

# QUALITY MANAGEMENT SYSTEM MANUAL

LEVEL 1



सत्यमेव जयते

## GOVERNMENT OF INDIA MINISTRY OF PORTS, SHIPPING AND WATERWAYS ISO 9001:2015 QUALITY MANAGEMENT SYSTEM FOR DIRECTORATE GENERAL OF SHIPPING EAC BRANCH activities as detailed in Examination Rules 2014 in compliance with STCW 78 AS AMENDED

This manual is the property of

Company Name	DIRECTORATE GENERAL OF SHIPPING ( EAC BRANCH )
Address	Directorate General of Shipping, 9 <sup>th</sup> Floor, Beta Building, I-Think Techno Campus, Kanjurmarg (East) Mumbai 400042- INDIA
Telephone/Fax	Phone : +91 22 25742040 /41/42/43/44 /45 Fax : +91 22 25752029 / 35
E- MAIL	E-mail: dgship-dgs@nic.in Website: www.dgshipping.gov.in

The material contained herein is strictly confidential. Distribution, copying or disclosure of its contents to third parties is prohibited.

DOCUMENT CONTROL	
Manual Number	01
Title of Holder	MANAGEMENT REPRESENTATIVE
Issue Number	01
Issue Date	01 <sup>ST</sup> AUG 2018
Authorized By	DIRECTOR GENERAL OF SHIPPING

## POLICY MANUAL

CONTROLLED COPY

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - TOC	REV. NO. 9	EFFECTIVE DATE 24-09-2024
TABLE OF CONTENTS AND MASTER LIST OF DOCUMENTS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 2

**TOC MASTER LIST & TABLE OF CONTENTS**

DOC. NO.	TITLE OF CONTENTS	REV NO.	PAGES.	DATE ISSUE
QMS –CP	Cover Page	2	1	09-02-2024
QMS – TOC	Table of Contents – Hyperlinked	0	4	01-08-2018
QMS - TOC	Table of Contents	9	2	24-09-2024
QMS – RS	Revision Sheet	7	1	24-09-2024
QMS – A	Introduction	0	2	01-08-2018
QMS-01	Scope	0	1	01-08-2018
QMS – 02	Normative Reference	1	2	05-09-2023
QMS – 03	Terms and definitions- Abbreviations	1	7	05-09-2023
QMS - 4.1	Context of the organization	1	2	10-11-2020
QMS – 4.2	Need and expectation of third parties	0	1	01-08-2018
QMS – 4.3	Scope of Management System	3	2	13-03-2023
QMS – 4.4	QMS and its processes	2	5	29-11-2022
QMS – 4.4 A	Interaction of the processes	0	2	01-08-2018
QMS - 5.1.1	Leadership and commitment	0	1	01-08-2018
QMS – 5.1.2	Customer focus	0	1	01-08-2018
QMS – 5.2	Quality Policy	1	2	10-11-2020
QMS – 5.3A	Organization chart	0	1	01-08-2018
QMS – 5.3	Responsibilities and authorities	0	9	01-08-2018
QMS – 6.1	Planning	0	2	01-08-2018

**CONTROLLED COPY**



DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - TOC	REV. NO. 9	EFFECTIVE DATE 24-09-2024
TABLE OF CONTENTS AND MASTER LIST OF DOCUMENTS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 2

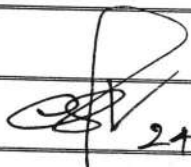
DOC. NO.	TITLE OF CONTENTS	REV NO.	PAGES.	DATE ISSUE
QMS – 6.2	Objectives and planning to achieve	0	2	01-08-2018
QMS – 6.3	Planning of changes	0	1	01-08-2018
QMS - 7.1	Support (Resource)	0	3	01-08-2018
QMS – 7.2 – 7.3 – 7.4	Competency, awareness and communication	0	2	01-08-2018
QMS – 7.5	Documented information	0	4	01-08-2018
QMS – 7.5A	Documented information to retain	0	2	01-08-2018
QMS – 8.1	Operations (planning and control)	0	1	01-08-2018
QMS – 8.2	Requirement of products and services	0	3	01-08-2018
QMS – 8.3	Design and Development	1	1	09-02-2024
QMS – 8.4	Control of externally provided services	0	2	01-08-2018
QMS – 8.5	Requirement of training provision	1	4	29-11-2022
QMS– 8.6 – 8.7	Release of Product (COC/COP) and any non Conformity	0	1	01-08-2018
QMS – 9.1	Performance evaluation (monitoring and measurement)	0	3	01-08-2018
QMS – 9.2	Internal Audit	1	2	24-09-2024
QMS – 9.3	Management review	0	2	01-08-2018
QMS – 10.1 – 10.2 – 10.3	Improvement, Non Conformity and Correct Action, Continual Improvement	0	3	01-08-2018

