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|---|--|---|
| <b>MSS</b><br><i>EXAMINATION</i><br><i>UNIT</i> | <b>TRAINING INSTITUTE</b><br><b>AUDIT CHECK LIST</b> | Form No: EX-FO-002<br>Date of Issue: 2015.01.01<br>Rev. No: 02<br>Rev. Date: 2016.09.22<br>Reviewed by : MR<br>Approved by : DGMS |
|---|--|---|

**Form No: EX/FO/002**

## **MARITIME TRAINING INSTITUTE AUDIT CHECKLIST**

**Name of the Institute** : .....

**Date of Audit** : .....

**Inspection Areas:**

- Area 1            Approvals & Licenses**
- Area 2            Quality Management System**
- Area 3            Syllabuses & Lecture notes**
- Area 4            Time Tables**
- Area 5            Student Guidelines / Handbooks**
- Area 6            Weak Student Handling Procedures**
- Area 7            Examinations & Assessments**
- Area 8            Class Room Facilities**
- Area 9            Lecturer's Standards**
- Area 10           Witness a Class Room Session**
- Area 11           Student's Complains Handling Procedure**
- Area 12           Library Facilities**
- Area 13           Equipments & Facilities**
- Area 14           Evidences of Adhering to Adopted Procedures & Regulations**
- Area 15           NCRs Handling Procedure**
- Area 16           Student's Disciplinary Procedures**
- Area 17           General Facilities**

**Area 18      Emergency Preparednes**

| Item # | Inspection Area 1<br>Approvals & licenses   | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|--------|---|------------------|----|-----|---|
|        |   | Yes              | No | N/A |   |
| 1-01   | Valid annual license available  |                  |    |     |   |
| 1-02   | Date of last Audit  |                  |    |     | Date:                                   |
| 1-03   | Date of Certification   |                  |    |     | Date:                                   |
| 1-04   | Number of courses approved  |                  |    |     |   |
| 1-05   | Course approvals available for the courses being conducted                        |                  |    |     | No:                                     |
|        |   |                  |    |     |   |
| Item # | Inspection Area 2<br>Quality management system                                    | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |   | Yes              | No | N/A |   |
| 2-01   | Certified quality management system available                                     |                  |    |     |   |
| 2-02   | Certifying authority  |                  |    |     |   |
| 2-03   | Date of Certification   |                  |    |     |   |
| 2-04   | Date of the last audit of the certifying authority                                |                  |    |     |   |
| 2-05   | Non-conformities raised   |                  |    |     |   |
| 2-06   | Corrective & preventive actions proposed, rectified within stipulated time period |                  |    |     |   |
| 2-07   | Has the quality management review being carried out regularly                     |                  |    |     |   |
| 2-08   | Decisions of the management meetings being implemented effectively                |                  |    |     |   |
| 2-09   | Record keeping procedures available   |                  |    |     |   |
|        |   |                  |    |     |   |
| Item # | Inspection Area 3<br>Syllabuses & Lecture notes                                   | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |   | Yes              | No | N/A |   |
| 3-01   | Core syllabuses available   |                  |    |     |   |
| 3-02   | Core syllabuses comply with the guide lines provided by the Administration/       |                  |    |     |   |

