that it intends to perform at the external providers' premises?	Yes ☐ No ☐	

2.15 Delivery of Educational Products and Services

Delivery – Products and Services	Yes/No	Comments / identify how addressed
How does the organisation deal with the protection and transparency of learners' data?		
What learner data is collected? How and where it is stored?	Yes ☐ No ☐	
Who has access to the data?	Yes ☐ No ☐	

Delivery – Products and Services	Yes/No	Comments / identify how addressed
Under what conditions may the data be shared with third parties?	Yes ☐ No ☐	
How long is the data stored for?	Yes ☐ No ☐	

2.16 Control of Educational Products and Services

Control – Products and Services	Yes/No	Comments / identify how addressed
How does the organisation identify and control outputs that do not conform to its requirements? Does it:		
Identify and control outputs that do not conform?	Yes ☐ No ☐	
Describe the non-conformity?	Yes ☐ No ☐	
Identify the situation and action taken to address it?	Yes ☐ No ☐	

2.17 Monitoring, measurement, analysis and evaluation

Monitor, Measure, Analyse, Evaluate	Yes/No	Comments / identify how addressed
Has the organisation determined:		
What needs to be monitored or measured?	Yes ☐ No ☐	
Methods for monitoring, measurement, analysis and evaluation to ensure valid outcomes?	Yes ☐ No ☐	
The acceptance criteria used?	Yes ☐ No ☐	
When the monitoring and measuring will be performed?	Yes ☐ No ☐	

Monitor, Measure, Analyse, Evaluate	Yes/No	Comments / identify how addressed
How the results from the analysis will be used and evaluated (e.g. conformity of products and services, customer satisfaction, the performance and effectiveness of the quality management system, the effectiveness of actions taken to address risks and opportunities and the performance of external providers)?	Yes ☐ No ☐	
How does the organisation monitor satisfaction, concerns and complaints? Does it:		
Have a means to monitor satisfaction, concerns and complaints?	Yes ☐ No ☐	
Monitor and address the degree to which needs and expectations have been fulfilled?	Yes ☐ No ☐	
Clearly identify that processes and procedures are available for handling complaints and appeals and for resolving them?	Yes ☐ No ☐	
Obtain feedback and make this available (as appropriate) on educational products and services and the effectiveness in achieving the agreed learning outcomes?	Yes ☐ No ☐	
Have methods for obtaining, monitoring and reviewing this performance information, including how it will be measured?	Yes ☐ No ☐	

2.18 Internal Audit

Internal Audit	Yes/No	Comments / identify how addressed
Are internal audits conducted at planned intervals to demonstrate that the quality management system:		
Conforms to the organisation's own requirements for its quality management system and the requirements of the standard?	Yes ☐ No ☐	
Is effectively implemented and maintained?	Yes ☐ No ☐	

Internal Audit	Yes/No	Comments / identify how addressed
Includes planning, establishing, implementing and maintaining an audit programme including the frequency, methods, responsibilities, planning requirements and reporting, taking account of the importance of the processes concerned, feedback and the results of previous audits?	Yes ☐ No ☐	
Defines the audit criteria and scope for each audit?	Yes ☐ No ☐	
Selects auditors and conduct audits to ensure objectivity and impartiality?	Yes ☐ No ☐	
Ensures the results are reported to the relevant management?	Yes ☐ No ☐	
Identifies opportunities for improvement?	Yes ☐ No ☐	
Takes appropriate correction and corrective actions without undue delay?	Yes ☐ No ☐	
Retains documented information of the audit programme and audit results?	Yes ☐ No ☐	

2.19 Management Review

Management Review	Yes/No	Comments / identify how addressed
How does top management review the organisation's quality management system at planned intervals (e.g. at least once per year) to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction? Do they review and consider:		
The status of actions from previous management reviews?	Yes ☐ No ☐	
Changes in external and internal issues relevant to the quality management system?	Yes ☐ No ☐	

