Foreword

The purpose of this Guide is to detail the ABS requirements for Certification of facilities that provide maritime education and their training programs for those involved in the marine and offshore industries. This includes training provided by owners or managers or their agents for ship and offshore crew and by State or privately operated academies or training facilities.

Training courses or programs assessed may be mandatory or voluntary and of short or extended duration. Mandatory courses typically include those meeting the IMO International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1995 (STCW ‘95) as amended, or those that may be mandated by flag Administrations for vessels or facilities in their jurisdiction. Voluntary training courses typically include those meeting other industry standards, such as OCIMF’s “Tanker Management & Self-Assessment” (TMSA), the Intertanko “Tanker Officer Training Standards” (TOTS) and other applicable standards published by industry organizations, such as the “Society of International Gas Tanker & Terminal Operators” (SIGTTO).

This Guide becomes effective on the first day of the month of publication.

Users of this Guide are welcome to contact ABS with any questions or comments concerning its content. Users are also advised to check periodically on the ABS website www.eagle.org to verify that this version of the Guide is current.

Comments or suggestions can be sent electronically to academy@eagle.org for review.
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SECTION 1 General

1 Objective

This Guide is intended to provide a uniform international standard for the verification and certification of maritime and offshore related education and training facilities and of the courses they provide that implement and maintain management systems in accordance with these requirements.

The goal of the certification is to verify periodically that the education or training provided:

- Meets specified minimum criteria in terms of the development, content, and delivery of the courses
- Is of a uniform quality when compared with accepted industry standards
- Remains suitable and effective for its intended purpose with a view to continual improvement

3 Coverage

The coverage of this Guide encompasses the processes and activities associated with the provision of mandatory and voluntary training or education provided by owners, managers, their agents, or government agencies for maritime and offshore personnel by State or privately operated academies or training facilities.

Training or educational facilities that hold or are covered under a valid ISO 9001 Quality Management System Certificate from an Accredited Registrar may be given special consideration with respect to those elements of the following standards in this Guide that can be considered duplicative.

5 Structure

The text of this Guide details the requirements under this ABS standard (G-CMET) for verification and certification. Training providers should maintain compliance with these clauses as applicable.

7 Applicability

The requirements of this Guide are applicable to providers of maritime education or training regardless of type, size and maritime education program or training provided.

9 Exclusions

Where any requirement(s) of this ABS Guide cannot be applied due to the nature of the organization or the maritime education/training service provided, this may be considered for exclusion, provided such exclusions do not affect the organization’s ability to provide service that meets customer and applicable statutory and regulatory requirements. Justification for such exclusions must be stated in the quality manual.

11 References

The following referenced documents are indispensable for the application of this Guide:

1. ISO 9001 (latest version), Quality management systems – Requirements
2. ISO 9000 (latest version), Quality management systems – Fundamentals
SECTION 2 Definitions

In the context of this Guide, the following clarifications are provided for uniform interpretation:

1 Activity
An element of a training course designed to achieve a learning or course objective (e.g., simulator session, practical session, reading assignment, lecture, etc.).

3 Anniversary Date
The day and month of each year that corresponds to the date of expiry of the relevant document or certificate.

5 Assessment
See “Examination”.

7 Audit
Systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.

9 Auditee
An individual or organization to be audited.

11 Audit Evidence
Records, statements of fact, or other information which are relevant to the audit criteria and verifiable.

13 Audit Team
Specialist(s) verifying that the facility and training courses comply with this Guide and/or other applicable standards.

15 Authorized Examiner
An examiner who meets the experience and qualification requirements for assessing students who have received tuition on a particular topic.

17 Authorized Instructor
An instructor who meets the experience and qualification requirements for teaching a particular topic.

19 Blended Learning
A curriculum or course composed of different learning media (e.g., instructor-led training, virtual classroom, video on demand, simulation, web-based training, structured on the job training, etc.)
21 Certification
The procedure and action, by a duly authorized body, of determining, verifying, and attesting in writing to the qualifications of personnel, processes, and/or procedures, in accordance with applicable requirements.

23 Certified Training Course
A course that has been submitted to ABS and verified as being compliant with the relevant standard.

25 Class Size
The maximum number of students that may participate in a class for the purpose of effective training.

27 Client
See “Customer”.

29 Company
The organization or part of an organization responsible for the training development, delivery, quality control, and administration of training courses provided.

31 Computer-Based Training (CBT)
A method of electronic delivery of training.

33 Competence
The ability to perform particular tasks and duties to the standard of performance expected in the workplace. This may include knowledge, skills, attitude, and other such characteristics.

35 Competency
The description of the knowledge, skills, experience, and behavioral attributes necessary to carry out a defined function to the standard of performance expected in the workplace.

37 Conformance
An affirmative indication or judgment that the service provided has met the stated or implied requirements of the relevant specifications, contract or regulations. Also the state of meeting requirements.

39 Continual Improvement
Recurring activity to increase the ability to fulfill requirements by finding opportunities for improvement through the use of audit findings, analysis of data, management reviews, and corrective and preventive actions.

41 Corrective Action
Action to eliminate the root cause(s) of a detected nonconformity or other undesirable situation.

43 Course Objective
A desired outcome from a training course or training program.
45 **Curriculum**
A set of courses in an area of specialization.

47 **Customer**
Organization or person that receives the training or educational service.

49 **Customer Satisfaction**
Customer’s perception of the degree to which the customer’s requirements have been fulfilled.

51 **Education**
A formal process by which knowledge, skills, customs, and values are transmitted over a specified period to the learner.

53 **e-Learning**
Methods for remote electronic delivery of training.

55 **Evaluation**
See “Examination”.

57 **Examination**
A written, verbal, or practical method to assess the extent to which the individual has achieved the desired learning outcomes.

59 **Examiner**
A person who performs an assessment, examination, or evaluation.

61 **Finding**
Objective evidence that a control feature of a management system was not implemented in accordance with requirements. (Nonconformance, noncompliance, deviation, deficiency)

63 **Follow-up Audit**
An audit which verifies that corrective action has been accomplished as scheduled and determines that the action taken was effective in preventing or minimizing recurrence.

65 **Instructor**
A person who imparts desired knowledge, skills, behavior, and attitude (e.g., teacher, lecturer, professor, trainer, coach.).

67 **Instructor Led Training (ILT)**
Classroom-based training.
69 **Knowledge**
Familiarity, awareness, or understanding gained through experience, self-study, or education and training.

71 **Learner**
A person enrolled in or attending training or education. A learner is always considered as the customer.

73 **Learning Objective**
A desired outcome from an activity.

75 **Major Nonconformance (Nonconformity or Noncompliance)**
A nonconformance that is significant in nature and indicates the absence of an element of the management system or lack of its implementation that significantly impacts the quality of the delivered learning.

77 **Nonconformance (Nonconformity or Noncompliance)**
An observed situation where objective evidence indicates the non-fulfillment of a specified requirement.

79 **Objective Evidence**
Quantitative or qualitative information, records, or statements of fact pertaining to quality or to the existence and implementation of a management system element, which is based on observation, measurement, or test and which can be verified.

81 **Observation**
A concern or weakness detected in the quality management system. Not a finding, but a condition that may become a finding if not addressed.

