

Standard for the Approval  
of  
Training Programmes and Training Systems

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## A. General

### 1. Scope of application

This standard is applicable for the approval of training programmes or training systems offered within the maritime and non-maritime industry.

### 2. Intention and Objectives

The certification in accordance with this standard is intended to ensure that training programs and training systems are properly developed, contain clear objectives for the results, are performed under controlled conditions by qualified trainers. The certification shall guarantee that the training programs and training systems are systematically assessed and continuously improved under consideration of the experience gathered as well as of actual market demands

The objective is to ensure a constant high level of quality of the development, the content and the delivery of training programmes, and training systems.

The certificate of approval provides objective evidence that:

- the training program or training system is carried out under controlled conditions regarding all its training aspects
- the defined learning objectives and the aimed level of competencies are met;
- the training provider has appropriate resources and technical means available to deliver the training program or training system;
- the training provider has implemented evaluation and assessment schemes to adequately verify the achievement of the targeted standards of competency.

### 3. Definitions

*Training provider* means a training institute or a company that organizes and delivers a training programme or training system .

*Training program* means a set of training courses whether sequential dependent or interdependent to provide and develop skills, knowledge, competence and attitudes to meet defined requirements.

*Training system* means a wholesome set of training courses which are arranged in a modular way in order to provide and develop skills, knowledge, competence and attitudes to meet defined requirements in step-by-step levels.

*Quality standards system* consists of the organizational structure, procedures, processes and resources needed to implement the management functions required to achieve the stated objectives.

*Non-conformity* means the non-fulfilment of a specified requirement.

### 4. References

- ISO 9001 - International standard ‘Quality management systems - Model for quality assurance in design, development, production, installation and servicing’;
- International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended in 1995 (STCW Convention);
- Seafarer’s Training, Certification and Watchkeeping Code (STCW Code).
- For Germany: AZWV SGB III – „Zulassung von Trägern und Maßnahmen der beruflichen Weiterbildung nach dem Dritten Sozialgesetzbuch“

## **B. Approval Requirements**

### **1. Quality Standards System**

Training programs or training systems to be approved under these standards have to be organized and delivered under a controlled quality standards system.

GL recognizes one of the following options for the certification of a training provider's quality standards system:

Option 1: Certification on the basis of ISO 900:2000 (2008) standard, certified by Germanischer Lloyd Certification GmbH.

Option 2: Certification on the basis of ISO 9001:2000 (2008) certified by an accredited certification body. In this case GL reserves the right to perform a verification audit of the training provider's quality management system.

Option 3: Documented implementation of a quality standard system equivalent to ISO 9001:2000 (2008). (see Annex C Standard for Quality Management Systems of Training Provider). In this case GL will perform a verification audit of the training provider's quality management system.

Option 4: for German training providers only: a valid accreditation acc. to AZWV SGB III – „Zulassung von Trägern und Maßnahmen der beruflichen Weiterbildung nach dem Dritten Sozialgesetzbuch“

### **2. Applicable standards**

Applicable standards relevant for the specific requirements of the branch and / or product for which the respective training programme or training system is intended, have to be included in the approval. Those standards shall be delivered by the training provider. They have to be included in the approval contract.

The activities required for the approval of the training programme / system shall be based on the stipulations stated directly in these applicable standard

## **C. Approval Process**

### **1. General**

All information and data acquired from the training provider during the process of approval is considered as strictly confidential. It remains the intellectual property of the training provider.

Training programs and training systems shall only be approved for training providers who have implemented a quality standards system certified as defined in section B1 above.

The approval process is divided into the following steps:

- Document review of the training programme / system and its courses. Resulting open questions or non-conformities – if any- are discussed and rectified;
- Verification of implementation and training performance on site at the providers premises during normal training operation.

### **2. Contractual procedure**

The approval of the training program or training system shall be provided under formal contractual arrangements.

A training provider requesting to have a training program or training system approved by GL shall submit a written request by completing the form "Application for the Approval of Training Programme" (Annex C).

On receipt of this request together with the pertinent documentation after a check of completeness GL shall send the training provider a written confirmation stating the acceptance of the request.

The provider's request and its acceptance by GL, contractually formalises GL's activities during the approval process, in accordance with these standards.

### **3. Document Review**

The training provider shall submit a full set of documentation acc. to Annex B "Documentation requirements for the approval of training programmes or training systems" to GL for the document review.

Depending on the extent of the training program or training system GL will select an appropriate random sample of training courses / modules for the detailed document review.

Apart from the required documentation other documents considered to be important for the approval process shall be submitted to GL upon request.

Upon receipt of the documentation, GL shall commence the document review process and shall communicate its results to the training provider. In case any non-conformities are detected, the provider has to ensure that these will be rectified to the satisfaction of GL before continuing with the approval process.

#### 4. Verification

The implementation of elements and procedures as laid down in the documentation of the training program or training system shall be subject of a verification on site at the provider's premises during normal training operation. At this occasion the provider shall demonstrate that the training program or training system is performed in accordance with the documentation.