Management Review	Yes/No	Comments / identify how addressed
Information on performance and effectiveness of the quality management system? This might include trends in: ● Learner satisfaction and feedback ● The extent to which quality objectives have been met ● Process performance and conformity of products and services ● Nonconformities and corrective actions ● Monitoring and measurement results ● Audit results ● Performance of external providers	Yes ☐ No ☐	
The adequacy of resources?	Yes ☐ No ☐	
Effectiveness of actions taken to address risks and opportunities?	Yes ☐ No ☐	
Opportunities for improvement?	Yes ☐ No ☐	
Do the outputs from the management review include decisions on:		
Opportunities for improvement?	Yes ☐ No ☐	
Changes to the quality management system?	Yes ☐ No ☐	
Resource needs?	Yes ☐ No ☐	

2.20 Continual Improvement and Opportunities for Improvement

Continual Improvement	Yes/No	Comments / identify how addressed
How does the organisation continually improve? Does it:		
Review and work to continually improve the suitability, adequacy and effectiveness of the quality management system, taking into account relevant research and best practices?	Yes ☐ No ☐	

Continual Improvement	Yes/No	Comments / identify how addressed
Improve products and services to meet requirements as well as addressing future needs and expectations?	Yes ☐ No ☐	
Correct, prevent or reduce undesired effects?	Yes ☐ No ☐	
Improve the performance and effectiveness of the quality management system?	Yes ☐ No ☐	

3 Model course compliance matrix – general

The Model Course Compliance Matrix must be completed. This relates to Section of IALA G1014.

3.1 Operational Elements

G1014 Section Ref No.	Question	Response
3.1	**Entry requirements**	
3.1.1	Have the student's entry requirements been defined and communicated?	
3.1.2	Are there processes and procedures to evaluate and ensure that student entry requirements are met?	
3.2	**Recognition of prior learning**	
3.2.1	Are there documented processes and procedures in place for the recognition of prior learning?	
3.2.2	Is the framework consistent with IALA Guideline G1017 – Assessment for recognition of prior learning in VTS training?	
3.3	**Course curriculum**	

G1014 Section Ref No.	Question	Response
3.3.1	Are lesson plans defined and documented? Do the plans include: ● The methodology of learning and teaching techniques employed to meet the learning outcomes? ● Time spent (e.g. number of hours) and resources allocated to particular subjects or module elements? ● Total course duration? If the proposed teaching hours differ greatly from the nominal hours given in the model course, the methodology to achieve the objectives is to be substantiated.	
3.3.2	How does the organisation ensure that the course content is reviewed on a regular basis to: ● Reflect the current IALA standards, recommendations and guidelines. ● Take into account recent changes and industry developments. ● Take into account course feedback and observations during course delivery to identify improvements and training materials that may need updating.	
3.4	**Training delivery**	
3.4.1	**Course intake – limitations**	
3.4.1.1	What is the maximum number of students that may be enrolled on the course?	
3.4.1.2	What is the student / staff ratio for this course?	
3.4.2	**Training methods and materials**	
3.4.2.1	Do the course presentations / materials / simulation cover all subject elements from the relevant model course?	
3.4.2.2	Do the course presentations / materials / simulation training meet the learning outcomes?	
3.4.2.3	Do the student training materials (e.g. notes, presentations and reference documents, etc.) reflect current IALA standards, recommendations and guidelines?	
3.4.2.4	How does the student access these training materials and information?	
3.4.2.5	How will the course be delivered?	

