
**To: ALL OIL RIG OWNERS, SHIP BUILDERS, MANAGERS, OPERATORS, PROFESSIONALS,
MARINE OFFSHORE TRAINING INSTITUTE & ESTEEMED NRMCMEMBERS .**

SUBJECT: AUTHORIZATION OF MARINE OFFSHORE TRAINING INSTITUTE

1. PURPOSE

The purpose of this document is to establish guidelines and to assist Maritime Marine Offshore Training Institutions in applying to Nautilus Register Marine Consortium (NRMCM) for their authorization and approval of training course(s) conducted in accordance with the *Training & Certification Standards for Marine Offshore (TCSMO)*, as amended of NRMCM.

1. Definitions

1. Training Institution: means a training establishment that offers training in accordance with the relevant provisions with the *Training & Certification Standards for Marine Offshore (TCSMO)* as amended of NRMCM.

2. Administration: Nautilus Register Marine Consortium (an association of owners, manager, Marine Professionals in the field of Marine offshore, Oil & Gas Platform along with ship builders.

3. Maritime Offshore Professionals: means anyone who is employed or engaged on a with Marine offshore Oil & Gas, Ship Building Industry.

2. Introduction

Any organization providing training or assessment to Marine Offshore Professionals for certification under, as amended on behalf of the Nautilus Register Marine Consortium must provide evidence that:

1. Such training or assessment is administered, supervised and monitored in accordance with Guidelines Provided; and
2. Those responsible for such training are appropriately qualified in accordance with that section for the type and level of training involved.

Furthermore, an independent evaluation of Knowledge, understanding, skills and competence acquisition and assessment of activities, is conducted at intervals of not more than five (5) years to verify that:

1. All internal management control and monitoring measures and follow-up actions comply with planned arrangements and documented procedures and are effective in ensuring achievement of the defined objectives.
2. The results of each independent evaluation are documented and brought to the attention of those responsible for the area evaluated, and
3. Timely action is taken to correct deficiencies.

In view of the above, the process and procedures followed by this Consortium for the authorization of Training Institutions and/or approval of Courses conducted in accordance with the *Training & Certification Standards for Marine Offshore (TCSMO)*, as amended of NRMCM, as amended, have been established to fully comply with the relevant requirements.

Marine Offshore Training Institutions when applying for authorization are advised to strictly follow the guidelines of this document.

4. APPLICATION

Marine offshore Training Institutions seeking authorization by the NRMC training course(s) conducted in accordance with the TCSMO as amended, Regulation, must forward to the Secretariat NRMC of a relevant application, together with the information listed in [Appendix 1](#) and clarified below.

Pursuant to the ISO 37001-2016 certification on the Anti-Bribery and Anti-Corruption Policy, that NRMC has obtained and implemented accordingly, as each Training Institution needs to sign the related documents in order to proceed with the Authorization.

4.1 General information about the Training Institution

4.1.1 Organization chart

An illustration of the interrelations (Reporting structure and lines of communication) of all personnel who manage, perform and verify work affecting the quality of the training's activities.

4.1.2 Quality System Manual

The Training Institution must establish, document and maintain a quality system in order to ensure that all training, assessment and certification activities conform to specified requirements and comply with mandatory rules and regulations, guidelines and standards required by this Consortium. To this end a quality manual must be prepared covering all activities. The quality manual must include or refer to processes affecting the overall quality of the training activities, a description of the interaction between processes of the quality of the training activities and outline the structure of the documentation used in the quality system. As a minimum, the following must be included if applicable:

4.1.3 Policy

The Training Institution's management with executive responsibility must define and document its policy and objectives for quality of development and delivery of courses and programs and its commitment to quality which must be understood, implemented and maintained at all levels in the organization. The quality objectives must be measurable and consistent with the quality policy.

4.1.4 Responsibility and authority

The responsibility, authority and the interrelation of all personnel who manage, perform and verify work affecting the quality of the training activities must be defined, particularly for personnel with responsibility for:

1. Initiating action to prevent the occurrence of non-conformities
2. Identifying and recording deficiencies related to training, assessment and certification
3. Initiating, recommending or providing solutions through designated channels
4. Verifying the implementation of solutions
5. Controlling the process until the non-conformity or unsatisfactory condition has been corrected.

4.1.5 Management representative

The management with executive responsibilities must appoint a member of their own staff who has access to the highest level of management and irrespective of other responsibilities has definite responsibility and authority for:

1. Ensuring that processes needed for the quality system are established, implemented and maintained in accordance with these instructions
2. Reporting on the performance and on any need for improvement of the quality system to the organization management for review and as a basis for improvement of the quality system.
3. Liaison with the NRMC .

4.1.6 Management review

The management must review the quality system at defined intervals sufficient to ensure its continuing suitability, adequacy and effectiveness in satisfying the requirements of this guidance document, and the Training Institution's policy and objectives. This review shall include assessing applications for improvement and the need for changes to the quality management system, including the quality policy and quality objectives. Such reviews are performed at least annually, Records of such reviews are maintained and remain legible, readily identifiable and retrievable. Reviews consist of well-structured and comprehensive evaluations and must include, but not limited to, the following:

1. Any non - conformities
2. The overall effectiveness of the system and its processes in achieving stated objectives
3. Considerations for updating the system in relation to changes in new regulations, market demands, etc.
4. Internal and external audit reports; and
5. Reports from validating bodies.