83 **Organization**
See “Company”.

85 **Participant**
See “Learner”.

87 **Preventive Action**
Action to eliminate the cause of a potential nonconformity or other undesirable potential situation.

89 **Procedure**
Specified way to carry out an activity or a process.

91 **Process**
A set of interrelated or interacting activities which transforms inputs into outputs.

93 **Provider**
Person(s) who deliver training or education to the learners.
95 **Responsible Person (RP)**

The member of the facility management team appointed by the senior management to be responsible for the compliance of the training facility with quality standards set by them.

97 **Skill**

Competence, facility, or dexterity acquired by training, education, or experience.

99 **Syllabus**

A concise statement of the subjects forming a training course or program.

101 **Top Management**

Person or group of people who directs and controls an organization at the highest level.

103 **Training**

A process whereby skills and competence are developed to a minimum required standard for a particular topic or subject matter.

105 **Training Course or Program**

A series of activities designed to develop skills and competence. This may include lectures, required reading, exercises, practical sessions, e-learning, examinations, or other activities.

107 **Training Facility (or Educational Institution)**

Physical accommodation designed for the delivery of training or education.

109 **Video on Demand (VOD)**

Internet-based delivery of training using video.

111 **Virtual Classroom**

Internet-based delivery of instructor-led training.

113 **Web-Based Training (WBT)**

Internet-based delivery of interactive training materials.
SECTION 3 Certification

1 Audit Process

The certification audit is a dual phase process comprising an off-site Document Review and an on-site Verification Assessment of the system and processes for the provision of education/training covering, but not limited to, the following:

- Facility/Infrastructure
- Teaching aids/instructional materials
- Management structure
- Faculty/Instructors/Examiners
- Course content
- Examination system
- Feedback system
- Education/Training management system
- Results of previous audits

After an audit is completed, the audit team will compile an Audit Report to summarize the components of the audit, identify deficiencies, and make appropriate statements about opportunities for improvement and corrective actions, as appropriate.

All action(s) are to be completed within 90 days of the date of issuance of the Audit Report.

3 Award of Certificate

Following the timely closure of any non-conformances raised during the audit, the auditor’s recommendation for certification will be submitted for a formal decision by ABS.

A successful education/training organization may be awarded an ABS Certificate of Compliance (CoC), specifying the scope and period of certification. The certificate awarded has a validity of three years and is subject to contractual agreements and successful annual surveillance.

A sample Certificate can be found in Appendix 1 of this Guide.

An ABS Certified education/training facility may also request certification of individual courses offered by the facility. Subject to successful audit by ABS, such certification may be granted. The Certificate of Compliance of the education/training facility will be endorsed to show the specific courses which have been individually certified by ABS according to the requirements of this Guide.

5 ABS Certified Marine Training Logo

When a Company is successful in obtaining and maintaining its training or education Certification, the ABS Certified Marine Training Logo may be used in accord with the terms and conditions in Appendix 2 and in the form prescribed in Appendix 2, Figure 1.
7 Stage 1 – Application for Certification

The education or training organization applying for certification is to complete the Application Form found on the ABS web site at www.eagle.org under ABS Academy or obtained from one of the regional ABS Learning Centers. The application is to be signed by the organization’s Responsible Person (RP). It is to be submitted to the regional ABS office or emailed to absacademy@eagle.org.

9 Stage 2 – Application Review

On receipt of the application, ABS will verify the following details:

i) The organization is eligible for certification

ii) The organization has provided all required information

iii) The organization’s Responsible Person has signed the application to confirm that the requirements for certification have been understood and accepted

11 Stage 3 – Document Submission and Review

On acceptance of the application, the education/training facility is to submit the following documents to ABS for off-site review prior to the on-site assessment. Additional documentation may be requested when deemed necessary.

11.1 Facility Certification

For each facility of the organization to be certified, the following documents are to be submitted:

i) Contact information for the Academic Institution/Training Center/Company

ii) An organization chart containing the name of the Academic Institution/Training Center/Company and associated subsidiaries, and names and titles of individuals forming the management and education/training organization and depicting reporting relationships

iii) A Quality Manual or equivalent management system document containing the documented policies, quality statements and procedures for internal management control, monitoring measures, and follow-up actions necessary to effectively achieve the defined objectives

11.3 Training Course Certification

For each training course to be certified, the following documents are to be submitted:

i) The course description, including intended compliance standards, statement of maximum class size, learning media, and course participant pre-requisites for enrollment

ii) The course framework

iii) The course outline and timetable

iv) The detailed teaching syllabus

v) The instructor’s manual

vi) A list of the teaching materials used

vii) A copy of the evaluation or assessment system used

viii) A copy of the certificate issued

ix) A summary of course feedback to date on each course delivered

x) Course development documentation

xi) An approved list of authorized instructors and examiners

Examples of a typical course framework, outline, timetable, syllabus, and instructor’s manual can be found by reviewing an IMO Model course as per either reference 2 or 3.
11.5 Instructors
For each Authorized Instructor and Authorized Examiner, the following documents should be submitted:

i) A summary of the relevant qualifications in a tabular or suitable format

ii) The data should include ‘train-the-trainer’ and other courses completed, educational qualifications, experience, plus any other relevant information.

iii) This should be accompanied by a letter from the organization stating that Instructors are not approved for delivery of courses other than those they are qualified for and approved to deliver.

The actual certificates and qualification documents of instructors and examiners shall be verified during the on-site audit by ABS.

13 Stage 4 – Initial Audit
In order to verify the suitability and effectiveness of the organization’s existing training or education management system, ABS will conduct an on-site Initial Audit on mutually agreed dates after the document review process is satisfactorily completed. The audit plan or schedule will be sent to the organization in advance of the audit commencement.

The audit typically comprises a complete tour of the facilities, sighting of teaching aids and instructional materials, review of the management system including control of documentation, and random interviews with the faculty/training personnel to verify awareness and implementation of the management system procedures. Actual teaching sessions may be observed and electronic delivery systems viewed. This initial audit will cover all elements within the scope of the verification activity.

The Audit Report will then be submitted by ABS summarizing the audit activity and any observations or nonconformances that need action on the part of the organization. Any corrective actions required are to be completed within 90 days of the date of issuance of this report. Certification will be subject to closure of all findings.

15 Stage 5 – Surveillance Audit
To maintain the validity of the certificate, ABS will conduct a surveillance audit on the organization twice within the 3-year certification cycle. The surveillance audit can take place anytime ±3 months from the certificate anniversary date.

An ABS auditor/audit team will visit the education/training facility and conduct an on-site assessment to confirm the continued conformance of the organization to the requirements of the standard, including compliance with statutory, regulatory, and accreditation requirements, where applicable.

The audit typically comprises a tour of the facilities, sighting of teaching aids and instructional materials, review of the management system including change control documentation, and random interviews with the faculty/training personnel to verify awareness and continued implementation of the management system procedures. The audit involves random sampling across the scope.

17 Stage 6 – Renewal/Re-certification Audit
Within five months prior to the expiry of the certificate, ABS will conduct a renewal/re-certification audit of the organization every three years to maintain the certification. This renewal audit must be completed at any time in the preceding five months prior to the expiration date of the existing certificate, as no extension is permitted.