**CONTROLLED COPY**

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - RS	REV. NO. 7	EFFECTIVE DATE 24-09-2024
REVISION SHEET	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 1

**RS: REVISION SHEET**

S.NO	DOC NO.	DATE	REV NO	DETAILS OF REVISIONS
1	QMS 4.1	10-11-2020	1	Page 2 of 2
2	QMS 4.3	10-11-2020	1	Page 1 of 2
3	QMS 5.2	10-11-2020	1	Page 2 of 2
4	QMS 4.3	27-12-2021	2	Page 1 of 2
5	QMS 4.4	27-12-2021	1	Page 2 of 5
6	QMS 4.4	29-11-2022	2	Page 2 of 5
7	QMS 8.5	29-11-2022	1	Page 2 of 4
8	QMS 4.3	13-03-2023	3	Page 1 & 2
9	QMS -02	05-09-2023	1	Page 2 of 2
10	QMS -03	05-09-2023	1	Page 2 of 7
11	QMS-CP	20-10-2023	01	Page 1
12	QMS-CP	09-02-2024	02	Page 1
13	QMS 8.3	09-02-2024	01	Page 1
14	QMS 9.2	24-09-2024	01	Page 1 of 2

  
24/09/2024

**CONTROLLED COPY**



<b>DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - TOC HL</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>TANLE OF CONTENTS HYPERLINKED</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 4</b>

## Table of Contents

ISO 9001:2015 QUALITY MANAGEMENT SYSTEM.....	1
TOC MASTER LIST & TABLE OF CONTENTS .....	1
RS: REVISION SHEET .....	1
INTRODUCTION OF THE ORGANIZATION.....	1
DETAILS OF REVISIONS.....	1
1 SCOPE.....	1
1.0 GENERAL.....	1
2 NORMATIVE REFERENCES .....	1
2.1 INTERNATIONAL LAWS INCLUDING SOFT LAWS-.....	1
2.2 NATIONAL LAWS INCLUDING SOFT LAWS-.....	1
2.3 REFERENCE .....	2
3 ABBREVIATIONS – TERMS AND DEFINATIONS .....	1
3.1 ABBREVIATIONS USED IN THE MANUAL .....	1
3.2 TERMS AND DEFINITIONS.....	1
3.3 REFERENCE .....	6
3.4 STANDARD DEFINITIONS AS PER ANNEX SL APPENDIX 2 of ISO ( IEC) .....	6
4 CONTEXT OF ORGANIZATION.....	1
4.1 UNDERSTANDING THE ORGANIZATION AND ITS CONTEXT .....	1
4.2 UNDERSTANDING THE NEEDS AND EXPECTATIONS OF THE INTERESTED PARTIES:.....	1
4.3 DETERMINING THE SCOPE OF THE MANAGEMENT SYSTEM:.....	1
4.3.1 THE SCOPE: .....	1
4.3.2 APPLICATION:.....	1
4.4 THE QMS AND ITS PROCESSES: AN APPROACH TO THE STANDARD.....	1
4.4 A INTERACTION OF THE PROCESSES OF THE QUALITY MANAGEMENT SYSTEM.....	1
5 LEADERSHIP AND COMMITMENT:.....	1
5.1.1 LEADERSHIP AND COMMITMENT .....	1
5.1.2 CUSTOMER FOCUS: .....	1
5.3 RESPONSIBILITIES, AUTHORITIES AND COMMUNICATION .....	1
RESPONSIBILITIES OF THE OFFICERS AT THE MMD'S .....	6

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - TOC HL</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>TANLE OF CONTENTS HYPERLINKED</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 4</b>