G1014 Section Ref No.	Question	Response
3.4.2.6	If the training is being delivered in a hybrid or blended manner using a mixture of online learning and face-to-face instruction, how is the split between delivery methods determined and managed to integrate the training methods?	
3.4.2.7	If the instructors are not present at the same venue as the students, how will: ● Arrangements be put in place to ensure appropriate and uninterrupted interaction between instructor(s) and students? ● Course presentations and training materials be provided to the students? ● Student progress be monitored and assessed remotely? ● Remote assessments be conducted in a manner consistent with that model course? ● Student learning deficiencies be identified and managed remotely?	
3.4.2.8	What arrangements are in place to ensure that the simulation training is consistent with IALA Guideline G1027 on Simulation in VTS training in order to provide sufficient behavioural realism to allow students to acquire the knowledge and skills appropriate to the training objectives? In particular, what processes and procedures are in place to: ● Plan, design and validate simulation exercises to ensure the specific learning outcome are being met? ● Provide guidance on debriefing and feedback to students including assessments as required?	
3.4.2.9	What arrangements are in place with respect to resilience, redundancy and back-up systems should the training method or simulation facilities experience technical or connectivity difficulties?	
3.4.2.10	Are there processes and procedures specific to delivery of the course?	
3.4.3	**Facilities and equipment**	
3.4.3.1	Are the proposed teaching aids, training facilities and equipment fit for purpose and of a sufficient standard to support the course delivery?	
3.4.3.2	How does the training organisation provide a safe learning environment consistent with any national health and safety requirements?	

G1014 Section Ref No.	Question	Response
3.5	**Qualifications of instructors and assessors**	
3.5.1	Provide information on the qualifications and experience of instructors and assessors delivering training.	
3.5.2	Have the instructors and assessors completed appropriate training, and are they experienced in the delivery method offered by the organisation? For example: ● Are they appropriately qualified (e.g. recognised teaching qualifications) and experienced for the training being provided and assessing competency? ● Where simulator-based training is conducted, they should be qualified at a minimum to provide simulation activities consistent with IALA Guideline 1027 – Simulation in VTS Training. ● Where remote learning (e.g. e-learning, online, distance, hybrid delivery, blended delivery) is provided, they should have relevant training and experience in the delivery using such methods.	
3.6	**Student assessment procedures**	
3.6.1	Are there documented processes and procedures to ensure that: ● Student progress will be continually assessed during the course to ensure that competence levels are attained for each subject of the module course? ● Assessments will be conducted? ● Student learning deficiencies are identified and managed to ensure the student attains the required levels of competence?	
3.6.2	How are records of student assessments maintained?	
3.6.3	Are there processes and procedures to ensure that model course certificates will be issued?	
3.6.4	Does the course certificate include: ● the name of the student; ● the country in which it was awarded; ● authorized signature of the accredited training organization; ● the name of the relevant model course; ● unique identification information; ● the date of award; and ● the unique course certificate number.	

G1014 Section Ref No.	Question	Response
3.6.5	Are there documented processes and procedures to ensure that: ● Student progress will be continually assessed during the course to ensure that competence levels are attained for each subject of the module course? ● Assessments will be conducted? ● Student learning deficiencies are identified and managed to ensure the student attains the required levels of competence?	
3.7	**Student records**	
3.7.1	Are there processes and procedures to protect student records and ensure that records are accessed only by authorised persons?	
3.8	**Outsourcing of model course delivery**	
3.8.1	Are external providers being used to deliver the model course, in full or in part?	
3.8.2	If yes, what mechanisms are employed to ensure that the services provided by the external provider are: ● In compliance with the relevant IALA model course? ● Consistent with the training organisation's quality management system? That is: ○ To ensure that persons doing work under the training organisation's control are aware of the system, and ○ How they contribute to the effectiveness of the system.	
3.8.3	Is the external provider trained in, and aware of, the requirements and procedures of the training organisation's quality management system?	

4   Model course compliance matrix – model course content

For each model course approval, a detailed matrix based on the IALA Model Course Competent Tables is required. The matrix will be provided separately, depending on the model course for which approval is sought. The table will be based on the course modules and subject elements with a cross-reference to indicate how the subject elements are covered – for example, addressed in Lesson Plan X, Simulation Y, assessed in Exam # or Assignment #.

Copies of lesson plans and presentation materials are required to be made available as part of the pre-audit review and will be further addressed during the audit process.