An ABS auditor/audit team will visit the education/training facility and conduct a thorough on-site assessment of all applicable elements to re-assess the continued conformance of the organization to the requirements of this Guide, including compliance with statutory, regulatory, and accreditation requirements, where applicable.

Upon satisfactory completion of the renewal/re-certification audit, the certificate may be re-issued.
19 **Follow-up Audit**

During any initial, surveillance, or renewal audit, if major or numerous deficiencies are identified that require further verification of having been attended to satisfactorily, the ABS audit team may recommend a Follow-up Audit.

This follow-up verification must take place within 90 days of submission of the initial, surveillance, or renewal audit report by ABS. All the identified nonconformances should be closed out in order to complete the requirements for certification. A Follow-up Audit Report will be submitted by ABS to the organization.

21 **Request Period**

The training or educational organization is to provide a minimum of 60 days’ notice of request for attendance to conduct an audit.

23 **Certificate Suspension or Withdrawal**

Where the requirements of this Guide or other conditions remain unsatisfied, the certificate will initially be suspended. During such suspension, the Company is not permitted to advertise or otherwise state that it has ABS certification in compliance with this Guide. If the noncompliance is sustained, the certificate will be withdrawn.

25 **Quality Standard System (QSS)**

ABS is a QSS organization and may review and approve a variety of STCW training on behalf of the US Coast Guard. The list of training that can be accepted by ABS under QSS status is included in Appendix 3.

27 **Change Management**

27.1 **General**

After initial certification, it can be expected that changes to the organization, personnel, or curricula will be implemented over time that may affect the quality of training provided. To remain in compliance with the requirements of this Guide, the reason for the change and the actual change to be made are to be identified and documented.

The nature and significance of the change may be such that an ABS review may be necessary. It is a condition of certification that ABS is kept informed of all changes that affect the quality of training delivered.

To assist with this requirement, the following guidance is provided.

27.3 **Training Facility Changes**

Where a physical change is made to an existing certified training facility, ABS is to be informed in advance of the changes being implemented in order to determine applicable audit and certification requirements.

27.5 **Management System Changes**

Where a change is made to the management system of a certified training facility ABS is to be informed of the changes at the time of the annual audit.

27.7 **Training Course Content Changes**

Where the content of a certified training course changes significantly, the course documentation is to be submitted for re-certification in the same format as the original submission and with all changes highlighted. Minor changes are to be summarized at the time of the annual internal audit. Evidence that course feedback is reviewed when updating course materials will be sought by the audit team.
27.9 New Training Facilities
Where new training facilities are built for delivery of certified training courses, documentation and a list of courses to be taught at the new premises shall be submitted for review and subsequent audit.

27.11 New Training Courses
Where new courses are added and certification is required, each new course must be submitted for review in accordance with this Guide. Subject to satisfactory audit, the relevant course titles will be added to the list of certified courses on the certificate, and the certificate will be endorsed appropriately.

27.13 New Instructors
Where new instructors are hired, their documentation and list of courses to be taught shall be submitted for review.
SECTION 4 Planning

1 Management System

1.1 Quality Commitment
The training or educational organization is to provide evidence of a firm commitment to the operation of a quality organization. The commitment of top management is considered to be critical to the success of quality management.

The breadth and scope of the elements in a quality management system are dependent upon the objectives, methods and administrative practices unique to an organization. This commitment can also be demonstrated by establishing a quality management system that complies with the requirements of this Guide.

Organizations that are ISO 9001 QMS certified already demonstrate this commitment, and proof of ISO 9001 certification may satisfy this requirement.

1.3 General
The organization shall establish, document, implement, and maintain a quality management system and continually improve its effectiveness. The organization shall define the scope of the quality management system and the areas included for its application.

The organization shall determine and manage the processes needed for the quality management system. Processes related to the aim of the organization shall be included during and following the provision of the educational or training service:

- Education/course design
- Curriculum/course development
- Education/course delivery
- Assessment of learning

The organizational structure, responsibilities, resources, and services shall be defined, made available to, and communicated within the organization in order to support improvement of the quality management system.

The organization shall identify and comply with statutory, regulatory, and accreditation requirements or any other standards or norms that apply to them.

1.5 Quality Policy
In order to clearly demonstrate its commitment to the delivery of quality education or training, the top management must ensure that an appropriate and clear quality policy is documented, communicated, and implemented at all levels of the organization.

This policy must focus on education or training service delivery and the top management’s approach to guiding and leading the decision making involved in the continual improvement of educational and training processes.

The policy should address the following, as a minimum:

- Achievement of customer satisfaction
- Setting and reviewing of quality objectives and targets
- Commitment to quality management and continual improvement
Since all employees impact the quality of the acceptance and monitoring of training or education, this policy must be understood by all members of the organization.

The highest authority in the organization shall sign the quality policy and ensure its continued suitability.

1.7 Documentation
The organization should maintain all necessary documentation for internal management control which identifies the procedures which promote the achievement of the defined policies and objectives.

This documentation should include at least the following elements:

i) Quality Policy statements (as per 4/1.5)
ii) Quality Manual and Objectives
iii) Organizational structure and responsibilities
iv) Documents and records required by statutory, regulatory, and accreditation bodies and this Guide
v) Procedures and Instructions necessary for effective planning, management, and control of the education or training service delivery and improvement processes

1.9 Quality Manual
The documented quality manual shall:

i) Describe the scope of the organization’s quality management system and interactions of its core and support processes
ii) Include, or contain, references to all applicable documented procedures and other criteria upon which the quality management system is based
iii) Also include terms and definitions required by the organization, applicable laws and regulations, accreditation and certification programs or support services, among others

3 Quality Standards

3.1 Application
The overall Quality Standard should be applied to both the management and operational levels of activity. It should take into account how the system is managed, organized, undertaken, and evaluated, so that identified goals can be achieved.

3.3 Coverage
The quality management system coverage of the academic and administrative organizational structure, responsibilities, processes, and resources (including staff and equipment) is to be clearly defined. Quality control functions to be applied to teaching, training, examination, and assessment activities are to be clearly defined.

5 Management Responsibility

5.1 Management Commitment
Top management shall provide evidence of its commitment to the development and implementation of the quality management system and its continual improvement by:

i) Communicating to the organization the importance of meeting customer, as well as statutory and regulatory, requirements
ii) Establishing the quality policy
iii) Establishing quality objectives to realize the aims and intentions that are expressed in the quality policy
iv) Considering the aim and future goals of the organization, taking into account the organization’s core competencies, strategic challenges, and strategic advantages

v) Promoting legal and ethical behavior

vi) Creating an environment for organizational performance improvement, leadership, innovation, and agility

vii) Conducting management reviews

viii) Ensuring availability of the human and material resources necessary for achieving the objectives

ix) Measuring organizational performance to monitor the fulfillment of the established policies and objectives

5.3 Customer Focus
Top management shall ensure that the needs and requirements of the learners and their employers are determined and are met with the aim of enhancing customer satisfaction. Methods of listening to and capturing the voice of current learners, as well as potential and former learners and other stakeholders, shall be established.

