

QMS – AUD - 02 - Approval of Training Courses and On-board Training Program

1 Scope and Application

1.1 Purpose

- (1) Provide auditors with guidelines for assessing and auditing Recognized Institutions and Stakeholders to ensure that the development, delivery and maintenance of all training courses and on-board training programs for certification of masters and deck watch officers engaged in the Great Lakes Marine Pilotage Certificate Training Program are effected through a QMS that respect the essence of *Regulation 1/8 - Quality Standards* of the *International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978*, as amended from time to time (STCW Convention).
- (2) Define the process for assessing and approving recognized institutions to deliver approved training courses and stakeholders to deliver approved on-board training programs applicable to pilotage certification.
- (3) Provide for the ongoing auditing of approved institutions, stakeholders, training courses and on-board training programs.

1.2 Scope

- (1) All training courses and on-board training programs that are related to the pilotage certification of masters and deck watch officers engaged in the Great Lakes Marine Pilotage Certificate Training Program.
- (2) All institutions that apply to offer training courses and stakeholders that apply to offer on-board training programs approved by the Great Lakes Pilotage Authority (*The Authority*).

1.3 Authority

- (1) Section 18 and Paragraph 20 (1) of the *Pilotage Act*.
- (2) The present document is incorporated by reference in the *Great Lakes Pilotage Regulations*.

1.4 Responsibilities

- (1) The Director of operations is responsible for approving training courses and on-board training programs in accordance with Section 3 of QMS AUD-02.
- (2) Auditors recognized by *The Authority* are responsible for monitoring and auditing approved training courses and on-board training programs in accordance with Section 8 of QMS AUD-02.
- (3) The Recognized Institution is responsible for developing the training course and the stakeholder is responsible for developing an on-board training program and submitting it to the Director of operations, Great Lakes Pilotage Authority, 202 Pitt Street, 2nd. Floor, Cornwall, Ontario, K6J 3P7, for approval. Following approval, the Institution is responsible for delivering and maintaining the approved training course and the stakeholder to deliver and maintain the approved on-board training program in accordance with Section 6 of QMS AUD-02 and the conditions stated in the approval letter referred to in subsection 3.3(2) of the present manual.

1.5 Definitions

- (1) **Recognized institution:** means a training institution, designated by the Authority or listed in the Department of Transport Standard TP 10655- *Approved Training Courses*, that administers, in accordance with the established practices and requirements of the domestic and international marine industry, approved training courses for the purpose of giving applicants the training necessary to obtain a training certificate required under the *Great Lakes Pilotage Regulations*.
- (2) **Recognized stakeholders:** means a shipping company, designated and approved by the Great Lakes Pilotage Authority, that provides, in accordance with the established practices the Great Lakes Marine Pilotage Certificate approved on-board training program for the purpose of giving the applicants the training necessary to obtain a pilotage certificate issued under the *Great Lakes Pilotage Regulations*.
- (3) **Approved training courses:** Means a course that has been approved in accordance of Section 9 of the *Great Lakes Pilotage Regulations* or approved by the Minister under the *Marine Personnel Regulations*.
- (4) **Approved on-board training program:** means a training program approved in accordance with Section 9 of the Great Lakes Pilotage Regulations, given by a recognized stakeholder and forming an integral part of the requirements for obtaining a pilotage certificate.
- (5) **Training certificate:** means a document issued by a recognized institution evidencing the holder's successful completion of an approved training course or an authenticated document issued by an Administration recognized by the International Maritime Organization as being compliant with the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers (STCW) evidencing the holder's successful completion of a STCW training course.

1.6 References

- (1) The following Transport Canada publications and GLPA publications are applicable to the approval of training courses and on-board training programs:
 - TP 4958 - Simulated Electronic Navigation Courses.
 - TP 13117 – Training Program in Bridge Resource Management
 - GLPA-DIR-101 - Great Lakes Marine Pilotage Certificate Training Program
 - GLPA-DIR-102 –. Approved training courses and programs.