|        |  |                         |           |            |  |
|--------|--|-------------------------|-----------|------------|--|
|        | STCW Code (STCW courses) / IMO model courses   |                         |           |            |  |
| 3-03   | Core syllabuses comply with the aims & objectives of the courses (Non STCW courses)  |                         |           |            |  |
| 3-04   | Detailed syllabuses available  |                         |           |            |  |
| 3-05   | Detailed syllabuses complies with the guidelines/core syllabuses provided by the Administration/ STCW Code/ IMO model courses.   |                         |           |            |  |
| 3-06   | Updating procedures for detailed syllabuses are available  |                         |           |            |  |
| 3-07   | Detailed syllabuses last updates witnessed   |                         |           |            |  |
| 3-08   | Lesson plan & lecture notes complies with detailed syllabuses  |                         |           |            |  |
| 3-09   | Lecture notes, updates witnessed   |                         |           |            |  |
| 3-10   | Revision dates on the lecture notes complies with the latest updates   |                         |           |            |  |
| 3-11   | Distribution of lecture notes recoded & for the classes being conducted at present   |                         |           |            |  |
| 3-12   | Monitoring records are being monitored by the head of the department   |                         |           |            |  |
|        |  |                         |           |            |  |
| Item # | <b>Inspection Area 4<br/>Timetables</b>  | <b>Tick as Required</b> |           |            | <b>Comments / Findings / Auditor's remarks</b> |
|        |  | <b>Yes</b>              | <b>No</b> | <b>N/A</b> |  |
| 4-01   | Timetables comply with the course structure  |                         |           |            |  |
| 4-02   | Copies of timetables are provided to the students  |                         |           |            |  |
| 4-03   | Timetables shall include at least: <ul style="list-style-type: none"> <li>a) Name of the course</li> <li>b) Name of the course coordinator</li> <li>c) Date of the commencement of the course</li> <li>d) Expected date of completion</li> <li>e) Date of examinations</li> <li>f) Periods allocated for the subjects</li> <li>g) Names of the relevant lecturers with their subjects</li> </ul> |                         |           |            |  |

| Item # | Inspection Area 5<br>Handouts / handbooks<br>(not applicable for short courses)               | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|--------|---|------------------|----|-----|---|
|        |   | Yes              | No | N/A |   |
| 5-01   | Handouts / handbooks related to the course are provided to the students                       |                  |    |     |   |
| 5-02   | It complies with the course structure and procedures  |                  |    |     |   |
|        |   |                  |    |     |   |
|        |   |                  |    |     |   |
| Item # | Inspection Area 6<br>Weak students handling procedures  | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |   | Yes              | No | N/A |   |
| 6-01   | Individual Quality Management system must decline how they shall identify a weak student.     |                  |    |     |   |
| 6-02   | Weak students handling procedures available.  |                  |    |     |   |
| 6-03   | Evidences available for the same  |                  |    |     |   |
|        |   |                  |    |     |   |
| Item # | Inspection Area 7<br>Examinations & assessments   | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |   | Yes              | No | N/A |   |
| 7-01   | Examinations and assessment procedures available  |                  |    |     |   |
| 7-02   | Question banks available  |                  |    |     |   |
| 7-03   | Is the access to the question bank is restricted  |                  |    |     |   |
| 7-04   | Question papers are not set by the lecturers/ trainers who are engaged in lecturing/ training |                  |    |     |   |
| 7-05   | Updating procedure available for the question banks   |                  |    |     |   |
| 7-06   | Moderation of question papers are done & evidence is available                                |                  |    |     |   |

| 7-07   | Invigilation is conducted by personal who are not engage in lecturing/training of the relevant subject  |                  |    |     |   |
|--------|---|------------------|----|-----|---|
| 7-08   | Examination regulations are available & provided to the students  |                  |    |     |   |
| 7-09   | Scrutinizing is carried out as per a scheduled procedure  |                  |    |     |   |
| 7-10   | Evidence of moderating the answer scripts by institute available  |                  |    |     |   |
| 7-11   | Evidence of moderating the answer scripts by MSS official available (% random check) (Prior to release the examination results by institutes)   |                  |    |     |   |
| 7-12   | Evidences of releasing the results within a reasonable time period after the examination<br>QM should define, but should not fall below the guidelines.<br>Answer scripts are maintained for a period of minimum 2 Years. |                  |    |     |   |
| Item # | Inspection Area 8<br>Classroom facilities   | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |   | Yes              | No | N/A |   |
| 8-01   | Seating capacity is sufficient for the <b>specified number</b> of students  |                  |    |     |   |
| 8-02   | Ventilation is sufficient   |                  |    |     |   |
| 8-03   | Lighting is sufficient  |                  |    |     |   |
| 8-04   | Sound free environment  |                  |    |     |   |
| 8-05   | Teaching aids available as appropriate (Eg. White board, OHP, multimedia etc.)  |                  |    |     |   |
| 8-06   | IMO guidelines shall be fulfilled in view of special requirements of teaching aids.   |                  |    |     |   |
| 8-07   | Doors, windows, locks and latches are in good condition and in working order.   |                  |    |     |   |
| 8-08   | All furniture is safe and in good condition   |                  |    |     |   |
| 8-09   | Safety measures are observed in workshops   |                  |    |     |   |
| 8-10   | Required personal protective equipment is available and in good condition in the workshops  |                  |    |     |   |