The on site verification shall be conducted not before the provider has had a suitable time span of training operation in order to gather experience with the training program or training system. This time shall be used by the training provider to review and to evaluate critically the experience gathered during the training performance in order to detect areas of improvement. Documentary evidence of this evaluation shall be provided. The absolute duration of this time span depends on the specific conditions, e.g. the topic of training, the organization of training provider, new or already established training topic etc. However the essential parts or modules of the training program or training system shall have been conducted at least once. The specific time span will be agreed case by case between GL and the training provider latest during the documentation review.

A qualified GL auditor will be nominated for the coordination and performance of the verification. He might be accompanied by a specifically qualified GL expert.

The verification shall be conducted by the auditor, on the basis of the documentation review acc. to para. 3 above.

During the verification process, the provider's personnel shall closely co-operate with the auditor and shall provide free access to all relevant facilities and documentation.

For the conduction of the verification the recommendations outlined in DIN EN ISO 19011:2002 (Guidelines for quality and/or environmental management systems auditing) shall be followed in general. This means that an on site verification shall consist of:

- an opening meeting with the institute's staff in order to agree on the scope and objectives of the verification;
- a verification of the training facilities and training equipment.
- obtaining objective evidence of the effective implementation of the training modules as well as of the performance of the training in accordance with the documentation. This is done by interview and / or attending selected training sessions during normal training operation and
- a closing meeting in order to present and explain the results of the verification, as well as to discuss further modification and improvements if any found to be necessary

Depending on the organization of the training provider the verification should cover different departments of the organization.

In case any non-conformities are detected during the verification, the provider is required to implement appropriate corrective actions within an agreed time-limit not exceeding 2 months.

An additional verification might be required by GL depending on the nature of the non-conformities detected in order to verify whether appropriate corrective actions have been implemented for their rectification.

Failing to comply with the above requirement might prevent the issuance of an approval certificate.

#### 5. Issuance and validity of certificates

Upon satisfactory completion of all steps of the approval process according to sect. C 1 - 4 above, GL shall issue a "Certificate of Approval" for documentation of the compliance with the applicable standards.

The title of the training program or training system and -if advisable- integrated training course title(s) as well as applicable standards shall be listed on the Certificate of approval

The validity of the Certificate of Approval shall not exceed 3 years after the date of issuance.

## 6. Maintenance of Certificates

### 6.1 General

The training provider is responsible to ensure continued compliance of his training program or training system with this standard as well as with further related applicable standards according to sect. B 2. Therefore he shall maintain the documentation of the training program or training system continuously up to date. All modifications and /or amendments shall be recorded in accordance with the implemented quality management system. In order to facilitate the periodical verification process, these records together with continual records of the training performance, e.g. examination papers, records of attendance, trainees feedback etc., shall be kept readily available for verification.

### 6.2 Periodical verification

The continued compliance of an approved training program or training system shall be verified during regular internal and external audits of the quality management system.

A training provider with a quality management system according to section B 1, option 1 or with an accreditation acc. to AZWV (sect. B 1, option 4), shall provide objective evidence of continued compliance during the regular external audits of its quality management system.

Training providers with a quality management system according to Section B, 1, Option 2 above, shall provide objective evidence of continued compliance by submitting a copy of the report of the yearly external audit to GL. Subject to the results of the assessment of such evidence, GL reserves the right to request for additional verifications in form of documentation or on-site

Training providers with a quality management system according to Section B 1, Option 3 above, shall provide objective evidence of continued compliance by submitting yearly a summary report to GL. This report shall follow the requirements from Annex A "Standard for Quality Management Systems of Training Providers". It shall comprise the results from the Management review, internal audits, measurement and analysis of data and improvement activities. Technical upgrades, modifications and tests of the equipment shall also be documented. Subject to the results of the assessment of such evidence, GL reserves the right to request additional verifications in form of documentation review or on-site verification

### 6.3 Renewal

The prerequisite for a renewal of the approval of a training programme or training system is a well maintained quality management system (QMS) of the training provider with valid certification acc. to above Sect. B 1

For the renewal of the approval of his training program or training system the training provider shall submit a written request to GL not later than 3 months prior to the expiry date of the approval certificate.

The renewal of the certificate follows in principle the same procedure as described in sect. C 1- 4 above.

Together with the request for the renewal the complete documentation of the training program or training system in its actual state as well as a summary report shall be provided. The summary report shall comprise the results from the latest Management review, internal audits, measurement and analysis of data as well as corrective and improvement activities. Technical upgrades, modifications and tests of the equipment shall also be documented

On the basis of this documentation GL shall perform a document review also taking into account all additional documentation and records as obtained from the periodical verification acc. to para 6.2.

Subsequently to the document review GL shall perform an on-site verification according to para 4. above.

Depending on the results of the document review GL reserves the right to reduce the extent of the on site verification

In case of the training provider's quality management system is certified as described above under Sect. B, option 1, GL might decide to combine the renewal verification with the eventually closely scheduled regular audit of the QMS.