5.5 Responsible Person
Top management shall appoint a Responsible Person (RP) as its representative for the training or educational facility, to confirm that the requirements of this Guide are established, implemented, and maintained.

The Responsible Person must provide reports and communicate with learners, management, and other interested parties, on issues pertaining to the training/educational quality management system.

There may be one or more Responsible Person(s) appointed, provided their respective duties are clearly spelled out. Evidence of the official appointment of the RP(s) is required. The appointed person(s) shall report directly to the top management.

The Responsible Person may also serve as the liaison with the certifying and accreditation bodies.

The latest ISO 9001 clause 5.5.2 provides guidance on the selection and responsibilities of the Management Representative.

5.7 Functions and Responsibility
Top management shall clearly describe the organizational structure, with a focus on processes which support the development and deployment of the training/educational quality management system, as well as the organization’s objectives.

This shall include responsibility and authority delegation per functional area of the personnel involved in the quality management system processes, especially those that impact the quality of service provided.

Those personnel who manage and perform work affecting the quality monitoring function (review, acceptance, audit) should be identified, and adequate authority should be delegated to these individuals to allow them to find, record, and resolve problems within their areas of responsibility.

5.9 Internal Communication
Top management shall establish and implement effective processes for communicating all issues related to the effectiveness of the training/educational quality management system, such as policies, requirements, objectives, and achievements. They shall actively encourage communication feedback from personnel as a means of involving them and confirm that communication takes place between different organizational levels, as well across different areas and departments.
SECTION 5  Support Processes

1 Document Control
The organization shall control documents required by the training/educational quality management system and those documents which define, direct, and control instructional and support activities to verify that these are adequate, conform to requirements, and are continuously updated and available for use in their current version only.

The organization shall establish documented procedures for:

i) Editing, reviewing, updating, and approving internal documents, including their identification and revision status

ii) Controlling external documents, such as legislation, rules, government circulars, accreditation regulations, standards, and interested parties’ concerns, that shall be continually updated

iii) Ensuring that relevant documents are available to the organization’s personnel

iv) Managing and controlling the learner’s and instructor’s legal documents

v) Recording the revision history of changes made to learning materials

Procedures for activities such as course registration, course planning, research, and reporting shall be maintained to provide the complete and current set of documents needed.

3 Control of Records
Records established and retained to provide information about the activities carried out in the learning organization, and evidence of conformity to requirements and of the effective operation of the management system, shall be controlled.

The organization shall establish a documented procedure to define the controls needed for the identification, storage, protection, and retrieval of records. The same procedures shall also define the retention times and the disposal system.

Learner and instructional records within the guidelines of privacy protection shall be maintained by the organization.

5 Resource Provision
The educational organization shall identify all types of resources needed for the provision of the educational/training service and verify their availability for the effective performance of the quality management system and enhancing learner satisfaction.

The organization shall provide the resources to:

i) Perform resource planning for the short, medium, and long term

ii) Carry out follow-up of verification and assessment tasks

iii) Communicate effectively to the teaching/training staff, the administrative staff, employees, and learners

iv) Maintain and improve the effectiveness of the quality management system and so that learner and stakeholder needs are met
7 Human Resources
Personnel performing education/training service work shall be competent on the basis of appropriate education, training, skills, and experience.

The training organization is to maintain, as part of the quality system, a list of authorized instructors and examiners, and identify the modules or section of each training course which they are qualified to teach.

9 Personnel Competence and Training
Where appropriate the organization shall:

i) Systematically compare competence needs to curriculum/course requirements
ii) Where applicable, provide training or take other actions to achieve the necessary competence
iii) Evaluate the effectiveness of the actions taken
iv) Confirm that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the learning or organizational quality objectives;
v) Maintain appropriate personnel records of education, training, skills, and experience
vii) Provide employees with information on how their competence, awareness, and training are aligned with their responsibilities, authorities, and academic-administrative activities

11 Instructor and Examiner Records
The organization is to maintain, for each authorized instructor and examiner, a description of their experience, background, and qualifications to demonstrate they have the capability to deliver the course(s) and assess the participants appropriate to the course(s) being taught.

For each Authorized Instructor and Authorized Examiner the following records shall be maintained:

i) Certificate of successful completion of a “train-the-trainer” course based upon IMO Model course 6.09 or similar acceptable equivalent
ii) A resume detailing experience, qualifications, and training courses satisfactorily completed. The resume is to be endorsed by the training facility Responsible Person as being factual and representative.
iii) Letter of acceptance by the Training Facility as an instructor for the prescribed course(s). Instructors are not to deliver courses other than those for which they are qualified and approved

Where the education/training is provided for seafarers, Regulation I/6 of the STCW Convention requires that “those responsible for the training and assessment of competence of seafarers, as required under the Convention, are appropriately qualified in accordance with the provisions of section A-I/6 of the STCW Code for the type and level of training or assessment involved”.

11.1 Authorized Instructors and Examiners
Authorized instructors and examiners should:

i) Have experience, training, or have been instructed in effective instructional and assessment techniques. This may include performance evaluations and/or a successful completion certificate from a train-the-trainer course based upon IMO Model course 6.09 – Training Course for Instructors.
ii) Be qualified in the task for which training is being conducted and have relevant operational experience.
iii) Hold a valid license, endorsement, document, certificate, or other professional credential that indicates the relevant knowledge, skills, and abilities appropriate to the course(s) being taught. The level of the credential should be equal to or greater than that of the course participant who is seeking the relevant level of knowledge, skills, and abilities described in the training objectives.
Section 5 Support Processes

11.3 **Authorized Examiners**

In addition to the requirements stipulated in the 5/11.1, authorized examiners shall have at least 36 weeks of instructional experience appropriate to the course(s) being taught.

11.5 **Non-maritime Instructors**

Non-maritime instructors should be a specialist in their discipline.

11.7 **Simulator Instructors**

If applicable, the authorized instructor should have operational experience on the particular type of simulator being used and must also receive appropriate guidance in instructional techniques involving the use of simulators.

11.9 **Simulator Examiners**

If applicable, the authorized examiner should have practical assessment experience on the particular type of simulator being used and must also receive appropriate guidance in instructional techniques involving the use of simulators. The instructional techniques are to specifically address development of and sequencing of simulated scenarios which have specific assessment objectives to measure a seafarer’s performance against relevant assessment criteria.

13 **Infrastructure**

The organization shall identify the specific infrastructure, facilities, environment, and equipment needed to support the teaching-learning processes, as well as the educational service.

The educational organization shall determine programs for planning, providing, and maintaining the necessary infrastructure and for analyzing the associated risks regarding people’s security, safety, and hygiene.

Infrastructure includes, but is not limited to, any or all of the following:

- i) Buildings and working spaces
- ii) Classrooms and laboratories
- iii) Simulators and workshops
- iv) Libraries and bookstores
- v) Green areas and cafeterias
- vi) Online components and information systems (see Subsection 5/15)
- vii) Related services, such as health facilities, physical security, transport, and communications among others

15 **Information Technology**

The organization shall manage its information systems; both hardware and software, so that the following properties of organizational data, information and knowledge are maintained:

- i) Accuracy
- ii) Integrity and reliability
- iii) Timeliness and availability
- iv) Security and confidentiality

In the event of an emergency, the organization shall ensure the continued availability of information systems and the continued availability of data and information to effectively serve learner and organizational needs.
17 Work Environment

The organization shall manage the work environment needed to achieve conformity to educational/training service requirements. The provision of the educational/training service shall include creating and maintaining conditions conducive to a learning environment that meets learner requirements.