Each training program must be reviewed on a regular basis and each time new regulations that affect the training program come into force. The reviews must include but not limited to the following:

1. Review of the program criteria
2. Results from evaluation reports
3. Feedback from trainees
4. Assessment / examination results
5. Changes of qualified instructors, trainers, assessors; and
6. Course objectives in relation to obtained results.

Any non-conformities and corrective actions implemented, conclusions and recommendations reached as results of the reviews, must be documented. Records of the reviews must be maintained. A plan of action for necessary improvements must be established and documented.

A recommended way to fulfill the above requirements for a successful management review, could be a Control Self-Assessment (CSA) that is carried out annually. (Appendix 5)

4.1.7 Document and data Control

The Training Institution must establish and maintain documented procedures to control all documents related to the requirements of the quality system.

The documents and data must be reviewed and approved for accuracy by authorized personnel before they are issued. A master list or equivalent document control procedure identifying the current version status of documents must be established and be readily available to preclude the use of invalid and/or obsolete documents or data. The control as a minimum should ensure that:

1. Appropriate documents-data of pertinent issues are available at all relevant locations;
2. Invalid and/or obsolete documents-data are promptly removed from all points of issue or use, or otherwise assured against unintended or accidental use;
3. Changes to documents and data are being reviewed and approved by the same functions that performed the original review and authorization, unless specifically designated otherwise;
4. Up-to-date documents are available as necessary to meet requirements; and
5. Training programs are delivered consistently.

As a minimum, the following documents must be controlled

1. Quality manuals;
2. Trainees' manuals;
3. Instructors' manuals;
4. Examination / assessment procedures and documents;
5. Regulations and requirements which must be met;
6. Relevant Legislation; and
7. Examination regulations and syllabi.

4.1.8 Records

Records related to the development and updating procedures must be maintained to verify that procedures are followed and are as per the Training Institution's requirements. The Training Institution must establish and maintain procedures for indexing, filing, maintenance and disposition of training records as defined by the Training Institution.

As a minimum, the Training Institution must establish and maintain procedures for indexing, filing, maintenance and disposition of the following training records:

1. Trainees' records;
2. Reports from external validating bodies;
3. External audit records;
4. Internal audit records;
5. Management review records; and



6. Training program(s) review records.

Records maintained in accordance with the requirements of this section must be retained for a minimum period of five (5) years.

4.1.9 Filing

The Training Institution must establish and maintain procedures for documenting and filing trainees' and personnel's records. These procedures must ensure the accuracy and confidentiality of these files at all times.

As a minimum, the following details must be included:

A. Trainees Records

a) Personal details

1. NRMCM Trainees (Student) Membership Number
2. Name
3. Surname
4. Date of birth
5. Place of Birth
6. Nationality
7. Identity Document
8. Identity Document Number

b) Medical Certificate

c) Proof of Marine offshore Service Experience

(If required by the entry standards of the training course)

d) Copy of qualifications

(If required by the entry standards of the training course)

e) Any information regarding trainee's progress.

B. Personnel

a) Personal details

1. Name
2. Surname, if any
3. Date of birth
4. Place of birth
5. Nationality
6. Identity Document
7. Identity Document Number

b) Marine offshore Service (if any)

c) Qualifications

4.1.10 Purchasing Process.

The Training Institution shall ensure that purchased products conform to specified purchased requirements. The type and extent of control applied to the supplier must be dependent upon the effect of the product on the training programs.

4.1.11 Evaluation of sub-contractors

The Training Institution defines and documents procedures, which ensure that materials and services, which can affect the quality of training, conform to specified purchasing requirements whenever such are purchased from approved sub-contractors.

The Training Institution maintains records of approved sub-contractors. These records are to be regularly updated. The organization clearly states who has the responsibility and authority to purchase specified services and materials.

Approved sub-contractors may be limited to products and services, that have a direct and significant effect on training such as:

- ✓ Learning materials;
- ✓ Sub-contracted training;
- ✓ Sub-contracted instructors, trainers, assessors;
- ✓ Sub-contracted training organizations;
- ✓ Training equipment.

4.1.12 Internal Audits

The management of the Training Institution must carry out internal audits at planned intervals to verify the implementation of the system and to determine the effectiveness of the system. The audit must also confirm that the training programs achieve their agreed or stated aims or being corrected when not reaching these goals.

The audits and follow-up actions must be carried out in accordance with documented procedures.

The results of the audits must be brought to the attention of the personnel having responsibility of the area audited. The management personnel responsible for the area must take timely corrective action on the non-conformities found during the audit.

Internal audits must be carried out in accordance with an audit plan, which must include the following:

- ✓ The status and importance of the processes and specified area of training programs being audited, as well as the results of previous audits;
- ✓ Qualifications of personnel carrying out the audit;
- ✓ The scope of carrying out the audit (e.g. organizational changes, changes in regulations, new instructors, assessors).

