



**Merchant Shipping Secretariat
Ministry of Ports & Shipping**

MSS

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 Preparedness**

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Item #	Inspection Area 1 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 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				

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Item #	Inspection Area 3 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				

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Item #	Inspection Area 4 Timetables	Tick as Required			Comments / Findings / Auditor's remarks
		Yes	No	N/A	
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: a) Name of the course b) Name of the course coordinator c) Date of the commencement of the course d) Expected date of completion e) Date of examinations f) Periods allocated for the subjects g) Names of the relevant lecturers with their subjects				
Item #	Inspection Area 5 Handouts / handbooks (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 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.				

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6-02	Weak students handling procedures available.				
6-03	Evidences available for the same				
Item #	Inspection Area 7 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)				

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7-12	Evidences of releasing the results within a reasonable time period after the examination QM should define, but should not fall below the guidelines. Answer scripts are maintained for a period of minimum 2 Years.				
Item #	Inspection Area 8 Classroom facilities	Tick as Required			Comments / Findings / Auditor's remarks
		Yes	No	N/A	
8-01	Seating capacity is sufficient for the specified number 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				

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Item #	Inspection Area 9 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	Approved lecturing material provided to the lecturers. This shall include at least: a) Time tables b) Syllabuses c) Monitoring records d) Text books required e) Student's handouts f) Audio/video training materials as necessary g) Presentations as necessary				
9-07	Lecturer/training updating/training procedures available				

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Item #	Inspection Area 10 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 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				

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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 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				

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Item #	Inspection Area 13 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) Navigational Engineering Communication 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 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				

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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 ofyears (As per QMS guidelines)				
14-12	Records of the students are available and shall at least include: a) Name of the trainee / Index no b) A copy of the Letter of Eligibility c) Copies of the trainee's				

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	<p>certificates</p> <p>d) A copy of the medical certificate.</p> <p>e) The name of the course</p> <p>f) The trainee's prerequisite experience and course time completed.</p> <p>g) The date and result of each end-of-course practical test and the name of the evaluator conducting the test.</p> <p>Evidence of maintaining course durations as stipulated in MSS approved course list</p>				
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 #	Inspection Area 15 NCR's handling procedure	Tick as Required			Comments / Findings / Auditor's remarks
		Yes	No	N/A	
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				

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15-04	Is there a history of similar NCRs being raised				
Item #	Inspection Area 16 Student's disciplinary procedures	Tick as Required			Comments / Findings / Auditor's remarks
		Yes	No	N/A	
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 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 a) sufficient seating capacity b) sufficient ventilation c) good hygiene and clean environment				
17-09	Good overall cleanliness				

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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 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				

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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)	
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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.

Remarks, Comments if any, from the Maritime training institute	
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Name		Title	
Date		Signature	

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