The organization shall provide evidence that the work environment is periodically assessed, as well as evidence of actions taken in this regard, when applicable. Outputs of this assessment shall be included in the management review and shall serve as part of the basis for continual improvement.

19 Purchasing

19.1 General

The organization shall verify that purchased items which affect training services conform to specifications. Evaluation of the cost of purchased services, materials, equipment, and supplies shall take into account performance, price, and delivery.

19.3 Supplier Control

Selection, evaluation, and re-evaluation of vendors and suppliers shall comply with the organization’s requirements as well as with applicable current legislation.

The criteria shall be clearly defined and should also include a review of the suppliers’ previous performance in supplying similar products or services and an assessment of the supplier’s commitment to quality and continual improvement. The suppliers should be re-evaluated at stated intervals.

The criteria and the type and extent of control applied to the supplier and the purchased item shall be based on the effect of the purchased item on the quality of the educational/training service.

Records shall be kept of supplier evaluations, re-evaluations, and of actions taken in this regard. Information related to the results of the evaluation shall be communicated to the vendor or supplier.

19.5 Purchasing Information

Purchasing information shall describe the services, materials, or supplies to be purchased to confirm that they meet the needs of the organization and to establish an effective communication with suppliers. The information shall include, where appropriate:

i) Requirements for approval of services, materials, equipment, and supplies

ii) Requirements for qualification of personnel

iii) Quality management system requirements

Purchase orders should be reviewed and approved by qualified and authorized personnel.

19.7 Purchasing Verification

Verification/inspection of purchased services, materials, equipment, and supplies shall be made prior to acceptance by the organization to confirm that they meet specified purchasing requirements. Records of this verification should be maintained.
SECTION 6 Service Delivery

1 Planning

The organization shall plan the different stages of the educational/training service, including:

- Design and development of teaching/training methods
- Design, development, review, and updating of study plans and curricula
- Learning/training assessment and follow-up
- Support services activities
- Resource allocation
- Evaluation criteria
- Improvement procedures to achieve the desired results

The organization shall plan for and provide the necessary resources for all processes involved.

The learning processes that shall be controlled include needs assessment, instructional design, course development and delivery, and learning outcome measurement.

Determination of the effectiveness of control methods shall be included in the scope of internal audits and shall also form part of the management review so that instructional specifications are met and the control methods are consistent with accepted quality practices.

Changes in the control methods of these major processes shall be documented and the instruction shall be evaluated after any change has taken place.

Monitoring shall be carried out to verify that control methods are effective and records shall be kept.

3 Learner-Related Processes

The organization shall provide the opportunity for learners to gain knowledge and practice its application. When learning takes place in an organization’s facilities, expectations may include (but are not restricted to) the following:

i) Safe, clean facilities with someone in charge

ii) Two-way communication procedures between interested parties and the educational organization are responsive

iii) The organization’s personnel treat everyone with respect

iv) Appropriate activities are conducted by qualified personnel

5 Determination of Educational/Training Service-Related Requirements

The organization shall determine:

i) Requirements specified by the learner, including the requirements for educational/training service delivery and post educational/training service delivery activities

ii) Requirements not stated by the learner but necessary for specified or intended use, where known
Section 6 Service Delivery

iii) Statutory and regulatory requirements applicable to the educational/training service

iv) Any additional requirements considered necessary by the organization

The educational/training service shall comply with the legal, regulatory and accreditation requirements related to education and training applicable in its area of operations.

Service-related requirements in an educational/training organization also include the requirements established by the organization to provide the educational/training service to the learner. This may include proof of previous studies, personal documents to be provided by the learner, the organization’s administrative rules and codes of conduct for learners amongst others.

7 Review of Requirements Related to Learning

The organization shall review the requirements related to learning to verify that:

i) Requirements are defined

ii) Requirements differing from those previously expressed are resolved

iii) It has the ability to meet the defined requirements

When the learning requirements are changed, the organization shall amend relevant documents and make relevant personnel aware of the changed requirements.

Records shall be kept of this review of learning requirements.

9 Learner Communication

The educational organization shall determine and implement effective arrangements for communicating with learners in relation to:

i) Course information

ii) Learning plans, including curriculum

iii) Feedback from learners, including learner complaints

11 Design and Development in Training/Educational Organization

11.1 Design and Development Planning

The organization shall plan and control the development of education/training for the benefit of learners. Control activities shall be appropriate to the purpose and duration of the education/training service.

Procedures shall ensure that appropriate instruction materials match instruction requirements.

Learning/Training needs assessments shall include learner achievement and system effectiveness. These assessments shall include performance requirements to determine:

i) How instruction can help learners become competent

ii) How new requirements can be met

iii) Which specific measures of instructional effectiveness are appropriate

iv) What skills match curricular requirements

These assessments shall provide information that can be used in the instruction review process.

A needs analysis report can provide input to the instructional design process by describing the results of the needs assessment and stating the goals for design.

A development process shall be documented and used by developers. These processes include the sequence of steps in the development process; the personnel involved, the review process, and associated criteria.

Where experimental validation of instruction is not practicable, a peer review process may be adopted.
11.3 **Design and Development Input**

The educational/training organization shall identify the inputs to the design of curricula/courses and keep records of these inputs. Inputs shall include:

1. A clear definition of the educational or professional context in which the program is to be developed and delivered.
2. Educational/training needs of learners as groups and individuals and their needs as a function of the requirements of professional bodies.
3. Learners’ level of understanding and experience.
4. Learners’ existing knowledge, skills and attitudes.
5. Learners’ potential learning difficulties.
7. The identified learning and performance gap.
8. Regulations, standards, and guidelines from statutory, accreditation, and other industry bodies.

11.5 **Design and Development Output**

Design and development outputs shall define:

1. The aims and broad learning outcomes of the program.
2. The structure and framework of the program which shall include the detailed teaching syllabus as defined below.
3. An appropriate and deliverable examination strategy.

Outputs of the design and development process shall include the Course Framework as defined herein.

11.7 **Design and Development Review**

Participants from relevant functions, at each identified stage, shall review the course design and development results versus the corresponding requirements. Records of the review shall be maintained.

A design review (assessment and evaluation) process for judging the adequacy of the course design to meet requirements shall be used for all instructional designs. To provide objectivity and impartiality, the review shall be undertaken by those who are responsible for the design, other interested parties if applicable, and persons not responsible for the design.

The course design process shall be evaluated in terms of the instructional outcome desired.

A development report or checklist shall be generated to document the procedures used and how they ensure that the instruction meets the design specifications.

Criteria for acceptance, in terms of readiness for use in instruction, shall be specified and may include the following:

1. Approval of content accuracy by one or more subject-matter specialists who did not participate in the development of the instruction.
2. Approval of the prose, illustrations, and appearance by editorial and graphics specialists.
3. Approval of the technological soundness by a technology specialist; trials of both the instruction and the criterion-referenced assessments with learners from the target population, and revisions made based upon the experience of learners.
4. At least one of the trials shall be in an environment similar to that in which the instruction will be conducted, including the support materials for learners, as well as procedures and support materials for preparing instructors.