6. PLANNING .....	1
6.1 ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES.....	1
6.1.1QUALITY PLANNING .....	2
6.2OBJECTIVES AND PLANNING TO ACHIEVE THEM:.....	1
6.2.1 QUALITY OBJECTIVES: .....	1
6.3 PLANNING OF CHANGES .....	1
7 SUPPORT .....	1
7.1 PROVISION OF RESOURCES .....	1
7.1.1 GENERAL.....	1
7.1.2 PEOPLE .....	1
7.1.3 INFRASTRUCTURE.....	1
7.1.4 WORK ENVIRONMENT .....	2
7.1.5 MONITORING AND MEASURING RESOURCES:.....	2
7.1.5.1 GENERAL.....	2
7.1.5.2 MEASUREMENT TRACEABILITY .....	3
7.1.6 ORGANIZATIONAL KNOWLEDGE:.....	3
7.2 COMPETENCY:.....	1
7.3 AWARENESS: .....	1
7.4 COMMUNICATION: .....	1
7.4.1 INTERNAL / EXTERNAL COMMUNICATION.....	2
7.5 DOCUMENTED INFORMATION.....	1
7.5.1 GENERAL.....	1
7.5.2 CREATING AND UPDATING OF DOCUMENTED INFORMATION .....	1
7.5.3A DOCUMETED INFORMATION TO BE RETAINED BY THE ORGANIZATION:.....	1
8 OPERATIONS.....	1
8.1 OPERATIONAL PLANNING AND CONTROL .....	1
8.2 REQUIREMENT OF PRODUCT AND SERVICES .....	1
8.2.1 CUSTOMER COMMUNICATION:.....	1
8.2.2 DETERMINATION OF REQUIREMENTS RELATED TO THE PRODUCT: .....	1



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - TOC HL</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>TANLE OF CONTENTS HYPERLINKED</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 3 OF 4</b>

8.2.3	REVIEW OF REQUIREMENTS RELATED T O THE PRODUCT.....	2
8.3	DESIGN AND DEVELOPMENT .....	1
8.3.1	GENERAL.....	1
8.3.2	DESIGN AND DEVELOPMENT PLANNING .....	1
8.3.3	DESIGN & DEVELOPMENT INPUTS .....	2
8.3.4	DESIGN AND DEVELOPMENT CONTROLS.....	2
8.3.5	DESIGN & DEVELOPMENT OUTPUTS.....	3
8.3.6	CONTROL OF DESIGN & DEVELOPMENT CHANGES .....	3
8.4	CONTROL OF EXTERNALLY PROVIDED SERVICES.....	1
8.4.1	GENERAL.....	1
8.4.2	TYPE AND EXTENT OF CONTROL .....	1
8.5	PROCESSING OF APPROVAL OF TRAINING INSTITUTE / ISSUANCE OF A COC TO SEAFARERS.....	1
8.5.1	CONTROL OF SERVICE PROVISION .....	1
8.5.1 (f)	VALIDATION OF PROCESSES FOR SERVICE PROVISION.....	1
8.5.2	IDENTIFICATION AND TRACEABILITY.....	2
8.5.3	PROPERTY BELONGINF TO CUSTOMER OR EXTERAL PROVIDER.....	2
8.5.4	PRESERVATION OF PRODUCT (COC/COP ETC.) .....	3
8.5.5	POST-DELIVERY ACTIVITIES.....	3
8.5.6	CONTROL OF CHANGES.....	4
8.6	RELEASE OF TRAINEE FROM THE INSTITUTE.....	1
8.7	CONTROL OF NON CONFORMING PRODUCT( CANDIDATES WHO DO NOT PASS).....	1
8.7.1	CONTROLS .....	1
9	PERFORMANCE EVALUATION .....	1
9.1	MONITORING AND MEASUREMENT .....	1
9.1.1	GENERAL.....	1
9.1.2	CUSTOMER SATISFACTION .....	2
9.1.3	ANALYSIS AND EVALUATION OF DATA: .....	2
9.2	INTERNAL AUDIT: .....	1
9.3	MANAGEMENT REVIEW .....	1

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - TOC HL</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>TANLE OF CONTENTS HYPERLINKED</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 4 OF 4</b>

9.3.1	GENERAL.....	1
9.3.2	THE MR SHALL BE RESPONSIBLE FOR REVIEWING INPUTS LIKE:.....	1
9.3.3	REVIEW OF OUTPUT SHALL BE HIGHLIGHTED AS FOLLOWS:.....	2
10	IMPROVEMENT .....	1
10.1	GENERAL.....	1
10.2	NONCONFORMITY AND CORRECTIVE ACTION.....	1
10.3	CONTINUAL IMPROVEMENT .....	3



DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - A	REV. NO. 0	EFFECTIVE DATE 01-08-2018
INTRODUCTION OF THE ORGANIZATION	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 2

## INTRODUCTION OF THE ORGANIZATION

### 0.1 Background

- A. The development, implementation and maintenance of the Quality Management System (QMS) for EAC Branch of the Directorate is based on ISO 9001:2015 standard.
- B. Based on the Documented Management Systems, the Bureau of Indian Standards (BIS), the Certification body chosen by the Directorate is entrusted to certify the DGS EAC branch to ISO 9001:2015 Standard
- C. A Valid certificate is held by the Directorate General of shipping duly certifying the scope of the EAC branch only (as stated in Section QMS 4.3 of this Manual).