In case of need, GL reserves the right to request for additional documents and evidences for the conduct of the verification.

In case any non-conformities are detected during the verification, the provider is required to implement appropriate corrective actions within an agreed time-limit not exceeding 2 months.

Upon satisfactory assessment as well as closing of non-conformities GL shall renew the approval certificate for the training programme or training system.

## 6.4 Withdrawal

GL reserves the right to withdraw the approval for any training programme or training system upon objective evidence and determination that the training provider has demonstrated a pattern or history of:

- Failing to comply with the prerequisites and the applicable standards according to sect. B ;
- Substantial deviations from the approved training program or training system, especially related to the content and curricula;
- Substantial modifications to the programme have been made without following the procedures laid down in para 6.1 – 6.3 above; or
- Presenting the training programme in a manner that is insufficient to achieve the desired learning objectives.

## 6.5 Reinstatement

GL shall notify the training provider in writing about the conditions for reinstating the approval certificate.

## 7. Changes and Modifications by the Training Provider

### 7.1 Organizational Changes

Any changes in the organization and in general business related conditions of the training provider which might affect his capability to run the approved training program or training system in compliance with the approval have to be announced to GL in due time.

The training provider shall submit to GL objective evidence and documents related to these changes. On the basis of these documents GL shall subsequently decide necessary further steps regarding the validity of the approval .

Subject to the extent of these changes, GL reserves the right to require additional steps such as document review and / or on-site verification of the continued compliance.

### 7.2 Modification of the Training Programme / System

Any significant modification to the approved training programme or training system shall be promptly communicated to GL by the training provider.

Such information shall include all relevant documentation hereto enabling GL to verify the extent of such modifications and to evaluate their effect on the approval.

Depending on the kind and extent of the modifications, GL reserves the right to require additional steps such as document review and / or on-site verification of the continued compliance of the training programme /system.

If GL is convinced of the maintained compliance of the training programme or training system , the approval shall remain valid to the date of expiry as stated on the approval certificate.

## 8. Modifications of approval requirements

Any modification to the requirements and / or the process for the approval of training programs or training systems as laid down in these standards, shall be promptly communicated to those providers holding a valid approval by GL.

Upon receipt of such information, the training provider is obliged to implement resulting necessary modifications in the operational procedures and the documentation of the training program or training system. The implementation has to be completed latest within the period of validity of the existing approval

Sufficient documentation enabling GL to verify the successful implementation of such modifications shall be made available to GL upon request.

In case of need, GL reserves the right to request additional information up to conduct an additional on-site verification in order to verify whether the training provider's performance continues to be in compliance with the modified standards.

## 9. Responsibility

The sole responsibility for ensuring compliance with the applicable standards and requirements of these standards rests with the training provider.

## **Annex A: Quality Management System of Training Providers**

### **A. Application**

This standard contains the requirements for quality management systems of training providers according to Standard for Approval of Training Programs and Training Systems Section B.1 Option 3. The requirements are based on the DIN EN ISO 9001:2000 standard.

### **B. Management Responsibility**

#### **1. Management commitment**

The management of the training provider shall demonstrate its commitment to the evolution of the quality system by

- providing the audit body with objective evidence to meet the legal, regulatory and customer requirements;
- establishing a quality policy which includes quality objectives;
- performing management reviews;
- providing the necessary resources to achieve the objectives, and
- systematically collecting and analyzing data for continual improvement.

#### **2. Customer relation**

To achieve customer satisfaction the management of the training provider shall identify the expectations and needs of its customers. These factors shall be integrated into the quality system.

#### **3. Quality policy**

The training provider's management shall define and document its policy for quality. This includes objectives for quality and a commitment for quality and continual improvement of the training provider's quality management system.

The quality policy shall be based on the company's objectives as well as the expectations and needs of its customers. The management shall ensure that this policy is understood, implemented and maintained at all levels of its organization. This policy shall be reviewed at regular intervals.

### **4. Planning**

#### **4.1 Quality objectives of the training provider**

The management of the training provider shall define the objectives for their training operations.

These objectives shall be in line with the policy, measurable and shall include the commitment to continual improvement. The quality objectives shall include measures to meet educational requirements.

#### **4.2 Quality planning**

The management of the training provider shall establish, plan and document the processes needed to achieve the educational objectives. Quality planning shall include the procedures of the quality system, the resources needed and shall take into account the requirement for continual improvement. Modifications to the system shall be planned and performed under controlled conditions.

### **C. Administration of the Quality Management System**

#### **1. Responsibility and authority**

The responsibility and authority of personnel who manage, perform and verify work affecting the quality shall be defined, documented and communicated. The areas of functions and their interrelation within the organization of the training provider shall be described in the same way.