| Item # | Inspection Area 9<br>Lecturer's standards  | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|--------|--|------------------|----|-----|---|
|        |  | Yes              | No | N/A |   |
| 9-01   | Recruitment procedures for lecturers/trainers available  |                  |    |     |   |
| 9-02   | Each curriculum contain the minimum qualifications for each instructor and evaluator designated to instruct/evaluate in the curriculum   |                  |    |     |   |
| 9-03   | Lecturers/trainers are professionally qualified to conduct the relevant classes/subjects   |                  |    |     |   |
| 9-04   | Do all instructors receive necessary/appropriate training including "Training of Trainers"?  |                  |    |     |   |
| 9-05   | Job descriptions are provided to the lecturers/trainers  |                  |    |     |   |
| 9-06   | <b>Approved</b> lecturing material provided to the lecturers. This shall include at least:<br>a) Time tables<br>b) Syllabuses<br>c) Monitoring records<br>d) Text books required<br>e) Student's handouts<br>f) Audio/video training materials as necessary<br>g) Presentations as necessary |                  |    |     |   |
| 9-07   | Lecturer/training updating/training procedures available   |                  |    |     |   |
| Item # | Inspection Area 10<br>Witness a class room session   | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |  | Yes              | No | N/A |   |
| 10-01  | Delivery of the subject is clear   |                  |    |     |   |
| 10-02  | Confident in delivering the lecture  |                  |    |     |   |
| 10-03  | Eye contacts maintained  |                  |    |     |   |

| 10-04  | Equipped with the necessary materials required for the particular class             |                  |    |     |   |
|--------|---|------------------|----|-----|---|
| 10-05  | Involvement of the students is satisfactory during the class                        |                  |    |     |   |
|        |   |                  |    |     |   |
| Item # | Inspection Area 11<br>Complains & Feedback handling procedure                       | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |   | Yes              | No | N/A |   |
| 11-01  | Student complaint procedures available  |                  |    |     |   |
| 11-02  | Evidences of necessary actions taken in case of a student's complains are available |                  |    |     |   |
| 11-03  | Students complains are dealt within a reasonable time period                        |                  |    |     |   |
| 11-04  | Student / Custom feedback procedures are implemented                                |                  |    |     |   |
| 11-05  | Feedback are evaluated & action taken   |                  |    |     |   |
| 11-06  | Procedures available for lecturers evaluations                                      |                  |    |     |   |
| 11-07  | Documentary evidences of such evaluations and actions taken available               |                  |    |     |   |
|        |   |                  |    |     |   |
| Item # | Inspection Area 12<br>Library facilities (not applicable for short courses)         | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |   | Yes              | No | N/A |   |
| 12-01  | Necessary books available   |                  |    |     |   |
| 12-02  | Sufficient number of books available  |                  |    |     |   |
| 12-03  | Latest editions of books available  |                  |    |     |   |
| 12-04  | No photo copied books found   |                  |    |     |   |

