

# Merchant Shipping Secretariat

## Certificate of Authorisation for SRPS Providers Audit Components

Name of Org:.....Date:.....Place:.....

Auditor/s.....

Audit Component	Specific Elements	MLC /MS Regulations Ref.	Yes	No	NA	Comments
Quality Management System	QMS Certification is valid and Available					
	QMS manual is accessible to appropriate personnel					
	Processes exist to ensure employees are aware of the QMS manual					
	SRPS internal audit Processes					
	An audit process describes scope, frequency, review, approval and response procedures, including individual responsibilities					

	Last internal audits/ corrective actions					
	<p>Which procedures are in place for identifying whether the seafarer is qualified for the position?</p> <p>(Should cover such as age, sex, rank and qualifications) (Excluding any personal information based on previous employer )</p>	MLC Reg.1.3.1				
	<p>Which procedures are in place in order to ensure compliance with the Industry's requirements with respect to not use means, mechanisms or lists intended to prevent a seafarer from gaining employment? (recruiting process to be checked, e.g. sex, and or sexual preferences, religion, political view, cultural )</p>	A1.4.5a				
	<p>QMS clearly indicates the SRPS will not charge fees to seafarers for recruitment and placement, other than those for medical certificates, records of sea service or passport and travel documentation</p>	A.1.4.5b				
	<p>What are the procedures for clearly publicizing costs, and what will be paid by ship manager/owner?</p>	B1.4.2f				
	<p>Which procedures are in place to ensure that medical certificates are issued by approved medical practitioner recognized by competent authority to issue medical certificate?</p>	MLC Reg.1.2				

QMS indicates monthly reporting and other report submissions to Merchant Shipping Secretariat (MSS)	MS Reg.				
QMS indicates seafarers age requirements (minimum age 16 )	A1.1.1				
Procedures in place to specify and inform the seafarer under 18 about the limitation of work that he/she can perform on board, e.g. doing night duties or participating in hazardous work?	A1.1.4 A4.3.2(b)				
Procedures exists for establishing and maintaining a seafarers register	A1.4.5c (i)				
What are the procedures for recording information in the seafarer’s file? (qualifications, employment agreement, relevant personal data, relevant medical data)	B1.4.2b				
What are the procedures for access to the data register?	B1.4.2b				
Who in the organization have access?					
What are the procedures for maintaining confidentiality of information	B1.4.2b				
What procedures are in place for ensuring emergency contact between family and seafarer while at sea	B1.4.2c				

	Which procedures are in place in order to verify documents, certificates and employment references?	B1.4.1.2(i)				
	Seafarer complaints processes and record including company responses					
	The QMS has an established notification process to advise MSS of unresolved complaints of incidents					
	Processes exist to ensure compliance with the followings; <ul style="list-style-type: none"> <li>✓ Standards set out in A1.4 of MLC;</li> <li>✓ Shall not operate without COA;</li> <li>✓ Mandatory provisions of reg. 7(5)of National reg;</li> <li>✓ Informing of MSS in cases of changes to manning agreements;</li> <li>✓ Change of place of operation within 7 working days;</li> </ul>					
	Seafarers recruited or placed shall be informed of their rights and duties under their employment agreements prior to or in the process of engagement.	A1.4.5c,(ii)				
	Procedures exist to remind MSS about annual verification 3 month before due date					
<b>Collective Agreements</b>	All collective bargaining agreements applicable to seafarers recruited and/or placed on vessels are available	A 2.1/2 Reg. 8(5)				
<b>Seafarers Employment Agreements</b>	SEA exists for each recruited and/or placed seafarer	A 2.1/1				
	Which procedures are in place in order to ensure that applicable laws, regulations and collective bargaining are	MLC Reg.2.1				

	covered in the agreement are complied with?					
	Are the seafarer enrolled in a health and social security protection provided by the ship owner?	A2.1.4h				
	Which procedures are in place in order to ensure that seafarers can make use of their right to review the agreement before and after they are signed?	A2.1.b				
	Are all seafarers issued a signed original contract? (According to MLC one original for the seafarer and one original for RPS)	A2.1. c				
	Which procedures are in place in order to ensure that the minimum requirements for the content of the seafarer's employment agreement are complied with?  Including:	A2.1.4				
	Seafarers full name, date of birth or age and birth place	A2.1.4a				
	Ship owner's name address	A2.1.4b				
	Place and date where the employment agreement will start	A2.1.4c				
	Capacity of the seafarer	A2.1.4d				
	Seafarers wage, allotment and exchange currency available including formula how the calculation for his wage has been concluded?	A2.1.4e				

	Amount of paid annual leave including formula how the calculation for his wage has been concluded?	A 2.1.4 f				
	The conditions of termination	A 2.1.4 g				
	Health and social security conditions	A 2.1.4 h				
	Repatriation	A 2.1.4 i				
	Reference to collective bargaining agreement	A 2.1.4 j				
	Other particulars national law may require	A 2.1.4 k				
	Which procedures are in place in order to verify that labour conditions are in conformity with applicable collective bargaining agreements concluded between ship owner and seafarer's organization	A1.4.3(c) A1.4.5(c)(ii)				
	Provisions for continuation while seafarer is held captive					
<b>Seafarer Register</b>	Current Register (may be in electronic form)	MS Reg. 7(7)				
	Seafarer's qualifications and training, including restrictions					
	Records of employment					
	Seafarer's medical data (Relevant to employment)					
	Applicable job posting and qualifications					

	Accuracy of seafarer registry					
	Seafarer reference and their verification					
	Right to privacy and protection of confidential					
	Retention Period (one year from the date of creation, one year after the last employment)					
	Submission of signed SEA to the shipping officer within one week of signing					
<b>Vessel Register</b>	Current and accurate register of vessels where seafarers are placed					
	Vessel Name, IMO number, call sign and flag state					
<b>Qualifications and credentials of SRPS supervisory Staff</b>	Qualifications and currency of SRPS supervisory staff verified					
	Training records of supervisory staff					
	Supervisory staff demonstrate the minimum requirements of certification applicable to the seafarers being recruited and placed					
	Supervisory staffs credentials demonstrate knowledge of the MS (Maritime labour) Regulations	MS Reg. 7(5)				

<b>Seafarers complaints procedures</b>	A documented process exists that informs seafarers of their rights regarding complaints					
	A documented complaints process exists that includes reporting, responsibilities, accountability and follow-up					
	Documentation exists that recognizes SRPS responsibility to report unsolved complaints to MSS	MS Reg. 7 (5)				
<b>MLC obligations</b>	Ship owner has means to protected seafarer on ships from being standards in a foreign port					
	Dealing with family					
	24*7 emergency contact info					
	Reporting of incident or casualty causing injury or death, disappearance, loss overboard or homicide					
	Which procedures are in place to ensure that seafarers are not subject to exploitations regard to offer of engagement of particular ships or particular companies?					
	Which procedures are in place to prevent exploitations of seafarers from the issue of joining advantages or any other financial transactions between ship owner and seafarers which are handled by the SRPS?					
	Seafarer are informed of any particular and ship owners policies					
	Death and disability compensation are paid without under					



	delay					
	Have procedures to verify labour condition on ships are in conformity					
	Copy of COA is displayed					
	Which procedures are in place concerning information to seafarers employing on vessels flying the flag of a non-ratifying State	A1.4.8				
	Which procedures are in place to verify that the labour conditions on ships where the seafarer are placed are in conformity agreements and concluded between ships owner and seafarer's organization?	B1.4.1.2(k)				

CA - Corrective actions required

Signature of the Auditor/s: -----