



Ref. T2/4.2

MSC/Circ.997
11 June 2001

**GUIDANCE ON THE PREPARATION AND REVIEW OF INDEPENDENT
EVALUATIONS REQUIRED BY STCW REGULATION I/8
AND SECTION A-I/7 OF THE STCW CODE**

1 The Maritime Safety Committee (MSC), at its seventy-fourth session (30 May to 8 June 2001), in order to facilitate the review of independent evaluations required by regulation I/8 of the STCW Convention and section A-I/7, paragraph 4 of the STCW Code, has agreed to the procedures as set out below.

Application

2 The requirements of regulation I/8 entered into force on 1 February 1997 and section A-I/8 of the STCW Code requires an independent evaluation of the quality standards system to be conducted at intervals of not more than 5 years. Under the provisions of section A-I/7, paragraph 4, the report of such evaluation shall be made within 6 months of its completion and, as required by paragraph 8, shall be considered by competent persons. As section A-I/7, paragraph 2 of the STCW Code requires Parties to communicate information by 1 August 1998, or within one calendar year of entry into force of regulation I/7 for the Party concerned, the Committee agreed that the same time should be allowed for implementation of the policies, systems, controls and internal quality assurance reviews required by section A-I/8, paragraph 2. The Committee therefore agreed that reports of independent evaluations should be made by 1 February 2004 or, for Parties with an entry into force date after 1 February 1997, within 6 years and 6 months from that date.

3 For those Parties which have submitted reports on independent evaluations at the same time as the information communicated in accordance with section A-I/7 of the STCW Code, the Secretary-General will:

- .1 seek confirmation from the respective panel chairmen that the evaluation of the information communicated had also included a complete evaluation of the reports of independent evaluation under regulation I/8;
- .2 advise the Parties concerned that a fresh report of independent evaluation will not be required but advising them when the next report will be due; and
- .3 report to MSC stating that he has taken this action and received confirmation of the evaluation of the report required under regulation I/8.

4 In respect of those Parties which have not submitted reports of independent evaluation or whose reports are not complete, the Secretary-General will advise the Parties accordingly in order for them to take the necessary action in advance of the 'deadline' of 1 February 2004 or, for those Parties which became STCW Parties after 1 February 1997, to take the necessary action in advance of their respective deadlines.

Contents of the report

5 On completion of an independent evaluation, pursuant to paragraph 2 of regulation I/8, the Party concerned should prepare a consolidated report (individual reports with a summary, where a consolidated report is not possible) on the results of the evaluation for submission to the Secretary-General. The report is to be submitted at intervals of not more than five years, covering all aspects of training and the administration of the certification system, should contain, as a minimum, the following items:

- .1 the qualifications and experience of those who conducted the evaluation pursuant to section A-I/8, paragraph 4; (e.g., certificates of competency held, experience as a seafarer and independent evaluator, experience in the field of maritime training and assessment, experience in the administration of certification systems, or any other relevant qualifications/experiences);
- .2 the terms of reference for the independent evaluation and those of the evaluators;
- .3 a list of training institutions/centres covered by the independent evaluation;
- .4 the results of the independent evaluation, including:
 - .4.1 verification that 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 defined objectives in accordance with section A-I/8 paragraph 3.1;
 - .4.2 a brief description of:
 - .4.2.1 the non-conformities found, if any, during the independent evaluation;
 - .4.2.2 the corrective measures recommended to address the identified non-conformities;
 - .4.2.3 the corrective measures carried out to address the identified non-conformities; and
- .5 an index of materials submitted (annex 1).

Action to be taken by competent persons in accordance with section A-I/7, paragraph 8.2

6 When a report is received from any Party under regulation I/8, paragraph 3 of the STCW Convention, the Secretary-General will designate competent persons from the list maintained in accordance with section A-I/7 paragraph 5 of the STCW Code, to consider the report and provide their views on whether:

- .1 the report is complete and demonstrates that the Party has carried out an independent evaluation of the knowledge, understanding, skills and competence acquisition and assessment activities, and of the administration of the certification system, (including endorsement and revalidation) in accordance with section A-I/8, paragraph 3 of the STCW Code;

- .2 the report is sufficient to demonstrate that:
 - .2.1 the evaluators were qualified;
 - .2.2 the terms of reference were clear enough to ensure that the implementation of clearly defined objectives in accordance with regulation I/8, paragraph 1 of the STCW Convention could be verified over the full range of relevant activities;
 - .2.3 the procedures followed during the independent evaluation were appropriate to identify any significant non-conformities in the Party's system of training, assessment of competence, and certification of seafarers, as may be applicable to the Party concerned; and
 - .2.4 the actions being taken to correct any noted non-conformities are timely and appropriate.

7 On completion of their consideration of the report, the competent persons shall, on a confidential basis, provide their view in writing to the Secretary-General in the format given at annex 2. In the event that the competent persons are unable to reach an affirmative conclusion on the criteria in paragraph 3.2 above, the competent persons should seek additional information or clarifications from the Party concerned, through the Secretary-General, to assist them to come to their conclusion.

Action to be taken by the Secretary-General and the Maritime Safety Committee

8 The Secretary-General, taking into account the views expressed by the competent persons, shall submit a timely report to the Maritime Safety Committee when the information received from the competent persons confirms that 'full and complete effect' is given to the provisions of regulation I/8 of the STCW Convention and section A-I/7, paragraph 4 of the STCW Code.

9 The Maritime Safety Committee, having received the reports of the Secretary-General, shall at the earliest possible time identify those Parties which have satisfied the requirements of regulation I/8 of the STCW Convention and section A-I/7, paragraph 4 of the STCW Code.

10 Member Governments are invited to be guided accordingly and to bring this circular to the attention of all parties concerned.

ANNEX 1

**INDEX OF MATERIALS SUBMITTED IN ACCORDANCE WITH REGULATION I/8 OF
THE STCW CONVENTION AND SECTION A-I/7 PARAGRAPH 4
OF THE STCW CODE.**

Report of results of evaluations carried out pursuant to regulation I/8 covering:

Terms of reference of evaluators for the independent evaluation

Qualifications and experience of evaluators

Date and scope of evaluation

Deficiencies found

Corrective measures recommended

Corrective measures carried out

List of training institutions/centres covered by the independent evaluation

ANNEX 2

INFORMATION COMMUNICATED IN ACCORDANCE WITH REGULATION I/8 OF THE STCW CONVENTION AND SECTION A-I/7 PARAGRAPH 4 OF THE STCW CODE

.....(NAME OF PARTY)

	Reference	Information	Convention regulations to be met (includes STCW Code)	Evaluation	
		Complete		Implementation measures	Monitoring and compliance measures
	A-I/7 paragraph 4				
	Report of results of evaluations carried out pursuant to regulation I/8 covering: Terms of reference of evaluators Qualifications and experience of evaluators Date and scope of evaluation Deficiencies found Corrective measures recommended Corrective measures carried out		chapter I: I/8		

General Evaluation: Is the material communicated sufficient to support a conclusion that the information "confirms that full and complete effect is given to the relevant provisions of the Convention" in accordance with regulation I/8 of the STCW Convention and section A-I/7, paragraph 4 of the STCW Code?

_____ Yes

_____ No

Comments:

.....

Date

.....

Signature