1.7 Revision Status

2 Procedure

2.1 General

- (1) All approved training courses and on-board training programs must be delivered and monitored through a Quality Management System. The GLPA QMS include at least the following processes:
 - a) course and program approval;
 - b) instructor, trainer and evaluator approval;
 - c) training institution approval;
 - d) stakeholder's approval;
 - e) documentation review;
 - f) audits of Recognized Institutions; and
 - g) audits of Recognized stakeholders.
- (2) The objectives are to ensure that:
 - a) all approved training courses and on-board training programs are
 - i) offered at premises having appropriate facilities;
 - ii) properly designed to cater to industry needs; and
 - iii) delivered by qualified personnel;
 - b) trainee in the program are fairly evaluated; and
 - c) the structure of the learning system and the learning method improve with experience.

3 Course and Program Approval

3.1 Submission for Approval

- (1) The recognized institution must submit its course, and stakeholders their on-board training program proposal to the Director of operations or a designated representative for approval. The proposal must cover all the topics in the relevant GLPA standards or TP document, as amended from time to time. A detailed outline must be prepared in a learning objective format, explaining the depth of knowledge required and the means by which trainee demonstrate the knowledge, skills or competency achieved. The method of preparing the course or program must be explained, along with the various inputs and assessment methods.
- (2) The recognized institution must provide its publications containing the list of courses that it offers and the diplomas that it grants, as well as general information on the Institution such as campus description, services to students and available activities, so as to describe its full range of activities.

3.2 Provisional Approval

The proposed course or on-board training program will be given a preliminary assessment by *The Authority* based on the criteria set out in this document, and if it is accepted, the Director of operations or designated representative will issue a notice of provisional approval. The notice will indicate any additional requirements for final approval and for auditing purposes.

3.3 Assessment and Formal Approval

- (1) At a time agreed upon by *The Authority* and the Institution or Stakeholder following the provisional approval, the institution or stakeholder will be visited in order to carry out an evaluation of the training course or on-board training program.
- (2) An auditor will carry out the evaluation during delivery of the course or on-board training program at the Institution or on-board the vessel so that course and program presentation can be observed and so that the administration and delivery process for the course or program can be evaluated and approved. If the evaluation is satisfactory, formal approval will be granted via letter from the Director of operations or designated representative following the date of the assessment visit.

4 Instructor and trainer Approval

4.1 Subject-matter Qualifications

- (1) Instructors who are suitably qualified and experienced in their profession will deliver the learning activity. For a course specifically dealing with marine matters, the instructor must hold a Certificate of Competency at least at the level being taught. For courses that are not marine-related, the qualifications and experience of the instructor must be related to the subject being taught, and will be assessed in accordance with legislation applicable to these instructors.
- (2) In the case of specialized marine training courses such as Simulated Electronic Navigation, Bridge Resource Management, ECDIS, the main course instructor, in addition to holding qualifications for teaching, must have undergone training as an assistant instructor for two courses and must then have taught a third course under the supervision of a main course instructor.
- (3) Trainers of the Great Lakes Marine Pilotage Certificate Training Program must be an approved master or mate of a Canadian vessel who hold a GLPA pilotage certificate for the area.

4.2 Experience and Teaching Qualifications

- (1) All recognized institution instructors must have experience in course and curriculum development or have attended a course on this subject. Course instructors must hold teaching qualifications incorporating training in instructional techniques, educational technology and evaluation methods. These qualifications may be obtained in one of the following ways:
 - a) through a federal government department in Canada, or an overseas government which operates a recognized teacher training program;
 - b) through a provincially accredited post-secondary education institution in Canada;
 - c) through a firm in Canada which is recognized by a provincial government or by the federal government, and which is engaged in providing education and training or educational technology consulting services.

- (2) All trainers must be an approved master or mate of a Canadian vessel who holds a GLPA pilotage certificate for the area and who is designated by the recognized stakeholder and approved by the Authority. The trainer must have completed a Train the Trainer course.

5. Evaluator and auditor qualifications

- (1) **Evaluator:** Evaluators of the Great Lakes Marine Pilotage Certificate Training Program must be an approved master or mate of a Canadian vessel who holds a GLPA pilotage certificate for the area and who is designated by the recognized stakeholder and approved by *The Authority* or a licensed pilot of the area. The evaluator must have completed a *Train the Trainer* course.
- (2) **Auditor:** Auditors of the Great Lakes Marine Pilotage Certificate Training Program are accredited auditors recognized by the GLPA.