| 12-05  | Sufficient seating areas available  |                  |    |     |   |
|--------|---|------------------|----|-----|---|
| 12-06  | Books lending system available  |                  |    |     |   |
| 12-07  | Proper ventilation available  |                  |    |     |   |
| 12-08  | Sufficient lighting available   |                  |    |     |   |
| 12-09  | Sound & trouble free environment  |                  |    |     |   |
|        |   |                  |    |     |   |
| Item # | Inspection Area 13<br>Equipments & facilities   | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |   | Yes              | No | N/A |   |
| 13-01  | The equipment and facilities shall be functional & sufficient for the specified number of students as per MSS guidelines. |                  |    |     |   |
| 13-02  | Training Equipment (attached a copy)<br>Navigational<br>Engineering<br>Communication<br>Short Courses                     |                  |    |     |   |
| 13-03  | Amount of equipment check against the approved list of the equipment (each course must have a separate list)              |                  |    |     |   |
| 13-04  | Does the training institute ensure only approved checklists are used during training, testing, and checking?              |                  |    |     |   |
| 13-05  | Does the Institute have a policy / procedure for managing missing, malfunctioning, or inoperative training equipment?     |                  |    |     |   |
| 13-06  | Training equipment shall comply with minimum IMO guidelines   |                  |    |     |   |
| 13-07  | During the training, testing, or checking, was all of the maritime training components operative?                         |                  |    |     |   |
|        |   |                  |    |     |   |
| Item # | Inspection Area 14<br>Evidences of adhering to adopted procedures & regulations   | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |   | Yes              | No | N/A |   |



|       |   |  |  |  |  |
|-------|---|--|--|--|--|
| 14-01 | Student entry criteria complied with  |  |  |  |  |
| 14-02 | The administration informed prior to the commencement of the courses along with a student list with the qualification and approval received (at least on the date of the commencement of the course)  |  |  |  |  |
| 14-03 | Seafarers on board training record books (TRB) and assignment books are monitored   |  |  |  |  |
| 14-04 | Evidence of records of evaluation of seafarers TRB and Assignment books maintained at the institute (A copy of same to submit MSS examination unit for their personal files)  |  |  |  |  |
| 14-05 | Evidence of maintaining a record of issuing TRBs to sea farers or other institutes  |  |  |  |  |
| 14-06 | Necessary classroom attendances complied with   |  |  |  |  |
| 14-07 | The specified maximum number of students per classroom not violated   |  |  |  |  |
| 14-08 | Evaluation & assessment procedures and regulations complied with  |  |  |  |  |
| 14-09 | Administration approvals for the examinations received  |  |  |  |  |
| 14-10 | Administration approvals for the results received   |  |  |  |  |
| 14-11 | Records of students maintained for a period of .....years (As per QMS guidelines)   |  |  |  |  |
| 14-12 | Records of the students are available and shall at least include:<br><br>a) Name of the trainee / Index no<br>b) A copy of the Letter of Eligibility<br>c) Copies of the trainee's certificates<br>d) A copy of the medical certificate.<br>e) The name of the course<br>f) The trainee's prerequisite experience and course time completed.<br>g) The date and result of each end-of-course practical test and the |  |  |  |  |

|        |  |                         |           |            |  |
|--------|--|-------------------------|-----------|------------|--|
|        | name of the evaluator conducting the test.<br><br>Evidence of maintaining course durations as stipulated in MSS approved course list   |                         |           |            |  |
| 14-13  | Is the MSS permission obtained to compact any training program due any reason less than stipulated duration in MSS approved course list  |                         |           |            |  |
| 14-14  | Confirmation of enough lecturers' availability against discharged training programs per day (Random selection of a course and verification of adequacy of lecturers against issued certificates and attendance lists of lecturers and candidates for the particular day for the particular course) |                         |           |            |  |
|        |  |                         |           |            |  |
| Item # | <b>Inspection Area 15<br/>NCR's handling procedure</b>   | <b>Tick as Required</b> |           |            | <b>Comments / Findings / Auditor's remarks</b> |
|        |  | <b>Yes</b>              | <b>No</b> | <b>N/A</b> |  |
| 15-01  | Have procedures to deal with NCRs  |                         |           |            |  |
| 15-02  | Corrective actions taken for former NCRs within a reasonable / agreed time period  |                         |           |            |  |
| 15-03  | All the former NCRs are closed   |                         |           |            |  |
| 15-04  | Is there a history of similar NCRs being raised  |                         |           |            |  |
|        |  |                         |           |            |  |
| Item # | <b>Inspection Area 16<br/>Student's disciplinary procedures</b>  | <b>Tick as Required</b> |           |            | <b>Comments / Findings / Auditor's remarks</b> |
|        |  | <b>Yes</b>              | <b>No</b> | <b>N/A</b> |  |
| 16-1   | Procedures to deal with student's disciplinary violations are available  |                         |           |            |  |
| 16-2   | Documentary evidences of such violations and actions taken are witnessed   |                         |           |            |  |
|        |  |                         |           |            |  |