The audit findings, conclusions and recommendations must be submitted in documentary form for consideration to the appropriate members of the management.

The following items must be covered in the reporting and follow-up of audit findings:

- ✓ Factual evidence of non-compliance and possible reasons for such non-conformities;
- ✓ Appropriate corrective actions; and
- ✓ Implementation and effectiveness of corrective actions suggested in previous audits.

4.1.13 Training

Personnel performing work affecting the quality of the training courses shall be competent based on appropriate education, training skills and experience. The Training Institution must establish and maintain documented procedures for identifying training needs and provide for the training of all personnel performing activities affecting quality of education and training services. Records of training must be maintained.

4.1.14 Planning and development of training programs

The Training Institution must establish and maintain documented processes to control and verify the development of training courses to ensure that specified requirements are met.

When a new training course is developed, the Training Institution must produce a plan to describe the activities and define responsibility for its implementation:

- ✓ The Training Institution shall determine the review, verification and validation that are appropriate to each design and development stage.
- ✓ Personnel involved in development and verification must be defined and the necessary information must be documented.
- ✓ Inputs relating to training courses must be determined and records must be maintained.
- ✓ Any applicable statutory and regulatory requirements must be identified and documented.
- ✓ The outcome of training courses must be verified against the requirements of the program and must contain or refer to acceptance criteria.
- ✓ At several stages of design, formal documented reviews need to be planned and conducted.
- ✓ The final design of the training program must be submitted to this Organization for verification.
- ✓ Prior to the implementation of a new training course a test course must be performed as a validation to see that all requirements are met. A competent officer of this Administration must verify the aforesaid test course.
- ✓ All changes and modifications shall be identified, documented, reviewed and approved by authorized personnel before their implementation.

4.1.15 Delivery of training courses

The Training Institution must identify and plan the delivery of training programs. Process and conditions, which affect the quality of delivery of training courses, must be carried out under controlled conditions. (Documented procedures defining methods of delivery and all materials used during delivery must be controlled).

The maximum number of trainees must be stated in the training plan.

The training program must define and document procedures for the following:

1. Registration of participants
2. Control that participants fulfil any pre-defined criteria before enrolling; and
3. Distribution of confirmation letters including relevant information such as:
 - a. Program;
 - b. Participant list; and
 - c. Instructions for preparing the training program.

The Training Institution before any training course is activated, must define the responsibility for checking the following:

1. Premises (Classrooms, demonstration rooms etc.) and location suit the purpose of the training program; and
2. All audio-visual and training equipment /aids prior to starting any training activity.

The Training Institution must establish maintain and document procedures for delivering training courses. As a minimum, the Training Institution must include-define procedures to ensure that:

1. Instructors focus on the purpose of the training course ensuring a common understating;
2. Information is collected of the trainee's expectations and comparing these with the objectives of the training course;
3. The contents of the training course are presented in a structured form;
4. Evaluation models and criteria are clearly defined and made known to the trainees;
5. At the beginning of each lesson-session the trainer is focused on why the topic is important;
6. Lessons/sessions are operated as per actual time frames;
7. Ensure that trainer's-instructor's progression is as per what is planned.
8. The trainer-instructor goes back to the objective of the training program at the final part of the training course and concludes whether it has been attained or not; and
9. At the end of the training course the trainer/instructor sums up the contents of the training course.

Where and when applicable, the Training Institution must establish, maintain and document procedures for the use of equipment in the educational process (fire, safety equipment, computers, instruments etc.)

The Training Institution must establish, maintain and document procedures to ensure that:

- ✓ Equipment and systems are operated in a safe and efficient manner;
- ✓ Equipment and systems are maintained as per makers' instructions;
- ✓ Operators (instructors, trainers, trainees) of such equipment and systems, use relevant personal protective equipment;
- ✓ Working conditions are suitable (ventilation, lighting etc).

The Training Institution must establish, maintain and document processes to ensure that any consumables are stored appropriately and in accordance with suppliers' instructions rules, regulations and recommendations.

Where the use of equipment-systems and their consumables lead to pollution of the environment, procedures need to be placed to ensure that this pollution is cleaned up.

4.1.16 *Evaluation of training Courses and trainees*

The Training Institution must establish, maintain and document processes for the evaluation of the training courses. The required evaluation and the related records must be documented in detail.

Procedures must be established requiring the training course manager or instructor to write an evaluation report with suggested actions for improvements based on, but not limited to the following information:

1. Results from trainees' tests and or review questions;
2. Results from scores and evaluation forms;
3. Feedback or comments from trainees; and
4. Contents of training courses related to the duration.

The above report must be distributed to all personnel involved, including management and be filed accordingly.

A checklist, relevant to every training course, must be developed to ensure that the following issues have been covered:

1. Purpose,
2. Objectives,
3. Contents,
4. Methods,
5. Evaluation,
6. Trainee conditions, and
7. Frame conditions.

Procedures to correct any discrepancies need to be established and maintained.