### 0.2 Characteristics and requirement of QMS which meets The Quality Standards as required by Regulation I/8 of the STCW 78 Convention as amended

- A. The design, development, implementation and maintenance of the Quality Management System of EAC Branch of the Directorate is influenced by the following -
  - 1) The varying needs of the customer,
  - 2) Its particular objectives with regard to services offered,
  - 3) The quality of products ( Certification of Seafarers ) conforming to international and national requirements
  - 4) The process it employs in achieving the objectives,
  - 5) Its size and organizational structure.
  - 6) Its resource management with due regards to the human resource provisions
- B. This quality management system through this standard assesses the ability of the EAC branch of the Directorate to meet customer needs, provisions of International treaties, statutory Rules and Regulatory requirements applicable to the product (seafarers certification) as required to be maintained by regulations I/8 of the STCW 78 Convention, as amended.
- C. For an EAC branch and its allied offices to function effectively, the identification and management of various linked activities to process the needs of the customer ( seafarer and the maritime industry) for issuance of final product ( certificate of competency and certificate of proficiency) under the QMS is extremely important.
- D. It also includes the procedures including the supporting forms required by the EAC branch and its allied offices involved in training, assessment, examination and certification of seafarers for the purpose of giving full and complete effect to the provisions of STCW 78 and its subsequent amendments made from time to time.
- E. Such activity or set of activities requires qualified and adequate human resources, adequate facilities / infrastructure to transform inputs into the desired outputs required by the customer.
- F. This Quality Management System which is based on ISO 9001:2015 standard ensures enhancement of customer satisfaction through the effective application of various processes supported by forms established there under to achieve the objectives laid down by the EAC Branch.
- G. The QMS also builds confidence and gives assurance to the customers, demonstrating that the product ( seafarers certification ) generated through the laid down processes and

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - A</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>INTRODUCTION OF THE ORGANIZATION</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 2</b>

procedures conform to the international conventions, STCW 78 as amended, statutory laws and regulatory provisions made under the statute including the amendments of the treaties.

- H. This manual takes into account the Directorate General of Shipping's functions as maritime administration of India relating to training, assessment, examination and certification of seafarers. These functions conform to the current provisions of STCW 78 convention as amended and the authority vested to the Director General of Shipping under the provision of Merchant Shipping Act, 1958 as amended and the Rules framed there under.
- I. The scope is also extended to the product undergoing changes on account of amendments to the STCW convention, up-gradation of technology and lessons learnt through the investigation of shipping casualties so that the level of standards for training, assessment, examination and certification under no circumstances is affected and compromised.
- J. The Directorate General of Shipping as maritime administration has obligation to give effect to the provisions of STCW 78 Convention as amended, as India is a party to this international instrument. In doing so, the EAC Branch of the Directorate has developed the Quality Management System highlighting the policy and objectives required to be achieved by the system. Through this system, the EAC branch aims to achieve the following-
1. Demonstrate its ability to consistently provide product (certificate of competency, certificate of proficiency and associated endorsements) that meets the customer i.e. the seafarers and the ship owner requirements.
  2. By ensuring compliance of the product with STCW 78 Convention as amended, statutory provisions i.e. Merchant Shipping Act, 1958 including regulatory requirements i.e. Merchant Shipping STCW Rules as amended, administrative orders issued by the EAC chairman etc.
  3. To enhance customer satisfaction i.e., seafarers and ship owners through effective application of the Quality Management System for continual improvement of the system and the assurance of conformity to the customer and above stated international treaties, statutory and regulatory requirements.



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 01</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>SCOPE</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 1</b>

## **1 SCOPE**

### **1.0 GENERAL**

- 1) This manual provides details of The Quality Management System of the EAC branch under ISO 9001: 2015 Standard.
- 2) This manual takes into account the Directorate's functions related to training, assessment, examination and certification of seafarers and implementation of the International Convention on STCW 78 as amended. Regulation I/8 of the said Convention requires establishment of a The Quality Management System.
- 3) **The scope of external evaluation and certification is detailed in section 4.3 of this manual .**

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 02	REV. NO. 1	EFFECTIVE DATE 05-09-2023
NORMATIVE REFERENCES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 2