6 Recognized Institution and Recognized Stakeholders

6.1 Suitability of Marine Training Institutions

- (1) In order to provide a suitable teaching environment, an institution must be equipped for all academic, laboratory and practical work required by the training course content approved by *The Authority*.
- (2) Up-to-date reference materials and recommended textbooks on Marine programs and related topics must be available to all teaching staff and trainee.

6.2 Training Course Design of a Recognized Institution or On-board Training Program Design of a Stakeholder

- (1) The design of a training course must follow the IMO model course format, as contained in the IMO document *Guidance on the implementation of IMO model courses*, or some other format approved by *The Authority* as equivalent.
- (2) The design of an on-board training program must follow the standards approved by *The Authority* in accordance with *GLPA-DIR-101- Great Lakes Marine Pilotage Certificate Training Program Guidelines*.

6.3 Compliance With The Authority Publication Program Content

Institutions or Stakeholders that wish to be recognized for a training course or on-board training program are to view the content of the relevant Transport Publication (TP) or GLPA - Publications, as the minimum requirement with respect to equipment, subject areas, and total number of hours of trainee-teacher or trainee/trainer contact. With respect to the knowledge to be transferred, the overall program objectives and course goals set out in the publication represent the minimum requirement. The Institution must include in its course and stakeholders in their program all subjects mentioned in the approved publication, but it may apportion the content differently on the basis of its process for continuous improvement and client feedback, in order to keep its program up to date.

6.4 Attendance

The Institution must enunciate and enforce a clear policy on trainee attendance at classes. Students must have a minimum of 90% of attendance. Record of attendance must be kept.

6.5 Quality Management System (QMS)

The Institution and Stakeholders must operate under a QMS that respect the essence of *Regulation I/8 of the STCW Convention*.

6.6 Admissions and Pass/Fail Criteria

- (1) There must be a formal admission process for trainee entering a training course or the Great Lakes Marine Pilotage Certificate Training Program. The trainee must be qualified for admission on the basis of experience or previous studies.
- (2) Evaluation of trainee must be based on the expected outcomes of the training. Evaluation methods must be objective. Evidence of knowledge transfer is to be demonstrated by assignments and evaluations. Evidence of skills is to be obtained through practical demonstrations done to required standards. An evaluation scheme must be used. The passing standards must be specified in the course or program description.
- (3) The instructor of each course must keep attendance and evaluation records.

6.7 Periodic Approval and Revalidation of Courses and Programs

Course and on-board program approvals are subject to a periodic revalidation. Renewals are issued by the Director of operations, or designated representative; when the conditions are unchanged and the course or program has been offered at least once in the past two years, renewal of the approval will be granted on written request. In other cases, an audit is required at the time of resumption of the course or program.

7 Documentation

7.1 Issuing of Training Certificates

- (1) Successful trainee must be issued a training certificate for each training course taken. Training certificates are to be signed by the duly authorized person of the recognized institution, who has been approved by *The Authority*.

8 Audit of Recognized Institutions and Stakeholders

8.1 Function

- (1) *The Authority's* audit of recognized institutions or stakeholders is part of the process of maintaining the status of approved training courses and on-board training programs.
- (2) The purpose of auditing is to:
 - a) ensure compliance with the quality standards, management systems and procedures of the institution or stakeholders;
 - b) assess the effectiveness of learning activities;
 - c) assess the effectiveness of staff members involved in these activities;
 - d) ensure that feedback and other mechanisms are being used to achieve continuous improvement;

- e) provide information on technical and operational changes that may affect the program.

8.2 Institution and Stakeholder Coordinator

- (1) The Institution or Stakeholder will designate an individual to be the coordinator for purposes of liaison with *The Authority*. The coordinator will demonstrate that the facilities and equipment conform to requirements, and provide lists of instructors, or trainers and evaluators, support staff, student apprentice pilots records and other items that may be called for during an audit. The coordinator will make available course or program training plans or course descriptions, as well as details of internal audits conducted by the Institution or Stakeholders, and he/she will make changes as necessary to meet *The Authority* requirements. The coordinator will advise the Director of operations of any changes, as they occur, to facilities, teaching staff, trainer, evaluator or teaching materials.
- (2) The Institution or Stakeholders will ensure that the coordinator keeps detailed records of internal audits for at least five years so that they are available to *The Authority's* auditors.