The Institution also needs to establish and maintain procedures for the final assessment, monitoring, test or examination which is laid down to evaluate the performance of the trainees. Where necessary such procedures need to include the following:

1. Instruments-tools for assessment;
2. Examination methods;
3. Security arrangements;
4. Surveillance during examinations;
5. Validity and consistency of assessment methods;
6. Examination timetable and other appropriate information for the trainees;
7. Test-examination is consistent with the objective and contents of the training activity.

5. In reference to the above, a third-party organization may be assigned by this Organization in order to audit and evaluate a Maritime Training Institution on behalf of the Administration and submit an TCSMO compliance assessment report to NRMCM for final review and approval.

6. Information for each training Course

For each training course, a separate folder must be submitted including the information shown below. The information required under this section, must be in the language in which the training course is delivered.

Notwithstanding the above, if the training course is not delivered in English, a translation of the required documents in the English language must be submitted.

6.1 Course Framework

6.1.1 Aims

Short description of the aims of the training course which includes reference to relevant legislation, requirements, guidelines and description “why” this training is needed.

6.1.2 Objective(s)

Short description of the objectives of the training course, indicating results after the completion of training.

6.1.3 Entry standards

Description of the entry standards required for admission to the training course. As a minimum, the following must be included:

1. Minimum age.
2. Medical fitness
3. Certificate(s) or Training documentary evidence(s), (if applicable)
4. Oil Rig service (if applicable).

6.1.4 Staff Requirements

Description of the minimum qualification and experience required for the instructors, supervisors and assessors.

As a minimum, instructors, supervisors and assessors must:

1. Have an appropriate level of knowledge and understanding of the competence(s) for which the training is being conducted;
2. Be holders of an appropriate certificate in the task(s) for which the training is being conducted;
3. Have gained practical experience in the task(s) for which the training is being conducted; and
4. Must, if conducting training using a simulator:
 - a. Have received appropriate guidance in instructional techniques involving the use of simulators; and
 - b. Have gained practical operational experience on the specific type of simulator being used.

In addition to the above, assessors must:

1. Have completed an approved training course in techniques related to the assessment of seafarers, and
2. If conducting assessment involving the use of simulators, must have gained practical assessment experience on the specific type of simulator.

6.1.5 Course intake limitations

The maximum number of trainees attending each session of the training course must be specified. As a minimum, the maximum trainee / trainer and trainee / assessor ratios must be specified for both practical and theoretical training.

6.1.6 Specimen of training documentary evidence to be issued.

A specimen of the documentary evidence to be issued must be forwarded to this Administration. On each document as a minimum the following must be included:

1. Serial Number;
2. Name of the Institution;
3. Name and Surname of the trainee;
4. Duration of the training;
5. Title of the training program;
6. Regulation(s) and Section(s) of the TCSMO regulation under which, the training has been conducted; and
7. A statement that the document in question is not valid for sea service.
8. A statement that the document in question is not valid for sea service.

6.1.7 Teaching facilities and equipment

List and number of the facilities and equipment, being used for the training program. (i.e. Classrooms, life rafts, lifeboats, firefighting equipment, etc.). It should be noted that the Training Institution will be requested to demonstrate that it can provide or have access to the facilities and equipment.

6.1.8 Teaching aids

List of teaching aids to be used during the training course. (i.e. Course Manual, Overhead projection transparencies, video tapes, Simulators, multimedia, etc.).

6.1.9 Training aids

List and number of the training aids to be used during the training course. (i.e. models, equipment, samples and drawings, etc.).

6.1.10 Publications available to trainees

List and number of the publications relevant to the training course available to trainers and trainees.

6.1.11 TCSMO References

List and number the TCSMO publications relevant to the training program.

6.1.12 Safety Routines

Description of the safety measures and precautions to be taken during the training course, if any.

6.2 Course outline and timetable:

6.1.2 Lectures

A short description of the procedure to be followed for the delivery of the training course

6.2.2 Course outline

A table that lists the competencies and areas of knowledge, understanding and proficiency, together with the estimated total hours required for lectures, demonstrations and practical exercises in the format .

The teaching staff should note that timings may be adapted to suit individual groups of training groups, depending on their experience, ability, equipment and staff available for training. However, the total time of the training program should not be reduced

6.2.3 Course timetable

The Course timetable should be in the format

It should be noted that the training program should be limited to six (6) hours of lectures or demonstrations or practical exercises per day.

6.3 Detailed Teaching Syllabus

The detailed teaching syllabus must be written in a learning objective format in which the objective describes what the trainee must do to demonstrate that the competence has been achieved and the knowledge has been transferred,

6.4 Instructor's manual and Trainees' handouts:

6.4.1 Instructor's manual

The instructor's manual should provide guidance on the material to be presented during the course and it should be organized in a learning objective format following the structure of the detailed teaching syllabus.

6.4.2 Trainees' handouts

The trainee's handouts should be written in simple language and structured in accordance with the detailed teaching syllabus.

6.4.3 Lesson Plan

The lesson plan should be structured in accordance with the detailed teaching syllabus and should provide adequate guidance to the instructor.

6.5 Assessment:

6.5.1 Time of examination

The time of the examination should be identified, i.e. examinations will take place at the end of the course, and of each competence, and of each day or end of each semester.