## 2 NORMATIVE REFERENCES

- 1) The objectives and processes necessary to deliver the product ( services of approval of Institutes / issuance / endorsement of certificates ) to the customer ( seafarer / industry ) shall conform to the standards specified in ISO 9001:2015, international treaty STCW 78 as amended , statutory Indian laws supported by Rules, regulations and administrative orders issued by the EAC branch.
- 2) The examination, assessment and certification (EAC) Branch of the Directorate and its allied offices are responsible for the Training of seafarers through approved training institutes, assessment of their competence through qualifying sea service, and conduct of examination by the EAC Branch and its allied offices. Based on these inputs, the EAC Branch and its allied offices shall ensure the issuance of appropriate certificates to the seafarers including the relevant endorsements required by them to serve on board seagoing ships.
- 3) In carrying out the task relating to training of seafarers, assessment of competence, conduct of examination and certification, the EAC branch takes into consideration the following international, national laws, including the soft laws-

### 2.1 INTERNATIONAL LAWS INCLUDING SOFT LAWS-

- i) International Convention on Standards of Training, Certification and Watch keeping (STCW) for seafarers 78 as amended;
- ii) Maritime Labor Convention 2006
- iii) Standards of training, certification and watch keeping (STCW) code – Part A mandatory standards regarding assessment, training, examination and certification.
- iv) Standards of training, certification and watch keeping (STCW) code – Part B Recommended procedures for assessment, training, examination and certification.
- v) IMO model courses to develop training program ;
- vi) ILO/WHO/D.2/1997- Guidelines for conducting pre-sea and periodical medical fitness examination for seafarers, as amended;
- vii) ITU regulations for certification of GMDSS certificate of competency
- viii) IMO Resolutions / circulars etc. relating to STCW and unlawful practices associated with certificate of competency.

### 2.2 NATIONAL LAWS INCLUDING SOFT LAWS-

- i) Relevant provisions of Merchant Shipping Act, 1958 as amended
- ii) MS (STCW) Rules as amended;
- iii) TEAP Manual Volume I & II as amended;
- iv) MS (Medical Examination) Rules, as amended
- v) MS (DSRC) Rules as amended;
- vi) MS (Recruitment and Placement) Rules as amended;



DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 02	REV. NO. 1	EFFECTIVE DATE 05-09-2023
NORMATIVE REFERENCES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 2

- vii) MS (CDC / SID) Rules as amended;
- viii) Ministry of Ports, Shipping and Waterways notifications;
- ix) Administrative orders namely
  - a. DGS Orders and circulars
  - b. Engineering / Nautical notification or circulars;
  - c. Merchant shipping notices.

### 3 REFERENCE

1. For IMO relevant instruments please see Website [www.imo.org](http://www.imo.org)
2. For ILO relevant instruments please see Website [www.ilo.org](http://www.ilo.org)
3. For Radio Regulations please see website [www.itu.org](http://www.itu.org)
4. For ISO related issues please see website [www.iso.org](http://www.iso.org)
5. For all DGS related issues Please see website [www.dgshipping.gov.in](http://www.dgshipping.gov.in)

#### A System related Primary Reference Documents

- ISO 9001:2015-THE QUALITY MANAGEMENT SYSTEM REQUIREMENTS
- All the above publication is kept under "External control document".

#### B System related Secondary Reference Documents

- ISO 9000:2015 – Fundamentals and vocabulary
- ISO 9004:2015 – The Quality Management Systems-guidelines for performance and improvements

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 03	REV. NO. 1	EFFECTIVE DATE 05-09-2023
ABBREVIATIONS – TERMS AND DEFINATIONS	PREPARED BY: MR.	APPROVED BY DGS	PAGE: 1 OF 7

### 3 ABBREVIATIONS – TERMS AND DEFINATIONS

#### 3.1 ABBREVIATIONS USED IN THE MANUAL

AVL: Approved Vendor List  
 AddDG(S): Additional directorate General of Shipping  
 CAR: Corrective Action Report  
 CDTR: Controlled Document and transmittal Record  
 COC: Certificate of competency  
 COP: Certificate of proficiency  
 CIP: Comprehensive Inspection Program  
 CS : Chief Surveyor with the Govt. of India  
 DCR :Document Control Record.  
 DGS :Directorate General of shipping  
 DYNA : Deputy Nautical Advisor  
 DYCS : Deputy Chief Surveyor  
 E & SS : Engineering and Ship Surveyor  
 ISO:International Organization for Standardization  
 MR:Management Representative  
 NA: Nautical Advisor to the Govt. of India  
 NS :Nautical Surveyor  
 NCR :Non - conformance Report  
 QMS:Quality Management System  
 STCW: Standards of Training, Certification and Watch keeping