8.3 Audit Schedule and Method

- (1) *The Authority* will prepare a five-year schedule of audits covering each of the Recognized Institutions and Stakeholders offering approved courses and programs.
- (2) The audit date will be arranged in conjunction with the Institution or Stakeholders.
- (3) The audit team will prepare an audit schedule and a checklist to ensure that all operations are reviewed.
- (4) The audit will begin with an opening meeting at which the lead auditor will explain the audit scope and procedure. The audit will include a tour of the facility and an inspection/review of the following:

For Recognized Institution:

- a) the Institution's calendars and other general material describing the Institution, including its policies and mission statement;
- b) the Institution's organization chart, information on the composition of committees and advisory bodies and on administrative and operating systems, descriptions of training facilities and equipment, and details of academic and training strategies;
- c) course descriptions and lesson plans including evaluation methods; a specific check is made to ensure that all required subjects listed in the applicable Publications are covered in the course or program;
- d) learning resources centre, including library and computer facilities;
- e) qualifications and experience of teachers and teaching support staff; training opportunities for developing teaching and professional skills; appraisal and promotions methods;
- f) outline of policies and procedures on trainee admission, development of new courses and review of existing courses, and staff involvement in research and development;
- g) methods of evaluating trainees, their entitlement to re-write examinations, and the process for appealing their results;
- h) trainee attendance records;
- i) the teaching environment in terms of trainee and teacher interaction, support for

- trainee with academic problems and constructive evaluation methods;
- j) counselling and support methods;
- k) for each of the courses, the workload of each teacher, trainee-teacher ratios, passing marks, and the industry and trainee feedback process used to promote continuous improvement.

For Recognized Stakeholders:

- a) Quality Management System in place.
 - b) Program is in accordance with the GLPA regulations and Great Lakes Marine Pilotage Certificate Training Program Guidelines.
 - c) List of eligible ships on which training will be conducted.
 - d) Trainers and Evaluators approval, certificates of competency, qualifications and experience.
 - e) Deliverance and maintenance of the approved training program in accordance with GLPA standards.
 - f) Trainee's training program outline for each level of certificate.
 - g) Trainee's record book for each level;
 - h) Evaluator's guidelines.
 - i) Trainees voyage record book.
 - j) Records of training for each eligible trainee.
 - k) Records of qualifying trips for each eligible trainee.
 - l) Records of evaluation for each pilotage certificate candidate.
 - m) Records of completion of any simulator training.
 - n) Trainee's training course record book.
 - o) Coordinator or designated person for purposes of liaison with GLPA.
 - p) Internal Audit Report.
 - q) Third Party audit report.
- (5) The Institution or Stakeholder will ensure that the audit team is granted full access to its facilities and to the items referred to in (4), and that a person is designated to assist the audit team with such access at all times.

8.4 Auditors Interim and Final Reports

- (1) The audit will conclude with a closing meeting with management of the Institution or Stakeholder. An interim report will be presented on the findings of the audit, and the Institution will be invited to comment. Once the comments have been received, a final report will be prepared for the Director of operations and subsequently; the report will be submitted to the Institution. The report will:
- a) include brief background information about the Institution training course or Stakeholder on-board training program;
 - b) be complete, fair and accurate;
 - c) describe the evaluation procedure followed;

- d) highlight the strengths and weaknesses of the Institution or Stakeholder;
 - e) indicate the extent of compliance or non-compliance with the requirements of the Great Lakes Marine Pilotage Certificate Training Program and the effectiveness of the QMS in achieving defined objectives;
 - f) spell out clearly the areas found deficient in relation to the Great Lakes Marine Pilotage Certificate Training Program, this document, and the applicable Publications, and offer suggestions for improvement and provide any other comments the auditors consider relevant;
 - g) establish time lines within which any areas of non-compliance are to be corrected by the Institution or Stakeholders;
 - h) include plans for a follow-up visit to check that any areas of non-compliance have been corrected.
- (2) A copy of all audits and follow-up assessments is to be forwarded to *The Authority*, to the attention of the Director of operations within two months of the date of the audit or the follow-up visit.