#### **2. Quality manager**

A Quality Manager shall be appointed by the management of the training provider. Preferably the Quality Manager should be member of the management board. However also a qualified member of the company's staff may be appointed as Quality Manager. In any case the quality manager shall have direct access to the highest level of management and, irrespective of other responsibilities, shall have authority for:

- ensuring that the requirements of these rules are implemented and maintained;

- reporting on the performance of the quality system to the management as basis for the management review as well as for the improvement of this quality system; and
- emphasizing and distributing the importance of customer requirements throughout the training provider's organization.

### **3. Internal communication**

The management shall establish lines of communication between all staff members to achieve all-embracing awareness of the quality management requirements and to ensure the effectiveness of the procedures of the quality management system.

### **4. Quality manual**

The quality management system shall be established and maintained in order to ensure that all training activities are properly designed in compliance with the objectives and in adaptation of the customers demands. This system shall be described by a quality manual which shall be developed, established and maintained as a controlled document. This manual shall contain the quality objectives and policy. It shall describe all requirements of the quality management system as well as the structure of the documentation to be used in detail. This manual shall also include or make reference to quality system procedures, which provide a detailed description of how the training provider achieves its quality goals.

### **5. Document and data control**

The training provider shall establish and maintain documented procedures to control all documents and data that relate to the requirements of these rules. The procedure shall ensure that

- the documents and data shall be reviewed and approved for adequacy by authorized personnel prior to issuance;
- modifications to documents are performed in a controlled manner by authorized personnel;
- a master list or equivalent document control procedure shall be established, which identifies the current revision status of documents. This list or equivalent procedure has to be readily available to preclude the use of invalid and/or obsolete documents or data;
- the actual valid issues of appropriate documents / data are available at all relevant locations;
- the documents remain legible, identifiable and retrievable;
- external documents are identified and their distribution is controlled;

- invalid and/or obsolete documents are promptly removed from all points of use or otherwise assured against unintended use; and
- any obsolete documents retained for legal and/or knowledge-preservation purposes are clearly identified.

### **6. Control of quality records**

The training provider shall establish and maintain documented procedures for preparation, indexing, filing, maintenance and disposition of quality records. These records demonstrate conformance to specified quality requirements. They shall be used for the evaluation of the effectiveness of its quality system. All quality records shall be legible and shall be readily retrievable. Damage, deterioration and loss of these records shall be prevented, suitable retention times shall be established.

### **7. Management review**

The management of the training provider shall review the quality system to ensure its continuing suitability, adequacy and effectiveness in satisfying the requirements of both the training provider's policy and objectives as well as these rules. Such reviews shall be performed at least once a year. Records of these reviews shall be maintained.

#### **7.1 Input to the review**

Input to the review shall include the following internal and external performance parameters:

- audit results (internal and external);
- customer feedback and requirements;
- educational performance;
- changes to legislation;
- analysis of areas of improvement of the system and related measures
- status of the implementation of decisions and actions resulting from previous reviews.

#### **7.2 Output from the review**

Outputs from the review shall include actions such as:

- analysis of results of processes and customer feedback
- improvements to the quality management system and to the training processes;
- improvement of customer relationship; and
- identification of resources needed.

**D. Management of Resources****1. Provision of resources**

The training provider's management shall establish the resources required. It shall ensure their availability in a timely manner for the improvement of the training processes to the benefit of the students, industry and other customers identified.

**2 Personnel****2.1 Assignment of personnel**

Personnel assigned to tasks related to educational and research processes identified in the quality system shall be competent according to international / national regulations on the basis of applicable training, skills and experience.

**2.2 Training of staff**

The training provider shall identify competency requirements and provide training to fulfil such requirements for all personnel performing activities affecting the quality of the training services. Records of training shall be maintained which shall include evaluation and effectiveness. The management shall improve the awareness of each individual's role in the quality system and the importance of their activities to achieve the quality objectives.

**3. Facilities**

The training provider shall establish, provide and maintain the facilities required to perform the training processes and to achieve the objectives which include:

- the location to perform the training and the supporting equipment;
- hardware and software; and
- supporting services.

**4. Working environment**

The training provider shall establish and maintain a working environment which supports the teaching and learning activities taking into account the human and physical factors.

**E. Development of Training****1. Planning of training services**

The training services shall be planned in accordance with the requirements of the quality management system and shall be documented in a suitable manner. The training provider shall establish, as appropriate:

- the objectives for the training courses, programs and systems;
- processes, resources and facilities for the realization of the objectives;
- documentation describing organization and procedures of training;
- criteria of acceptance for the assessment of students in the course of the education process; and
- records as evidence of conformity with the planned training processes.

**2. Identification and evaluation of training requirements****2.1 Identification of customer expectations**

The training provider shall identify the customer expectations for the training objectives. Considerations shall be undertaken to ensure widest possible national and international acceptance of the training for the benefit of the customers and the training participants.

**2.2 Communication with the customer**

The training provider shall establish and implement methods for communication with its customers which shall contain:

- information about the training services provided;
- treatment of inquiries; and

feedback from the customer including treatment of customer complaints.

**2.3 Compliance with administrative and legal requirements**

The training objectives shall include provisions to ensure compliance with applicable national and international administrative and legal requirements.