In the implementation phase, organizations shall describe how the course development process shall be reviewed and revised based upon successive project-by-project experience with the process, including any learner complaints that become available during the process.
11.9 **Course Design and Development Verification**

Course design verification shall be performed at one or several stages according to the design and development plan. This activity shall be performed internally or externally by any specialist who has not participated in the design and development review.

The design and development output shall match the design and development input specifications. Records of the verification outputs and any necessary actions shall be maintained.

11.11 **Course Design and Development Validation**

Course design and development validation shall be carried out to confirm that planned characteristics of the educational services are met by the resulting curriculum or syllabus design.

Records of the validation outputs and any necessary actions shall be maintained.

11.13 **Control of Course Design and Development Changes**

Changes arising from curricula, syllabus, and course review shall be identified, documented, authorized, and communicated. The revision of any subject shall include the evaluation of its effect on the entire curriculum.

Records shall be kept of course design and development changes.

13 **Course Framework**

13.1 **General**

An essential output of educational and training design planning is the Course Framework. This may be called by any other appropriate name by the organization. This document should contain the following items.

13.1.1 **Aims**

A brief description of the course(s) is to be available. This is to define any local, national, or international requirements.

13.1.2 **Objectives**

i) A statement is to be available clearly defining the learning objective(s) of the course, and emphasizing the specific knowledge, skills, and abilities addressed by the course.

ii) The statement should include criteria for establishing a student’s successful achievement of the training objectives.

iii) If the course is designed to satisfy a training requirement mandated by regulations, evidence that the course covers the material necessary to fulfill the requirement must be presented.

13.1.3 **Entry Standards**

Any prerequisites for students to attend the course are to be defined. If preparatory material for participants is a part of the course this shall be submitted as part of the course documentation.

13.1.4 **Course Certificates**

A statement on the policy of the training or educational organization relating to the issuance of certificates, diplomas, or other documents confirming attendance or successful completion of training courses is to be provided.

A copy of the certificate, diploma, or other document that participants can expect to receive for successful completion of the course is to be provided.

The certificate, diploma, or other document should be properly worded to fully indicate its purpose and intent. At the minimum, the following information should be present:

i) Training course name

ii) Participant’s name

iii) Date of completion
iv) Name of training facility
v) Name and signature of Instructor/Director or equivalent
vi) Training course standard (if any)
vii) A unique number for record keeping

13.1.5 Training Record Books
If a stamp in a training record book is to be used, provide a copy of the imprint.

13.1.6 Course Intake Limitations
The maximum number of course participants for lectures, practical demonstrations, or simulation sessions as appropriate to the course is to be defined, including the number of course participants per teaching aid (simulator or other equipment).

If it is identified that the capability of a simulator to provide effective feedback to the monitoring instructors and/or students has an impact on establishing the maximum class size, there should be an explanation of the impact.

13.1.7 Staff Requirement
The maximum and minimum student/teacher ratios are to be defined, together with the modus operandi for circumstances where more than one instructor is present during lectures.

13.1.8 Teaching Facilities and Equipment
i) A detailed description of the training classrooms/training areas at the training facility where the certified training course(s) is conducted is to be provided. If this is a different location than the training facility identified in the application, the physical address is to be provided, and this facility is also to be audited.

ii) The equipment used during the course is to be identified and described, including all media and other facilities required during practical activities. Essential equipment and instructional materials must afford all course participants adequate opportunity to participate in exercises and acquire practice in performing required skills.

iii) Where a simulator or simulation program is a part of the course, the simulator must meet applicable performance standards. The manufacturers’ technical specifications and brochures are to be made available.

iv) A list of all audio-visual aids used to deliver the course is to be provided together with their role for teaching and the learning objectives they support. These include overhead transparencies, slides, PowerPoint materials, film, and video tapes, copies of which should be provided as part of the submittal.

v) Identify the publications to be used by students during the course and provide copies for review together with all handouts, assignments, and workbooks.

It is not necessary to duplicate submission of textbook or reference book materials if more than one course uses the same publication. At least one copy of each must be submitted. A note in the application should directly reference the pertinent course where a duplicate book would be used.

15 Course Conduct Requirements
All applicable training courses and educational programs should have the following items clearly defined and documented.

15.1 Course Outline and Timetable
i) Course Outline. A course outline is a summary table listing the training topics and sub-topics showing the number of hours to be spent on each in terms of lectures, activities, and training delivery media/methods as appropriate. It identifies the focus of the course, how it satisfies the learning objectives and, if applicable, should show how the course meets the IMO or flag Administration time requirements.
ii) *Timetable.* A course timetable showing the duration of all the course lectures and activities for each day of training provided. Good industry practice for adult learning indicates that instruction should be no longer than six hours per day with short breaks every hour.

iii) *Numbering.* Each topic is to be appropriately numbered.

### 15.3 Detailed Teaching Syllabus

A detailed teaching syllabus should be written as a series of learning objectives, each describing what the course participant must do to demonstrate that the specific knowledge or skill has been learned. The syllabus should contain:

#### 15.3.1 Course Information/Description

The official description of the course as stated in the institution’s catalog of courses – what it is and how it fits into a curriculum/program or supports other courses, media used, needs, etc.

#### 15.3.2 Course Synopsis

The Course Synopsis states very briefly “how” the course will be conducted and approximately what will be involved. It should indicate the overall goal of the course, briefly characterize the main topics covered, point out why the course is important to students, identify any special instructional methods to be used, and comment on what background students should have in order to best appreciate the course content.

#### 15.3.3 Learning Objectives

Details what the instructor wants to accomplish. Specific learning objectives may have been established already (e.g., by a curriculum/training committee) or they may be at the full discretion of the instructor.

#### 15.3.4 Course Topics and Assignments

This section outlines the units or topics of study. It shows the progression, timing, and sequence of topics and evidences pre-course planning.

#### 15.3.5 Reference Publications and Materials

Copies of the publications, teaching aids, and learning materials to be used when preparing and presenting the course material are to be provided.

#### 15.3.6 Learning Measurement/Grading Plan

Identification of the measurements to be taken at appropriate intervals of each candidate’s progress toward acquisition of the specific knowledge, skills, and abilities stated in the training objectives.

#### 15.3.7 Numbering

Each learning objective is to be numbered to correspond with the course outline described in 6/15.1.

### 15.5 Instructor’s Manual

The Instructor’s Manual (or Instructor’s Guide) should contain:

i) *Teaching Techniques.* The instructor’s manual provides specific guidance on teaching strategies and techniques used during course instruction.

ii) *Presentation Strategies.* The instructor’s manual is to address the presentation strategies for each session identified in the course schedule and provides relevant notes to assist the instructor in explaining the materials adequately to impart learning for each identified learning objective.

iii) *Numbered Learning Objectives.* The numbered learning objectives addressed during each session are to be identified.
17 Control of Educational/Training Service

The organization shall identify overall topics and themes of the subject matter to be taught, and the accepted methods of instruction. They shall also establish various accepted measures for determining compliance with the learning objectives.