#### 3.2 TERMS AND DEFINITIONS

1. **Administrative Orders (AO)** includes Inter departmental and intra departmental instructions such as DGS / NT / Engineering / Training / Orders, Circulars and MS Notices etc.
2. **Auditing means** Systematic, independent, and documented process for obtaining objective evidence to evaluate and determine the extent to which audit (Internal or external) criteria are fulfilled.
3. **Corrective Action (CA)** means action taken to eliminate the causes of non-conformity in order to prevent recurrence. Such actions shall be appropriate to the effects of the non-conformities encountered.
4. **Chief Examiner of Engineers (CEE)** means the Chief Surveyor with the Government of India appointed under the provisions of the Merchant Shipping Act 1958, who has the authority to Assess, Examine and Certify seafarers in the Engineering Discipline.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 03	REV. NO. 1	EFFECTIVE DATE 05-09-2023
ABBREVIATIONS – TERMS AND DEFINATIONS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 7

5. **Chief Examiner of Master and Mates (CEMM)** means the Nautical Advisor to the Government of India appointed under the provisions of the Merchant Shipping Act 1958, who has the authority to Assess, Examine and Certify seafarers in the Nautical Discipline.
6. **CDC means** - a Continuous Discharge Certificate-cum-Seafarer's Identity Document. issued by Government of India under the provisions of the powers conferred by section 457 of the Merchant Shipping Act, 1958 (44 of 1958) and in suppression of the Merchant Shipping (Continuous Discharge Certificate) Rules 1993  
**Chief Surveyor means** Chief Surveyor cum Additional Director General of Shipping (Engineer) with the Government of India & the Chief Examiner of Engineers who advises the EAC chairman on matters relating to Training, examination, assessment, examination and certification of Indian seafarers in the Engineering stream.
8. **Chief Ship Surveyor means** Chief Ship Surveyor cum Joint Director General of Shipping (Naval Architecture) with the Government of India & the Examiner of Engineers (for Naval Architecture subjects) who assists the Chief Examiners of Engineers and Engineers on matters relating to Training, examination, assessment, and certification of Indian seafarers in respect of Naval Architecture relevant matters in the Engineering and Nautical stream as the case may be.
9. **Customer** means seafarers, training institutes and ship owners who are beneficiary from the point of view of effective functioning of QMS pertaining to Examination, Assessment and Certification.
10. **DDG (personnel) means** Deputy Director General of Shipping (Personal branch) who assists the chairman EAC branch in providing human resource for efficient and effective functioning of QMS.
11. **DDG( TRG) Deputy Director General of Shipping (Training branch)** who assists the chairman EAC branch in providing inputs for trainings to the seafarers in accordance with STCW 78 as amended for efficient and effective functioning of QMS of EAC branch . .
12. **DG(S) means** Director General of Shipping appointed under section 7 of the Merchant Shipping Act 1958. And for the purpose of giving effect to the provision of this The Quality Management System for the EAC Branch of DGS and is the Chairman of EAC Branch
13. **DGS means** Directorate General of Shipping, a sub ordinate office of Ministry of Ports, Shipping and Waterways which has been through Government notification delegated to perform the functions of Indian Maritime Administration for the purpose of Examination, Assessment and certification of Indian seafarers...
14. **Document means** Information material, Public or private in nature which is subject to changes and affects output of services provided & product issued under this system that conform to the ISO standards & statutory , regulatory & International as well as Indian Laws.
15. **Documented procedure means** that the procedure is established, documented, implemented and maintained. A single document may address the requirements for one or more procedures. Requirement for a documental procedure may be covered by more than one document. The documentation can be in any form or type of medium.
16. **DYCS means** Deputy Chief Surveyor cum Sr. Dy. Director General of Shipping [Tech] with Government of India assisting Chief Examiner of Engineers for Examination, Assessment certification of Indian seafarers in Engineering Stream.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 03	REV. NO. 1	EFFECTIVE DATE 05-09-2023
ABBREVIATIONS – TERMS AND DEFINITIONS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 3 OF 7