**2.4 Review of training requirements**

The training provider shall review all requirements defined according to items 2.1 – 2.3 above in order to ensure the achievement of the objectives prior to the

commitment to provide the training services to the customer. It shall be analyzed whether :

- all expectations and requirements for the processes and objectives of the training are identified and known;
- all inquiries have been clarified; and
- the training provider has the ability to fulfill all defined requirements.

The review and resulting decisions shall be recorded.

### **3. Development of training**

#### **3.1 Development plans**

- The training provider shall plan, control and verify the development of training services to ensure that specified requirements are met. The plans shall identify:
- all main steps of the development process, the responsibilities and authorities for these activities; and
- the review, verification and validation activities of each development phase.

#### **3.2 Development input**

The requirements relating to the development and planning of training programs and systems shall be identified. The following sources for these requirements should be considered:

- international and national rules and regulations;
- relevant changes in industry demand and future student profiles;
- training objectives as specified
- qualifications of teaching staff;
- teaching equipment / aids;
- decisions and results from training evaluations;
- results from previous training activities; and
- pre-requisites required by more advanced training courses for which the training prepares the participant.

#### **3.3 Development output, review and verification**

Development output shall be documented in terms which can be verified by competent personnel against the input requirements. Results of verification shall be recorded.

Output shall:

- be compared with the input requirements;
- contain or make reference to acceptance criteria concerning knowledge, understanding, skills and competence; and
- identify those characteristics of the development that are crucial for the proper execution of the training services.

The training provider shall ensure that for each training course and / or program documented evidence exists of:

- relevant objectives and how these objectives are to be achieved;
- the adequacy of the equipment/resources being used; and
- consistence of the objectives of different training lessons within a training program.

#### **3.4 Validation**

A test training course shall be performed prior to the operational phase to verify and validate whether all requirements are met. Adequate records shall be prepared.

#### **3.5 Control of development changes**

All development changes shall be identified, reviewed recorded and approved by authorized responsible personnel before their implementation.

### **4. Purchasing**

#### **4.1 Purchasing of materials and services**

The training provider shall control its purchasing activities to ensure that materials and services which might affect the quality of training meet the specified requirements. Sub-contractors shall be selected on their ability to fulfil the specifications. Records of all approved sub-contractors shall be maintained. The following purchasing information has to be recorded, where appropriate:

- approval or qualification requirements for materials, services and personnel; and
- quality management system requirements for sub-contractors.

#### **4.2 Inspection and testing of material, equipment and services**

The training provider shall identify and implement verification processes to ensure that incoming materials or purchased services are in conformance with

the requirements specified in the purchasing document. The intention to carry out the verification at the sub-contractor's premises shall be stated in the purchasing information where applicable.

## **F. Realization of Training Services**

### **1. Frame conditions**

#### **1.1 Information for prospective participants**

The training provider shall make available clear and accurate information on all appropriate admission routes as well as on any associated requirements for entry to the trainings. Further pre-entry guidance and support shall be given.

#### **1.2 Participant Admission**

Individual admission of participants shall take place under controlled conditions. Therefore the training provider shall establish and maintain documented procedures, ensuring that the participants fulfil the required criteria.

The data shall be verified and recorded.

### **2. Admission of lecturers and instructors**

The training provider shall define and document procedures which ensure that only lecturers and instructors (resident as well as contracted non-resident) with an appropriate attitude, competence, skills and knowledge required by the position are employed.

### **3. Evaluation of lecturers and instructors**

The training provider shall define and document procedures which ensure that teaching and performance of lecturers and instructors (resident as well as contracted non-resident) are evaluated regularly during and after the training activities. These procedures shall also include arrangements for dealing with unsatisfactory lecturing and lecturers.

### **4. Teaching**

The training provider shall identify and plan the delivery of training courses and programs under controlled conditions. This means that any requirements, prerequisites, conditions and processes which might affect the quality of the delivery shall be considered and evaluated.

#### **4.1 Pre-course administration**

Procedures shall be established and maintained which ensure that:

- a pre-defined maximum number of participants is not exceeded;
- participants are registered;
- any pre-defined criteria are fulfilled by the students before enrolling;
- necessary preparations for the specific training are announced;
- information on program, on accommodation are to be enclosed in the confirmation letters to the individual participants.

These activities shall be recorded according to above para C6 "control of quality records".

#### **4.2 Framework**

The training provider shall define the responsibility for checks to be performed prior to commencement of any training in order to ensure that:

- the training provider's premises, equipment and capabilities will suit the purpose of the training; and
- all required training equipment will be ready for use.

#### **4.3 Training Course delivery**

Procedures shall be established and maintained which shall ensure that:

- the contents of the training courses is presented in a structured way;
- the participant's expectations are compared with the training course objectives;
- the evaluation models and criteria are defined and made known to the participants;
- the specific goals for each section of training are introduced and the main content is summarized;
- the defined training program is followed;
- any deviations from the training program are implemented only after discussion and in agreement with the participants; and
- the achievement of the training objectives is assessed at the end of a completed training program.