6.5.2 Type of examination

Description of the type of examination conducted. (Written précis, multiple-choice, simulator-based, PC-based, oral, practical).

6.5.3 Scope of examination

Description of the scope of examination which explain how the trainees; performance will be evaluated throughout the course. It should also cover surveillance during examinations.

6.5.4 Time of progress assessment(s) if any

When are progress assessments taking place? End of each competence?
End of each day? End of each semester?

6.5.5 Type of progress assessment(s) if any

Description of the type of progress assessment(s) conducted. (Written précis, multiple-choice, simulator-based, PC-based, oral, practical).

6.5.6 Scope of progress assessment(s) if any

Description of the scope of progress assessment(s).

6.5.7 Determination of final grade.

Explain how the trainer(s) will determine final grade by proportioning written and practical scores as appropriate.

7. Authorization:

The authorization procedure to be followed by this Administration for the authorization of a Training Institution and approval of a training course conducted in accordance with the relevant provisions of the TCSMO Regulation as amended is as follows:

7.1 Document verification.

The online [Application for Approval of Marine Offshore Training Institutions](#) and all documents submitted with the application will be reviewed to verify the completeness of the information required.

It must be stressed out that if the information submitted is not complete, the applicant will be informed accordingly, and the process of authorization will be suspended until all information required has been submitted.

7.2 Assessment of the documentation

After detailed examination of all the information submitted and verification of compliance with all applicable requirements of this Administration has been carried out, the course outline will be approved, and the applicant will be informed accordingly.

If the qualifying conditions of this Administration are not met, the applicant will be informed accordingly and requested to make the necessary corrections if desired.

7.3 Review of the first training course in action

Upon review of the course outline, designated Officer(s) of this Administration will attend the first training course to monitor compliance with the quality system implemented by the Training Institute and the applicable requirements of this Organization.

Upon completion of the first training course, the attending Officer(s) will make available to the management of the Training Institution an evaluation report for its information and action if any. Any deficiencies / non-conformities found during the implementation of the training course must be rectified / closed within the time frame to be specified by the attending Officer(s) of this Administration.

It is noted that the Marine offshore Training Institution concerned, will be requested to cover all expenses associated with the evaluation of the first training course.

8. AUDITS BY THE Organization

8.1 Scheduled Audits

Training Institutions authorized by the NRMCM are subject to scheduled periodical Audits at least once every year, supplemented by an intermediate audit at least halfway through the above period.

The scheduled periodical / intermediate Audits are carried out in order to ensure that:

1. All internal management control and monitoring measures and follow-up actions comply with planned arrangements and documented procedures and are effective in ensuring achievement of the defined objectives.
2. The results of each independent audit are documented and brought to the attention of those responsible for the area evaluated, and
3. Timely action is taken to correct deficiencies, if any.

Upon completion of the scheduled periodical / intermediate audit the Administration will make available to the management of the Training Institution the audit report for its information and action if any.

Any deficiencies / non-conformities found during the audit must be rectified / closed within the time frame to be specified by the attending Officer(s) of the Organization.

Nevertheless, all deficiencies / non-conformities found must be rectified / closed within three months from the date of the completion of the audit.

It should be noted that the Maritime Training Institution concerned, is requested to cover all expenses associated with the scheduled periodical / intermediate audit.

8.2 Unscheduled Audits

In addition to the scheduled periodical / intermediate Audits this Organization will also carry out unscheduled Audits of the Training Institutions authorized by the NRMC (Nautilus Register Marine Consortium) at irregular intervals to ensure that the quality system implemented is maintained in a satisfactory manner.

Upon completion of the unscheduled audit the Organization will make available to the management of the Training Institution the audit report for its information and necessary action if any.

Any deficiencies / non-conformities found during the audit must be rectified / closed within the time frame to be specified by the attending Officer(s) of the Organization.

Nevertheless, all deficiencies / non-conformities found must be rectified / closed within three months from the date of the completion of the audit.

All expenses associated with the unscheduled Audits of the training courses will be covered by the Administration.

9. COMMUNICATION OF INFORMATION

9.1 Information to be communicated prior to the commencement of each training course

No later than the same day of the commencement of an approved training course, the Training Institution must convey via e-mail to the NRMC information regarding the timetable of the scheduled training program and the details of the instructors and assessors, who will conduct the training. The information to be conveyed should in the format shown in Appendix 3, personal details of all the trainees who will participate in the training course.

9.2 Information to be communicated with the completion of each training course

Upon completion of each training course the Training Institution must forward via e-mail to the Administration, the results of the training course in the format shown in Appendix 4.

In addition to the above the following information must also be submitted for each trainee successfully completed the training program in order for the relevant Palau certificate or training documentary evidence to be issued:

1. Copy of the certificate-attestation issued by the Training Institution;
2. Two passport size photographs;
3. Applicable Fees; and
4. Copy of the Medical fitness certificate

Photographs

Two passport size (3.5 x 4.5 cm) photographs with unobstructed facial front view of the applicant, taken within a year preceding the date of application with the applicant's name and surname printed on the reverse side.