The educational/training organization shall verify the control of processes.

If a contractual agreement requires further support of learners after completion of their program studies, the organization shall indicate how such support would be given and monitored.

The aptitude, knowledge, skills, and abilities of new learners shall be assessed so that the instruction can be provided at an appropriate level and at an appropriate pace.

Advertising, course brochures, and other items produced by the organization shall state clearly how prior education, training, and experience are related to the learning needs of learners.

The absence of specific entrance requirements need not negate an assessment of individual learner needs that may be then used to adjust the instruction to those individual needs.

Records shall be established and kept to identify the actual instruction provided.

19 Identification and Traceability

Where traceability is a requirement, the educational or training organization shall control and record the unique identification of the educational/training service.

Identification and traceability of relevant information shall include, as necessary:

i) Curricula, course, and content unit codes

ii) Learner identification records

iii) Learner group schedules

iv) Textbooks/notes

v) Certificates and attendance sheets

vi) Laboratory equipment

vii) Research contracts

External documents which show evidence of the learner’s academic status shall be consistent with the information required by the educational organization.

The ongoing monitoring and performance status of learners/groups shall be identified and recorded.

Information about the edition of textbooks or learning material, text supplements, workbooks, or other instruction resources shall be controlled and traceable to the design and development process.

21 Customer Property

The organization shall exercise care with any customer property while it is under the organization’s control or being used by the organization. Property provided by learners is that provided at the moment of admission for registration or registration renewal purposes and during the education service provision.

Learner’s property may include items such as textbooks, workbooks, case studies, special education/training provisions, computers, software, training supplies, or facilities supplied by companies that purchase instruction/training for employees. It may also be equipment or items provided by the learner’s organization for use in a particular course.

If any learner property is lost, this shall be reported to the learner and records maintained.
23 Preservation

Supplies for education and/or training processes (e.g., chemicals for laboratories, academic documents such as syllabus, curricula and printed or electronic materials (books, course notes, video tapes, computer software), and limited shelf-life educational services for teaching purposes or research and development work) shall be preserved in order to maintain conformity to requirements. As applicable, preservation shall include identification, handling, packaging, storage, and protection.

25 Control of Monitoring and Measuring Devices

The organization shall establish valid tests or learning assessment tools and confirm that these are secure and their results are valid. When tests, assessment tools, or software are found to be invalid, the educational organization shall record actions taken to correct the invalidity. Instruments used in training should be calibrated periodically.
SECTION 7  Assessment

1 Approach
The organization shall define and document the approach to assessment of each participant’s learning. This may be any one or a mixture of multiple choices, written, practical, interview, or other approaches, including the use of electronic media.

3 Data
The frequency of revision shall be established and defined for each approach, whether or not the examination is open or closed book, the duration, the pass mark, and copies of all questions and answers are to be obtained.

5 Assistance
Instructors and examiners shall not assist course participants in any way with regard to the subject matter during the examination process.

7 Grading
A description shall be provided of the grading method for each type of student assessment and how the examiner(s) will determine final grades by proportioning written and practical examination scores.

A procedure describing how the examiners are to determine if a course participant has demonstrated the required level of knowledge and skill needed to successfully complete the course shall be established.

9 Simulators
Where a simulator or simulation program is used as part of the examination, the exercise used shall be described together with the task to be performed. The method used to assess the students’ performance shall also be defined.

11 Re-testing
The educational/training organizations policy on re-testing shall be clearly defined and documented.

13 Authorization
The training organization shall provide evidence to establish that any evaluation of competence in accordance with standards, methods, and criteria set out in the STCW Code is conducted by an authorized examiner who has experience, training, or instruction in assessment techniques.
15 **Record Keeping**

The procedure for record keeping of course participants’ performance assessments shall be defined. The minimum information that shall be retained shall include:

- **i)** The students’ examinations
- **ii)** A report of practical tests administered
- **iii)** A record of classroom attendance

See Subsection 5/3.

17 **Attendance**

The method for recording participants’ course or training attendance shall be established.

19 **Statistics**

The organization shall define and document the frequency and methods by which it gathers and collates statistical data on assessment results for analysis and necessary actions.
SECTION 8 Improvement

1 General
Information and data derived from monitoring and measurement activities shall be used by the organization to identify areas for improving the learning quality management system and educational/training processes.

3 Customer Satisfaction
The organization shall determine and monitor the learner’s or the learner’s organization’s perception of the degree to which the educational/training service meets their expectations.

Trend data of learner satisfaction shall be supported by objective evidence. The methods for obtaining and using this information shall be determined and demonstrated.

5 Internal Audit
The organization shall conduct internal audits at planned intervals, at least once a year as a minimum, according to an audit program to assess the performance of the quality management system and to verify the use and effectiveness of established methods for educational/training processes.

When preparing the audit program, consideration shall be given to the status and importance of the educational/training processes and areas to be audited, as well as the results of previous audits by both internal and external parties.

The responsibilities and requirements for planning and conducting audits, establishing records, reporting the results, and follow-up actions shall be carried out in accordance with documented procedures.

The audit criteria, scope, frequency, and methods shall be defined. The selection of qualified auditors and conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work.

Audit results shall be used to identify the need for corrective and preventive actions. The management responsible for the area being audited shall confirm that any necessary corrections, corrective actions, and preventive actions are taken without undue delay to eliminate the detected nonconformities and their causes.

Internal audit records shall be maintained.

7 Monitoring and Measurement of Service
The organization shall establish and use methods for monitoring and measuring the educational/training service at planned intervals, as well as the final outcomes, to verify that they meet established design requirements as well as statutory, regulatory, and accreditation requirements as applicable.

Monitoring and measurement shall be carried out during instruction to confirm conformity with the study plans, curricula, and educational/training programs.

For all types of education and training, specific evaluation tools, such as assessments, tests, examinations, or demonstrations shall be used to measure the progress toward fulfilling the curriculum requirements.

Performance appraisal of learning providers shall also be carried out as part of the educational service.

The results of this evaluation process shall be recorded and used to demonstrate the degree to which the learning process achieved the planned objectives.
9 **Analysis of Data**

Data shall be used to support continual improvement through improvement projects, as well as corrective and preventive actions. Applicable statistical techniques shall be applied for analyzing every aspect of the quality management system. The analysis of data shall provide information and trends relating to:

i) Learner satisfaction
ii) Conformity to educational/training service requirements
iii) Process performance, process indicators, status of quality objectives, including opportunities for preventive action
iv) Supplier performance

11 **Control of Nonconforming Services**

The organization shall establish a documented procedure to identify educational services, as well as final outcomes, which are nonconforming to established design, statutory and regulatory requirements, or organizational objectives and curriculum. This shall be carried out at appropriate stages of the development of the educational/training service, to prevent their unintended use or delivery.

Responsibilities and authorities shall be clearly assigned to personnel for dealing with nonconforming educational/training services and for releasing the educational service after it is corrected and the nonconformity has been eliminated.

The organization may establish alternative means by which to correct nonconforming achievement in individual learners to avoid learner’s abandonment of the educational program.

Records shall be kept of the nature of nonconformities and actions taken in this regard.