These activities shall be recorded according to above para C6 "control of quality records".

#### **4.4 Study progression**

The training provider has to establish and maintain documented procedures to continually control and test whether the training activities and results are in

accordance with the stated goals. These procedures shall also include arrangements for dealing with unsatisfactory training as well as deficient staff performance.

## **5. Control and tests**

The training provider has to establish procedures for control and tests to proof that the training objectives are achieved. Adequate records are to be kept for evidence and analysis.

## **6. Evaluation of training programs and systems**

Procedures are to be defined and established to ensure a systematic and regular evaluation of all training courses and programs. Evaluation reports are to be distributed to all relevant personnel, including the training provider's management. These reports shall give input to initiate corrective actions. Evaluation reports are to be filed according to the documentation requirements (see section C.5).

### **6.1 Sources and scope**

Evaluation of training courses and programs should be based upon:

- results from participants tests and/or review questions;
- results from feedback or evaluation forms; and
- feedback or comments from teaching personnel.

It has to be ensured that the following aspects of courses or programs are part of the evaluation:

- purpose;
- objectives;
- contents;
- teaching methods;
- qualification and preparation of participants;
- administrative and organizational framework.

## **7. Identification and traceability**

The training provider shall establish and maintain documented procedures for the identification of training programs and program elements during all stages of the development, the rendering and the updating of services.

The training provider shall establish and maintain documented procedures to ensure that certificates of attendance and other documentary evidence regarding the trainings can be clearly traced and identified.

## **8. Servicing**

Where applicable, the training provider shall establish and maintain procedures to ensure that its customers are provided with a defined level of continued support and service after completion of training courses.

## **G. Teaching Aids and Learning Equipment**

### **1. Use of equipment**

Appropriate up-to-date teaching aids and learning equipment shall be used in the training process. Respective procedures for the use of this equipment shall be established where applicable and necessary.

### **2. Operation and maintenance of equipment**

The training provider shall ensure that:

- equipment and systems are operated in a safe and efficient manner
- equipment and systems are maintained according to relevant instructions
- consumables are available to ensure the unrestrained use of the equipment
- relevant PPE (Personal protective equipment) shall be used by trainees and staff where necessary
- work conditions are according to relevant rules and regulations.

### **3. Treatment of training equipment and materials**

The training provider shall establish and maintain procedures to ensure that teaching aids and learning materials/equipment are protected against damage, deterioration and loss.

### **4. Control of measuring and monitoring devices**

To ensure conformity with the requirements established, the training provider shall identify and calibrate necessary measuring and monitoring devices used in the trainings. Results of the calibration shall be recorded. As applicable the measuring and monitoring devices shall be:

- calibrated regularly or prior to use;
- maintained, stored and handled to prevent damage, deterioration or adjustments effecting the calibration; and

- validated prior to use in cases where software is used to measure and monitor specified requirements.

## **H. Measurement, Analysis and Improvement**

### **1. Planning**

The training provider shall implement procedures for the measurement and monitoring of its training activities to ensure conformity with the defined requirements and as indication for areas of improvement.

### **2. Measurement and monitoring**

#### **2.1 Customer satisfaction**

The training provider shall establish methods to obtain information of its performance from the customer.

#### **2.2 Internal Audits**

The management of the training provider shall plan and perform internal audits to verify the implementation of the quality system and to control its effectiveness. The internal audits shall also reveal areas of improvement within the organization .

For this purpose a documented procedure on the internal audit program shall be established and maintained. This procedure shall develop the internal audit programme by defining frequency, scope and methodologies. It shall take into account the results of the previous audits as well as the importance of the areas to be audited. The audit procedure shall define responsibilities and requirements for the performance, recording and reporting of the audits.

The internal audits shall be carried out in accordance with the documented procedure by qualified personnel (internal auditors) independent of those having direct responsibility of the area audited.

#### **2.3 Audit results and follow-ups**

Audit results , i.e. findings, conclusions and recommendations, shall be submitted in documentary form to the person responsible for the area audited. Resulting corrective and preventive action has to be initiated and documented. The following items are to be covered in the reporting and follow-up of audit findings:

- evidence on nonconformity or deficiencies and their possible reasons;
- suitable corrective actions; and

- implementation and effectiveness of corrective actions agreed in previous audits.

The quality manager shall inform the management of the training provider regularly on the internal audit activities and results in an documented appropriate way .

### **3. Control of non-conforming services**

The training provider shall establish and maintain documented procedure defining the responsibility for review and authority for the handling of non-conforming services.

Non-conforming services shall be corrected and verified to ensure conformity with the requirements. Methods shall be established for rectification of non-conforming services after completion of the training process.

### **4. Analysis of data**

To ensure suitability and effectiveness of its quality management system and to identify areas of improvement the training provider shall collect and analyse data from the following sources:

- the training provider's own measuring and monitoring activities;
- customers comments, complaints, requirements;
- state-of-the-art learning and teaching processes and trends; and
- suppliers.