Medical fitness certificate

The medical fitness certificate required, must be in accordance with the relevant provisions of the Medical Examination format provided by TCSMO regulations of NRMC and in reference to the International Convention on Standards of Training Certification and Watchkeeping for Seafarers, as amended.

9.3 Notification of any significant changes

The Training Institution must notify this Administration of any significant changes in the arrangements for training & assessment or the quality standard implemented by the Training Institution, within thirty (30) days from the occurrence of such changes.

10. **SUSPENSION / WITHDRAWAL OF CERTIFICATES OR TRAINING DOCUMENTARY EVIDENCES**

This Administration may refuse the issue of certificate or training documentary evidence to seafarers who successfully completed an approved training course on account of a disciplinary offence, or any other cause as provided for in the NRMC legislation.

Furthermore, this Administration may suspend, revoke or withdraw certificates or training documentary evidences issued in accordance with the relevant provisions of the TCSMO Regulation as amended on account of a disciplinary offence or any other cause as provided for in the Regulation

11. SUSPENSION / WITHDRAWAL OF THE AUTHORIZATION

Authorizations for Tainting Institutions issued by this Administration may be terminated or suspended with a thirty (30) days written notice communicated to the Training Institution concerned provided one of the following occurs:

1. Refusal of the Training Institution to allow the inspection - review of its facilities and procedures in accordance with the provisions of paragraph 7; or
2. Refusal of the Training Institution to cover the expenses associated with the audit of Training Institution and/ or training course(s) in accordance with the provisions of paragraphs 6.3 and 7.1.
3. Failure of the Training Institution to meet its obligations under this document or any other relevant requirements of this Administration.

12. FEES & AUTHORISATION COSTS

Any maritime training institution or candidate for authorization, must remit the prescribed fee to the Nautilus Register Marine Consortium. This fee is non-refundable and must be paid at the time of application, in accordance with relevant instructions of the Invoice issued by NRMCM.

Upon completion of the review of the required documentation and the Training Institution is found in compliance with the requirements of the TCSMO as amended.

After the successful completion of the full audit and the Training Institution is found to comply with the standards and requirements of this Administration, an Authorization letter shall be issued. The Authorization letter is valid for 5 years subject to an intermediate audit carried out between the second and third year. A fee is applicable for an intermediate audit and full audit respectively and shall be communicated in advance to the Authorized Training Institute.

Appendix 1

LIST OF INFORMATION / DOCUMENTATION TO BE FORWARDED FOR THE AUTHORISATION OF TRAINING COURSE(S)

1. Application for the authorization of training courses (Form)
2. General information about the Training Institution including:
 - a. Name
 - b. Marine Offshore Training Institute NRMCMembership Number
 - c. Postal address
 - d. Email address
 - e. Telephone and facsimile numbers
 - f. Contact person
 - g. Organization chart of the Training Institution
 - h. Copy of the quality system manual
 - i. Copy of the quality system certificate.
 - j. Curriculum vitae for all trainers' instructors and assessors
 - k. Copy of the certificates and training documentary evidence for all trainers, instructors and assessors.
3. Information for each training program
 - a. Aims
 - b. Objective(s)
 - c. Entry standards
 - d. Staff Requirements
 - e. Course intake limitations
 - f. Specimen of training documentary evidence to be issued (if any)
 - g. Teaching facilities and equipment
 - h. Teaching aids
 - i. Training aids
 - j. Publications available to trainees
 - k. TCSMO references
 - l. Safety routines
 - m. Lectures
 - n. Course outline
 - o. Course timetable
 - p. Detailed teaching syllabus
 - q. Instructor manual
 - r. Trainees handouts
 - s. Lesson plan
 - t. Time of examination
 - u. Type of examination
 - v. Scope of examination
 - w. Time of progress assessment(s) if any
 - x. Type of progress assessment(s) if any y. Scope of progress assessment(s) if any

Appendix 2

Recommended Specimen of training documentary evidence to be issued

Appendix 3

Name of Training Institution

Title of Training Program:

TCSMO Regulation Course code under which the training course was conducted:

Training course starting date (dd/mm/yyyy)

Training course ending date (dd/mm/yyyy)

Column1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8
No.	NRMC Membership Number.	Surname	Name	Rank	Date of birth	Nationality	Gender

Appendix 4

Name of Training Institution

Title of Training Program

TCSMO Regulation and Code under which the training course was conducted:

Training course starting date (dd/mm/yyyy)

Training course ending date (dd/mm/yyyy)

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9	Column 10
No.	NRMC Membership Number	Surname	Name	Rank	Date of birth	Nationality	Gender	Certificate No.	Average Marks

Appendix 5

Control Self Assessments (CSA) (Recommended scope)

I Purpose

The purpose of a CSA is to provide management and other interested parties the information they need to monitor the organization's operations and to evaluate its activities. CSA's are reviews undertaken by management to evaluate the effectiveness of overall policy and procedures.

II Overview

Many organizations find that conducting a CSA prior to participating in an audit minimizes surprises and disruptions. The Registry may use outside auditing expertise to perform audits on its behalf.