| Item # | Inspection Area 17<br>General facilities   | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|--------|--|------------------|----|-----|---|
|        |  | Yes              | No | N/A |   |
| 17-01  | Hazardous areas are identified and appropriate notices are displayed   |                  |    |     |   |
| 17-02  | Safe operating procedures are displayed with all potentially hazardous equipment   |                  |    |     |   |
| 17-03  | Flammable material is stored and handled in a safe manner  |                  |    |     |   |
| 17-04  | Hazardous substances are stored and labelled appropriately   |                  |    |     |   |
| 17-08  | Catering area available with<br>a) sufficient seating capacity<br>b) sufficient ventilation<br>c) good hygiene and clean environment |                  |    |     |   |
| 17-09  | Good overall cleanliness   |                  |    |     |   |
| 17-10  | Steps/stairs/ramps are in a safe condition with non-slip surface, and secure handrails where needed.                                 |                  |    |     |   |
| 17-11  | Recreational areas available for the students  |                  |    |     |   |
| 17-12  | Recreational facilities available for the students   |                  |    |     |   |
|        |  |                  |    |     |   |
| Item # | Inspection Area 18<br>Emergency Preparedness   | Tick as Required |    |     | Comments / Findings / Auditor's remarks |
|        |  | Yes              | No | N/A |   |
| 18-01  | First aid facilities available   |                  |    |     |   |
| 18-02  | Emergency hospitalization methods available  |                  |    |     |   |
| 18-03  | Emergency contact numbers available  |                  |    |     |   |
| 18-04  | Emergency procedures for fire available  |                  |    |     |   |
| 18-05  | Fire muster point available  |                  |    |     |   |
| 18-06  | Fire station duties are known by the staff members   |                  |    |     |   |

|       |   |  |  |  |  |
|-------|---|--|--|--|--|
| 18-07 | Fire, Safety & emergency procedure properly displayed   |  |  |  |  |
| 18-08 | Fire control equipment is easily accessible, signed, regularly tested and of the appropriate type |  |  |  |  |
| 18-09 | Routine fire / Emergency drills conducted   |  |  |  |  |
| 18-10 | The date of the last fire / emergency drill conducted   |  |  |  |  |
|       |   |  |  |  |  |

| No. | Name of the Auditors | Title | Signature |
|-----|----------------------|-------|-----------|
| 01  |                      |       |           |
| 02  |                      |       |           |
| 03  |                      |       |           |
| 04  |                      |       |           |
| 05  |                      |       |           |

|  |  |                                    |  |
|--|--|------------------------------------|--|
| Non-Conformities (If any refer form A) |  | Observations (If any refer form B) |  |
|--|--|------------------------------------|--|

This is to acknowledge that above, non-conformities, observations have been discussed during the closing meeting and agreed to above findings with below remarks / comments.