### **5. Improvement of services**

#### **5.1 Planning for continual improvement**

The training provider shall plan and manage activities adequate and necessary to improve its quality management system and its services continually. The quality policy with the learning and teaching objectives, the audit results, analysis of data, management review, corrective and preventive action shall be used as basis for the continual improvement.

#### **5.2 Corrective action**

The training provider shall establish documented procedure for the treatment of non-conformities. The corrective action shall be suitable to eliminate causes of non-conformities and to avoid reoccurrence of nonconformity. These measures shall include:

- identification of non-conformities by effective handling of customers complaints and reports of non-conformities of services rendered;

- root cause analysis of non-conformities and complaints;
- controls to ensure that corrective action is taken, effectively.

Corrective actions and their results shall be recorded according to above para C6 “control of quality records”

### **5.3 Preventive action**

The training provider shall establish a documented procedure to prevent the occurrence of non-conformities. The preventive action shall detect and eliminate causes of potential non-conformities. Future reoccurrence shall also be avoided. Procedure for preventive action shall include:

- determination of the steps needed to solve any problems, risks or deficiencies of services rendered by the training provider;
- initiation of preventive action and application of controls to ensure that it is effective;
- ensuring that relevant information on preventive action taken is recorded in order be considered within the management review.

## Annex B

### Documentation Requirements for the Approval of Training Courses, Training Programs and Training Systems

#### General:

- I All documentation and presentation material submitted shall be clearly identified by a fixed date of issuance and revision number according to document control requirements.
- II The complete documentation of the training program or training system to be approved shall be submitted as basis for the approval verification process. This documentation shall comprise all necessary organizational and heading overall documents of the system as well as at least the essential modules of the training programme or training system .

The following documentation shall be submitted:

1. Cover letter
2. Framework
3. Outline and schedule
4. Detailed teaching syllabus; structure of modules
5. Trainers manual
6. Examination / assessment of participants.
7. List of trainers
8. Control of training system
9. Additional documents

In the case that e-learning programmes or Computer Based Training (CBT) are to be approved the above listed information shall be amended by the following:

Item 5: Trainers manual means here complete story board or script for the e-learning programme

Item 7: Developers and co developers of script and software are to be seen as `trainers` in the consensus of above listing.

Item 10: Complete copy of the e-learning programme or CBT as delivered to the end-users with all covers, labels, instructions on installation and use and -if applicable- necessary software.

## 1. Cover letter:

The cover letter of the training program / system shall indicate

- the overall title,
- the location where it will be carried out
- the general description with background for approval, targeted group of persons / market
- legislative impacts (limitation / requirements...) – if any-

## 2. Framework:

The program framework shall give a comprehensive overview of the purpose, structure and single modules/ components of the training program or training system under the following headlines:

- a. **Scope of program** means an identification of the targeted persons or market segment. It shall give a brief background of reasons for the approval and the results aimed to achieve by the company.
- b. **Learning objectives:** The final learning objectives and the competencies which shall be gained during the training shall be indicated in one paragraph.
- c. **Entry standards** describe all prerequisites in skills, knowledge and experience a learner needs for a successful participation in the training program. The required documentary evidence of these shall be clearly described.
- d. **Certificate of completion:** It should be noted which – if any – certification can be achieved from the training. Recommended minimum content of the certificate :
  - Training title
  - Location of training or the operating (in case of e-learning) (vessels name when CBT)
  - Participants name and date of birth
  - Trainers name and signature
  - Date of course completion
  - Statement of conformance with this standard as well as other applicable standards
- e. **Limitations:** The maximum number of learners per course shall be given. The intended student/trainer ratio shall be adjusted matching the learning objectives, necessity of practical exercises, size of classrooms, use of simulators etc.

Furthermore provisions shall be made to circumstances when more than one trainer will be present or necessary during the lessons.
- f. **Staff requirements:** The qualification, competencies, professional experience, required for trainers, course developers and assessors required for the performance of their tasks shall be given. The list of trainers / assessors (see below Para. 7) shall give documentary evidence of the fulfilment of these requirements per each person. Furthermore provisions and procedures shall be implemented for keeping the qualification of the trainer / assessors up to date.
- g. **Training facilities and equipment:** The training facility shall be briefly described. Likewise the equipment used during the single training courses shall be stated.

This includes the equipment to be used during practical exercises, testing and simulation programs.

In case of e-learning courses the minimum technical requirements for the necessary equipment of the end-user shall be specified.
- h. **Teaching aids:** The use of visual, audio-visual and other aids during the training course shall be described in general.

Further detailed information on the use of teaching aids shall be given in the trainer's manual and/or detailed teaching syllabus or lesson plan of each single course of the training program.
- i. **Bibliography:** All relevant literature references used for the training program as well as secondary references shall be listed. This information may also be given for each individual course/module of the training program separately within the documentation of the individual modules.