17. **DYNA** means Deputy Nautical Adviser cum Sr. Dy. Director General of Shipping [Tech] to the Government of India who assists Chief Examiner of Master and Mates in matters pertaining to Examination, Assessment certification of Indian seafarers for in Nautical Stream.
18. **DYCSS** means Deputy Chief Ship Surveyor cum Sr. Dy. Director General of Shipping [Tech] with Government of India who assists Chief Examiner of Engineers as well as Masters & Mates for Examination, Assessment certification of Indian seafarers in respect of Naval Architecture relevant in Engineering Stream/Nautical streams as the case may be.
19. **E& SS** means Engineer & Ship Surveyor cum Dy. Director General of Shipping [Tech] who assists the Dy. CS in matters pertaining to Examination, Assessment certification of Indian seafarers in Engineering Stream.
20. **E. O.** means Executive Officer in the Administration Department of the Directorate General of Shipping who assists the top management in providing the requisite Human resources and facilities/infrastructure to conduct examination, Assessment and Certification of Indian seafarers.
21. **EAC Branch** means Examination, Assessment & Certification Branches of Directorate that deals
22. with the related matters in the Nautical, Engineering, Training, Personnel & Crew branches including INDOS Cell and its allied offices.
23. **External Assessor** means any person approved by the Chief Examiner of Engineers or Master and Mates for purpose of conducting written and oral examinations and may include, Ex-Surveyors of DGS/ MMD, Class Surveyors, Trainers of Maritime Training Institutes , Executives of Shipping Companies, Officials of major or non-major port authorities including maritime board
24. **GMDSS (GOC)** means Global Maritime Distress and Safety System, General Operator Certificate issued under the provision of Merchant Shipping (Distress and Safety Radio Communication) Rules as amended.
25. **IMO** means International Maritime Organization located in London.
26. **Internal Examiner** means any technical person appointed with the Indian Maritime Administration and approved by the Chief Examiner of Engineer or Master and Mates for purpose of conducting written and oral examinations for various grades of COC's.
27. **Invigilator** means any person appointed by the Principal Officer to supervise written examination as per the laid on procedures which may include, Nautical Surveyor, Engg. Ship Surveyor, Ship Surveyor, Senior Radio Surveyor, and Radio Inspector, Assessor or Instructor of approved training institutes or other approved bodies associated in EAC matters approved by the Director General of Shipping.
28. **Addl. DG / Jt. DG** means Additional / Joint Director General of shipping who assist the Director General of Shipping, the Chief Examiners of Engineers, Chief Examiners of Master & Mates on matters relating to Training, examination, assessment and certification of Indian seafarers in the Engineering and Nautical stream as the case may be.
29. **LBS CAMSAR** means Lal Bahadur Shastri Collage of Advance Maritime Studies and Research for conducting various maritime training courses with the approval of Directorate General of Shipping & issues relevant certificates on behalf of Government of India.



DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 03	REV. NO. 1	EFFECTIVE DATE 05-09-2023
ABBREVIATIONS – TERMS AND DEFINATIONS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 4 OF 7

30. **LDC** means Lower Division Clerk (Examination Assistant) assisting in assessment, Examination & Certification of Indian seafarers.
31. **Management Representative (MR)** means member of the EAC branch appointed by the top management who irrespective of other responsibilities and authority includes the following
  - a. Ensuring that processes needed for the Quality Management System are established, implemented and maintained,
  - b. Reporting to top management on the performance of the Quality Management System and any need for improvement
  - c. Ensuring the promotion of awareness of customer requirements throughout the organization and
  - d. Liaison with external parties on matters relating to the Quality management system.
32. **TEAP Manuals** means **TRAINING EDUCATION AND ASSESSMENT PROGRAM** Manuals supplementing the STCW Rules for the purpose of training, examination, assessment and certification of Indian seafarers.
33. **MMD** means Mercantile Marine Department who carries out the functions of examination and assessment under the directives of DGS (EAC Branch)
34. **Moderator** means external assessors or an Internal examiner of Master and Mates or Engineer or Naval Architect or Radio Surveyor or Inspector or other persons assisting the EAC branch in validating the question papers pertaining to Nautical, Naval Arch. and Engineering streams as the case may be under the supervision of Chief Examiners for engineering and Nautical wing .
35. **MET** means maritime Education & Training providers who are imparting trainings to the seafarers and are duly approved by DGS EAC Training Branch.
36. **NA** means Nautical Adviser cum Additional Director General of Shipping (Nautical) to the Government of India & the Chief Examiner of Masters and Mates who advises the EAC chairman on matters relating to Training, examination, assessment, examination and certification of Indian seafarers in the Nautical stream.
37. **NC** means Non-Conformity, an observed situation where objective evidence indicates the non fulfillment of a specified requirement.
38. **NCV** means Near Coastal Voyage between the ports of Bangladesh, India, Myanmar, Maldives and Sri Lanka as agreed between these states (BIMMS).
39. **NS** means Nautical Surveyor cum Dy. Director General of Shipping [Tech] who assists the Dy. NA in matters pertaining to Examination, Assessment certification of Indian seafarers in Nautical Stream.
40. **Outsource process** means a process that EAC branch needs for its QMS and which the EAC branch chooses to have performed by an external party.
41. **OS/Assistant** means Office Superintendent/Assistant, an officer supervising the administrative aspect of Training, Assessment, Examination and Certification of Indian seafarers in the relevant branches of the DGS and its allied offices where the assessment centers are established or otherwise.
42. **OSD** means Officer on Special Duty as nominated by the Director General of Shipping for specific purpose to achieve the objectives specified in the Quality Management System in areas

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 03	REV. NO. 1	EFFECTIVE DATE 05-09-2023
ABBREVIATIONS – TERMS AND DEFINATIONS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 5 OF 7

pertaining to Training, assessment, Examination, INDOS and Certification etc. as the case may be.