|   |  |
|---|--|
| <b>Remarks, Comments if any, from the Maritime training institute</b> |  |
|---|--|

|             |  |                  |  |
|-------------|--|------------------|--|
| <b>Name</b> |  | <b>Title</b>     |  |
| <b>Date</b> |  | <b>Signature</b> |  |

|   |  |   |
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| <b>MSS</b><br><i>EXAMINATION<br/>UNIT</i> | <b>TRAINING INSTITUTE<br/>AUDIT CHECK LIST</b> | Form No: EX-FO-003<br>Date of Issue: 2015.01.01<br>Rev. No: 02<br>Rev. Date: 2016.09.22<br>Reviewed by : MR<br>Approved by : DGMS |
|---|--|---|

**Form No:** EX/FO/003

**Name of College :** CINEC  
**Date of Audit :** 07.12.2016

### Form A : Non-Conformity

Below is a list of non-conformities found during the audit. Please start to take corrective and preventive actions as soon as possible. For all non- conformities the corrective action plan to be sent to MSS office as soon as possible and close all NC's within **21 Days** from the agreed date of Audit report.

| Ref. No. | Def. No. | Reference To Standards | Non-Conformity |
|----------|----------|------------------------|----------------|
| 1.       |          |                        |                |
| 2.       |          |                        |                |
| 3.       |          |                        |                |
| 4.       |          |                        |                |
| 5.       |          |                        |                |
| 6.       |          |                        |                |

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| <b>MSS</b><br><i>EXAMINATION</i><br><i>UNIT</i> | <b>TRAINING INSTITUTE</b><br><b>AUDIT CHECK LIST</b> | Form No: EX-FO-004<br>Date of Issue: 2015.01.01<br>Rev. No: 02<br>Rev. Date: 2016.09.22<br>Reviewed by : MR<br>Approved by : DGMS |
|---|--|---|

**Form No:** EX/FO/004

**Name of College :** CINEC  
**Date of Audit :** 07.12.2016

**Form B : Observations & Recommendations**

Below is a list of observations and recommendations found during the audit. Please start to take corrective and preventive actions as soon as possible. For all observations the corrective action plan to be sent to the MSS office as soon as possible and close all observations within **21 Days** from the agreed date of Audit report.

| Ref. No. | Def. No. | Reference To Standards | Observations & Recommendations |
|----------|----------|------------------------|--------------------------------|
| 1.       |          |                        |                                |
| 2.       |          |                        |                                |
| 3.       |          |                        |                                |
| 4.       |          |                        |                                |
| 5.       |          |                        |                                |

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| <b>MSS</b><br><i>EXAMINATION<br/>UNIT</i> | <b>TRAINING INSTITUTE<br/>AUDIT CHECK LIST</b> | Form No: EX-FO-005<br>Date of Issue: 2015.01.01<br>Rev. No: 02<br>Rev. Date: 2016.09.22<br>Reviewed by : MR<br>Approved by : DGMS |
|---|--|---|

**Form No: EX/FO/005**

Non-Conformity  / Observation  Report

| TRAINING CENTER NAME | REFERENCE     | TARGET DATE FOR COMPLETION    |
|----------------------|---------------|-------------------------------|
| NC / OBSERVATI ONNO. | DATE OF ISSUE | NC / OBSERVATION COMPLETED BY |

|  |
|--|
| <b>BRIEF DESCRIPTION OF NON CONFORMITY/OBSERVATION:</b><br><u>REQUIREMENT:</u><br><br> |
| <u>OBJECTIVE EVIDENCE :</u><br><br>  |

|   |           |
|---|-----------|
| <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> <hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> AUDITOR / DGMS<br>TRAINING CENTER | AUDITEE / |
|---|-----------|

|   |
|---|
| <u>IMMEDIATE ACTIONS TAKEN:</u><br><br> |
|---|

**ROOT CAUSES:**

IMMEDIATE:

BASIC:

ACTIONS TAKEN TO AVOID RE-OCCURRENCE:

**CLOSE OUT VERIFICATION (ATTACH PHOTO/ RECORDS):**

**DATE OF CLOSE OUT:**

\_\_\_\_\_  
RESPONSIBLE OFFICER OF THE  
TRAINING CENTER

UNCONTROLLED COPY