13 **Corrective Action**

The organization shall establish a documented procedure for implementing corrective actions that are identified from an analysis of the causes of nonconformities occurring during the performance of the quality management system and the educational/training service and of improvement opportunities.

The documented procedure shall define requirements for:

i) Reviewing nonconformities (including learner complaints)
ii) Determining the causes of nonconformities
iii) Evaluating the need for action so that nonconformities do not recur
iv) Determining and implementing action needed
v) Records of the results of actions taken
vi) Reviewing the effectiveness of the corrective action taken

15 **Preventive Action**

The organization shall establish a documented procedure for implementing preventive actions that arise from analyzing potential nonconformities and improvement opportunities within the learning quality management system and the educational service. The procedure shall define requirements for:

i) Determining potential nonconformities and their causes
ii) Evaluating the need for action to prevent occurrence of nonconformities
iii) Determining and implementing action needed
iv) Records of results of actions taken
v) Reviewing the effectiveness of the preventive action taken

Preventive actions shall be communicated to the appropriate areas of the organization.

17 Management Review

17.1 General
The organization’s top management shall conduct periodic reviews of the learning quality management system, according to the organization's needs, to assess the effectiveness of the processes and management systems in fulfilling objectives and satisfying requirements.

Output from reviews shall provide data for strategic planning to promote performance improvement of the quality management system. Records shall be kept of the management reviews.

As a minimum, the management review should be held at least once per year.

17.3 Review Input
A review of the quality management system shall include:

i) The scheduled periodic review of the instructional and support systems including the adequacy of resources

ii) Results of audits

iii) Learner satisfaction

iv) Process performance and education/training service conformity including effectiveness of the quality management system

v) Review of customer complaints, internal feedback, course feedback, examination results and criteria, and documented improvements

vi) Nonconformities, both actual and potential, and status of preventive and corrective actions

vii) Design and development review when new curriculum is initiated

viii) Follow-up actions from previous management reviews

ix) Changes that could affect the quality management system

x) Recommendations for improvement

17.5 Review Output
As a result of reviewing the quality management system, the educational/training organization’s top management shall carry out decisions and actions to:

i) Improve the performance of the quality management system and its processes

ii) Improve the education/training service relative to learner requirements

iii) Provide the necessary resources to support these actions

Outputs from the review of the quality management system shall be recorded and communicated to all personnel of the organization.

19 Continual Improvement
The organization shall continually improve the effectiveness of its learning quality management system and its educational processes through the application of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions, and management review.

The improvement process shall also include the actions taken to address complaints, suggestions, and comments of learners and interested parties.
SECTION 9 References

1. IMO Seafarers Training Certification and Watchkeeping Code
2. IMO Model courses.
3. USCG NVIC No. 5-95 – Guidelines for organizations offering USCG approved courses
4. USCG NVIC No. 6-97 – Policy on qualified instructors and designated examiners who train or assess the competence of merchant mariners
5. USCG NVIC No. 9-01 – Guidance on STCW quality standard systems for merchant mariner courses or training courses
6. USCG NVIC No. 1-02 – Guidelines for assessment of seafarers’ proficiency in advanced fire-fighting through demonstration of skills.
7. USCG NMC Policy letter 1-99 – Instructor Requirements
8. ISO Standard 10013, Guidelines for Developing Quality Manuals
9. Tanker Officer Training Standards – Intertanko
10. Maritime Education & Training, The Nautical Institute
APPENDIX 1  Sample Certificates

1 Mandatory Standards

Certificate of Compliance

This is to certify that the training facility (ies) have been successfully audited under relevant industry standards.

The validity of this certificate is subject to successful annual audit.

Signatures and Approvals

ABS logo

*See reverse for list of courses, standards applicable and certificate endorsements.
3 Voluntary Standards

Certificate

This is to certify that the LNG training program of

for Deck Cargo and Seaman Engineering Officers has been successfully evaluated and accredited under the SIOTO LNG Shipping Suggested Competency Standards. Officers selected to supervise and facilitate the training have been successful in completing all required competencies of the SIOTO LNG Shipping Suggested Competency Standards.

The validity of this certificate is subject to successful annual audit.

ABS Academy

*See reverse for standards applicable and certificate enhancements
APPENDIX 2 Terms and Conditions for the Use of “ABS Certified Maritime Training Logo”

1 General
When a Company is successful in obtaining and maintaining its training certification in accordance with this Guide, the ABS Certified Maritime Training Logo may be used with the understanding that its use must be controlled as defined herein.

3 Prior Approval
Any advertisement or other use of the logo is to be presented to ABS for review prior to use.

5 Media
The logo may be used on correspondence, advertising, and promotional material but must not be used except in connection with those services described in the scope of the CoC.

7 Placement
The logo may be used only on those materials (i.e., internet site, letterhead, marketing literature, advertising, invoice stock forms, packaging, etc.) relating to the particular facility and courses referred to on the CoC.

9 Ambiguity
The logo may not, under any circumstances, be used directly on or closely associated with any management system documentation (such as procedures, policies, plans, etc.) in such a way as to imply that the documents themselves are certified by ABS.

11 Co-placement
If used with other logos, ABS may ask that the Company discontinue any use of other logos that are unacceptable to ABS and any form of statement that, in the opinion of ABS, might be misleading.

13 Appropriate Association
When advertising the Company as ABS Certified, the Company name, if different from the parent Company, is to be used in conjunction with the logo.

15 Logo Sizing
The logo may be scaled uniformly to any size necessary. The color of the logo shall be either black or blue. (reflex blue or PMS 294 blue). A sample logo can be seen below in Appendix 2, Figure 1. An electronic copy of the logo will be provided upon request to ABS.
FIGURE 1
ABS Certified Maritime Training Logo

CERTIFIED MARITIME TRAINING
APPENDIX 3  Training that Can be Accepted by ABS under QSS on Behalf of USCG

1. Ship Security Officer
2. Automatic Radar Plotting Aids (ARPA)
3. Bridge Resource Management
5. Medical First Aid Provider
6. Person in Charge of Medical Care
7. Proficiency in Survival Craft
8. Proficiency in Fast Rescue Boats
9. Radar Observer
10. Rating Forming Part of an Engineering Watch
11. Rating Forming Part of a Navigational Watch
12. Visual Communications (Flashing Light)
13. Officer in Charge of an Engineering Watch
14. Officer in Charge of a Navigational Watch
15. Training for Persons Serving on Tank Vessels, including:
   a) Tank Ship Dangerous Liquids
   b) Tank Ship Liquefied Gases
   c) Tank Ship Familiarization (DL or LG)
   d) Tankerman-Engineer
16. Basic Safety Training, including:
   a) Personal Survival Techniques
   b) Personal Safety and Social Responsibility
   c) Elementary First Aid (includes CPR)
   d) Fire Prevention and Fire Fighting
17. Training for Certain Persons on Ro-Ro Passenger Ships, including:
   a) Crowd Management
   b) Passenger Safety, Cargo Safety, and Hull Integrity
   c) Crisis Management and Human Behavior
18. Training for Certain Persons on Passenger Ships Other Than Ro-Ro Passenger Ships, including:
   a) Crowd Management
   b) Safety Training
   c) Passenger Safety
   d) Crisis Management and Human Behavior