**3. Outline and schedule:**

The training program outline shall contain the storyboard or script in form of a summary of the detailed syllabus for each course / module by subject area. The number of hours per lesson shall be given distinguished in classroom and practical exercises or simulation program. Therewith the focus of the program, and its modules / courses shall be shown highlighting how the learning objectives and requirements are met.

The single courses / modules of the program shall be listed in a program outline schedule such that each subject matter shall be prefaced by a unique identification (number or name or combination) which corresponds directly to the subject area listed in the detailed teaching syllabus (see below).

**4. Detailed teaching syllabus; structure of modules:**

The detailed teaching syllabus shall be written in learning objectives format. This means that the objective describes the content to be learned and how the achieved specific knowledge and / or competence shall be demonstrated by the student / trainee.

References shall be made such that the linkage between the different courses / modules can clearly be shown. The syllabus shall include the length of each subject area corresponding in total to the figures of the program outline/schedule.

**5. Trainers manual:**

The trainers manual shall contain all information as given in the student's handout or manual. In addition to that it shall provide all background information and amendments which are necessary for the performance of the course. Guidance shall be given on the appropriate teaching strategy and teaching techniques. Further the recommended length of each item of the course shall be given as guidance for the preparation of the course performance as well as to demonstrate the importance of each subject within the course.

**6. Examination and assessment:**

The appropriate method of examination and/or assessment of trainees throughout the training shall be described together with provisions foreseen for retesting if necessary. This should include surveillance during course performance together with:

- Written examination: copies of examination forms and their evaluation scheme and/or passing scores
- Practical demonstration: descriptions of practical demonstrations or practical examinations / tests as well as recording and evaluation of the trainee's performance.
- Interviews or group interviews: copies of planned appropriate questions or other documentation to be used during interviews.

For all above methods of examination or assessment explanations shall be given how the trainers have to determine scores and final passing criteria.

**7. List of Trainers:**

A list of trainers / course developers and assessors shall include professional background, qualification and experience of each personally in accordance with the resp. requirements of above para 3.f.

**8. Control of training program:**

Course completion evaluation forms shall be used to give the trainees the chance for structured feedback to the trainers and program provider.

Furthermore the provider shall describe and implement procedures and / or measures for the evaluation of the training performance.

The respective analyses and statistical data shall be used for systematic improvement, correction and also as one basis for updating. Beside this regular review with respect to changes in legal and administrative and further requirements (market needs) shall be performed in order to keep the program up to date.

**9. Additional Documentation:**

Additional documentation such as additional information on the organization or necessary on specific standards etc. shall be delivered.

**Annex C:**  
**Application for the Approval of Training Programmes and Training Systems**

<b>Training Provider – Company Details</b>	
Name of training provider	
Street	
City Code	
City	
Country	
Telephone	
Fax	
E-mail	

<b>Contact Person</b>	
Name	
Function	
Telephone	
Fax	
E-mail	

<b>Information on Quality Standards System</b>	
Standard of certification	
Certification body	
Date of issue	
Date of expiry	

<b>Additional Information</b>	
No. of staff	
No. of training courses within the programme	
No. of training courses per year	
No. of participants per year	

## Application for the Approval of Training Programmes and Training Systems

<b>Training Programme</b>	
Title of training programme and overview on content to be approved:	
Number of training courses within the programme	
Description of the administration system for the training programme	
Standards to be applied for approval, i.e. requirements the course is intended to satisfy:	
<input type="checkbox"/>	International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended in 1995 (STCW Convention)
<input type="checkbox"/>	Seafarer's Training, Certification and Watchkeeping Code (STCW Code)
<input type="checkbox"/>	IMO Model Course
<input type="checkbox"/>	AWZV SGB III
<input type="checkbox"/>	Other standard (if other standards to be applied, please note below)

STCW Reference:	
<b>Other Reference:</b>	

Enclosed Documentation for the Approval of above Training Programme:	
<input type="checkbox"/>	Cover letter
<input type="checkbox"/>	Programme framework
<input type="checkbox"/>	Programme outline / Timetable
<input type="checkbox"/>	Detailed teaching syllabus
<input type="checkbox"/>	Trainer's manual
<input type="checkbox"/>	Assessment of participants
<input type="checkbox"/>	List of trainers / assessors
<input type="checkbox"/>	Attachments, e.g. IMO model courses, equipment lists

Please return to:

- by mail -

GERMANISCHER LLOYD  
Marine Management Systems  
Certification (FS-FM)  
P.O. Box 11 16 06  
20416 Hamburg  
Germany

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Position

- by fax -

+ 49 – 40 – 36 149 – 1702

- by e-mail -

STCW@gl-group.com

The applicant hereby accepts to comply with the latest edition of the general requirements for the approval of training courses as laid down in the “Standards for the Approval of Training Programmes” issued by Germanischer Lloyd, as valid during the application.

The applicant hereby accepts to pay all costs and fees arising from the approval process, irrespective of granting an approval.

Place of performance and jurisdiction is Hamburg. The latest edition of the General Terms and Conditions of Germanischer Lloyd is applicable.