Typically, internal audits include control systems, reports, information systems, compliance, and fraud. Companies conducting CSA normally use the major audit outline as a guide for implementation. Major audit activities of the Training Institution's Office should include:

- Conducting internal audits of all training, administrative departments, and business units.
- Recommending improvements in internal control systems.
- Reporting the results of audits to management.
- Coordinating the internal audit activities with appropriate independent auditors.
- Providing assistance to management on various projects as requested.
- Investigating irregularities in accordance with the Training Institution policy. III

Internal Controls

The objectives for the CSA and the risks associated with the lack of control are as follows:

Objectives:	Risks:
Safeguarding and controlling certification of training	Loss of NRMC certification;
Adhering to International laws and regulations, and meeting NRMC requirements and restrictions.	Loss of NRMC privileges; Impaired relations with TCSMO, Owners, and others Exposure to fines, detentions, penalties, and/or legal liability.
Executing and recording transactions in accordance with NRMC policies and procedures.	Unreliable reporting; Misallocated expenses and unallowable costs; and Increased costs and inefficient procedures.

RECOMMENDED CONTROL SELF-ASSESSMENT FORM:

TRAINING INSTITUTION NAME:

DATE OF ASSESSMENT:

Instructions:

This form has been designed to provide Training Institutions' management staff with the information necessary to evaluate the training Institution's internal control management system.

This form is most useful when completed by individuals who understand internal control concepts.

Each question should be answered by an appropriate response (YES, NO, N/A, Comments). The questions have been prepared so that a positive (YES) answer will indicate a satisfactory degree of internal control. A negative (NO) answer will indicate a potential control weakness, which should be addressed if compensating controls do not already exist. A NO with qualifying Comments will be evaluated based on the risk presented.

This form is divided into five major sections:

- I. Control Environment
- II. Risk Assessment
- III. Control Activities
- IV. Information and Communications
- V. Monitoring

This Internal Control Self-Assessment Form has been prepared and reviewed, as follows:

Prepared by: _____ Date: _____

Approved by: _____ Date: _____

SECTION I—CONTROL ENVIRONMENT Section I of the form is designed to help the Training Institution evaluate its overall control environment, which sets the tone of the organization and influences the control awareness of its employees. The control environment encompasses the following factors:

- Integrity and ethical values
- Commitment to competence
- Management's philosophy and operating style
- The training Institution's organizational structure
- Assignment of authority and responsibility
- Human resource policies and practices

I. Control Environment

Risk/Procedure	Yes/No/NA/ comments
1. Does management adequately convey the message that integrity cannot be compromised?	
2. Does a positive control environment exist, whereby there is an attitude of control consciousness throughout the firm (e.g., checks and balances, authorizations and approvals, segregation of duties, etc.), and a positive "tone at the top?"	
3. Is the competence of the training Institution's employees commensurate with their responsibilities?	
4. Does management fully understand the requirements of laws and regulations pertinent to its business, and in particular the responsibility it owes to the NRMC.	
5. Does training Institution management carefully consider the potential effects of taking unusual business risks or entering into non-routine transactions (e.g., issuance of certificates without appropriate documentation; non-verification of applicant's bonafides.	
6. Does management periodically review a random sampling of Trainees accounts?	
7. Does management have a formal history of lessons learned with regard to seafarer's accounts?	
8. Are backgrounds and references of applicants investigated?	
9. Are reinvestigations performed for individuals with new positions or access aboard high-risk Oil & Gas Rig?	
10. Is there an up-to-date organization chart that reflects the areas of responsibility and the line of reporting.	

II. Risk Assessment

RISK ASSESSMENT Section II of the form is designed to help the training Institution evaluate its risk assessment process, which is the process for "identification, analysis, and management of risks relevant to the preparation of Trainees accounts, including health, security, and financial reports. Risks can arise or change due to circumstances such as the following:

- Changes in operating environment
- New personnel
- Rapid growth

Risk/Procedure	Yes/No/NA/comments
1. Has management established clear training Institution-wide objectives and are they consistent with ISM/ISO/TCSMO/NRMC Regulatory requirements and operating guidelines?	
2. Has management established objectives for key activities?	
3. Are objectives consistent with and linked to the agent's NRMC/TCSMO/ISO/ISM objectives and strategies?	
4. Has management identified the resources and critical factors that are important to achieving its objectives (e.g., financing, personnel, facilities, technology, etc.)?	
5. Does management consider risks arising from external sources (e.g., Internet providers, supply sources, creditors' demands, regulation, natural events)?	
6. Does management consider risks arising from internal sources (e.g., retention of key personnel or changes in their responsibilities, the adequacy of back-up systems in the event of failure of systems that could significantly affect operations)?	
7. Does management identify risks to key business functions and prioritize them for purposes of mitigating them?	
8. Does management identify and monitor significant shifts in the Offshore industry (e.g., changes in TCSMO/IMO /ISO/ISM – Offshore Professional demographics, owner preferences, sector spending patterns	
9. Does training Institution management consult with the NRMC regarding the implications of any new legislation?	
10. When considering applicant's documentation, does the management give appropriate consideration to major factors such as security, ISO or other accepted standards, delivery of service to owner, verification capabilities, and cost/revenue implications?	

III Control Activities:

Section III of the form is designed to help the training Institution evaluate its control activities. Control activities are the policies and procedures that help ensure management's directives are effective in processing and preparing required reports. To successfully address risks and achieve its objectives, training Institution management must institute various control activities, such as segregation of duties, physical controls, and a system of approvals.

Risk/Procedure	Yes/No/NA/Comments
1. Does training Institution management have clear objectives in terms of budget, revenue, cost, and other financial and operating goals?	
2. Are the objectives: a. Clearly written? b. Actively communicated throughout the training Institution? c. Actively monitored?	
3. Do the planning and reporting systems in place: a. Adequately identify variances from planned performance? b. Adequately communicate variances to the appropriate level of management?	
3. Does the appropriate level of management: a. Adequately investigate variances? b. Take appropriate and timely corrective action?	
4. Does the training Institution have a documented system for ensuring that financial and accounting records are proper, complete, orderly, and well-maintained?	
5. Has management established procedures to prevent unauthorized access to, or destruction of, documents, records, and assets?	
6. Are there procedures in place to ensure that terminated employees' access to documents, records, web-based systems and other at risk NRMCM assets is appropriately restricted?	
7. Has management established record retention policies that conform to IMO/TCSMO/STCW/ISO/ISM and NRMCM requirements?	
8. Has management established policies for controlling access to computer programs and data files?	
9. Are records, statements, and related disclosures, as well as required reports (internal and external), prepared and reviewed by competent personnel who are knowledgeable of the factors affecting the organization's reporting requirements	
10. Are signatures required to evidence the performance of critical control functions – such as access level, privileges, security and financial information?	

IV Information and Communications:

Section IV of the form is designed to help the training Institution evaluate its information and communication systems. Information is identified, captured, processed, and reported by information systems. Relevant information includes industry, economic, and regulatory information obtained from external sources, as well as internally generated information. Communications are inherent in information processing. Communications involve providing a clear understanding of individual roles and responsibilities in an effective manner. This may be accomplished through policy manuals, procedures manuals, ISO Standards or other means.

Risk/Procedures	Yes/No/NA Comments
1. Does the training Institution have mechanisms in place to obtain relevant external information (e.g., on market conditions regulatory developments, and economic changes) and internally generated information critical to the achievement of the training Institution's objectives?	
2. Is the information provided to the right employees in sufficient detail and on time to enable them to carry out their responsibilities efficiently and effectively?	
3. Is the development or revision of information systems over regulatory reporting based on a strategic plan and interrelated with the training Institution's overall information systems, and is it responsive to achieving the training Institution-wide and activity-level objectives?	
4. Does the training Institution management commit the appropriate human and financial resources to develop the necessary regulatory reporting information systems?	
5. Does the training Institution management communicate employees' duties and control responsibilities in an effective manner?	
6. Are there communication channels and procedures in place for people (employees and other parties) to report suspected improprieties?	
7. Does the training Institution management take timely and appropriate follow-up action on communications received from NRMCM, owners, and other regulators, and/or other external Parties.	
8. Do owners, port state control, ISO, and other parties outside the training Institution review and follow up on the training Institution's actions and/or requirements (e.g., an active review of policy, procedures, and processing of seafarers and their documentation?)	

V Monitoring

Section V of the form is designed to help the training Institution evaluate its monitoring system. Monitoring is a process that assesses the quality of internal control performance over time. It involves:

- ✓ Timely audit by appropriate personnel of the design and operation of controls
- ✓ Identifying areas of improvement and corrective actions
- ✓ Follow-up procedures to determine that necessary actions are implemented
- ✓ Monitoring can be accomplished in manners such as the following:
 1. Ongoing internal activities
 2. Internal audit function
 3. External monitoring activities

Risk/Procedures	Yes/No/NA/Comments
1. Is the information used to examine Trainees credentials managed and integrated, tied to, or reconciled with data generated by other reporting systems (e.g., Admin; State; IMO, etc.)?	
2. Are customer (seafarer/owner/flag) complaints: a. Investigated timely? b. Used as a means to identify and correct control deficiencies?	
3. Are communications from flag and port state and owners and Offshore Professional's statements of concerns used as a method to detect potential problems?	
4. Are internal control recommendations made by external auditors (and internal auditors, if applicable) implemented?	
5. Does management receive client and employee feedback regarding training seminars, logistics, interviews, and other meetings on whether controls operate effectively?	
6. Does the training Institution take a fresh look at the internal control system from time to time and evaluate its effectiveness?	
7. Does the audit process include checklists, questionnaires, or other tools?	
8. Are the Audits documented?	
9. Does the training Institution have an internal audit function?	

Recommendations

This section should be used to record any deficiencies identified by the voluntary self-assessment and how these could be mitigated. This will provide an action plan for management.

Recommendations / For Action:

Section I:

Section II:

Section III:

Section IV:

Section V:

OUTCOME OF SELF-ASSESSMENT:

This section should be used to record the findings of the self-assessment and any other issues arising. These findings could be raised with training Institution management staff or be used as the basis to seek guidance from the NRMCM , as appropriate.

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Signature of assessor

Date of completion