43. **PA means** Preventive Action which eliminates the causes of potential non conformities in order to prevent their occurrence. Such actions shall be appropriate to the effects of the potential problems.
44. **PO MMD means** Principal Officer cum Joint Director General of Shipping (Technical) & Head of DG Shipping EAC Branch appointed under Section 8 of the Merchant Shipping Act, 1958 to implement the relevant provisions of QMS in areas pertaining to Training, assessment, Examination, INDOS and Certification etc. as the case may be.
45. **Process means** main method or procedures adopted by the EAC branch to convert the identified inputs namely man power, material and facilities etc. to obtain the desired output that is relevant certificates and expected services.
46. **Product includes** services means requirements of customers in respect of certificates, certificate of proficiency, and certificate of equivalent including other endorsement issued to the customer as per the provision of STCW as amended and applicable statutory as well as regulatory requirements.
47. **The Quality Plan means** programs developed by EAC branch that includes procedures and associated resources to be applied by the concerned branch of the Directorate and its allied offices to a specific service/product/process pertaining to training, assessment, examination, INDoS and E Governance and Certification of Indian Seafarers.
48. **The Quality means** Degree to which a set of inherent characteristics fulfils and provide product as well as services that meets customer's needs and complies with applicable international, statutory and regulatory requirements pertaining to training, examination, assessment and certification of Indian Seafarers.
49. **The Quality In-charge means** Officer In-charge appointed by the Nautical Advisor, Chief Surveyor, Chief ship Surveyor, Joint DG and Principal officer of MMD District to supervise the administration of EAC in their respective jurisdiction and provide periodical feedback to the Management Representative for continual improvement of the system.
50. **RI means** Radio Inspector who assists SRS, Dy. NA and Principal Officers, MMD as the case may be in matters pertaining to Examination, Assessment and Certification; Relevant Endorsement of Indian seafarers in respect of Nautical Stream including GMDSS.
51. **Documented information to retain means** the evidence of one or more interrelated processes confirming achievement of desired outcome.
52. **Senior Management means** Principal Officers of MMDs, Jt. Director General of Shipping, Chief Ship Surveyor, Deputy Nautical Advisors, Deputy Chief Surveyor and Dy. Chief Ship Surveyor having responsibilities related to activities of EAC Branch.
53. **SRS means** Senior Radio Surveyor cum Asst. Director General of Shipping [Tech] who assist the Dy. NA and the Dy. Nautical Advisor in matters pertaining to Examination, Assessment certification and Relevant Endorsement of Indian seafarers in respect of Nautical Stream including GMDSS.
54. **STCW 78 CONVENTION AS AMENDED means** International Convention of Standards of Training, Certification, and Watch keeping for Seafarers, 1978, as amended the provisions of

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 03	REV. NO. 1	EFFECTIVE DATE 05-09-2023
ABBREVIATIONS – TERMS AND DEFINITIONS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 6 OF 7

which have become part of the Quality Management System pertaining to EAC branch of the Directorate.

55. **Sub process** means a supporting method or procedures adopted by the EAC branch supplementing the main process for the purpose of converting input into desired output.
56. **Supplier** means Provider of goods and services necessary for obtaining reliable product through the implementation of the Quality plan, procedures and applicable process under the QMS for EAC branch.
57. **Top Management** means Director General, Nautical Advisor, Chief Surveyor in the Directorate General of Shipping who are authorized to develop, review, implement and maintain the QMS for achieving the laid down objectives and needs of shipping and seafarers.
58. **UDC** means Upper Division Clerk (Examination Assistant) who assist the office superintendent in the relevant branches of the DGS and its allied offices where the assessment centers are established or otherwise.

### 3.3 REFERENCE

1. STCW Convention and other applicable international treaties
2. Relevant provision of Merchant Shipping Act, 1958
3. Relevant Merchant Shipping Rules framed under MS Act 1958.
4. Applicable ISO Standards
5. Applicable Government fundamental Rules and office procedures.

### 3.4 STANDARD DEFINITIONS AS PER ANNEX SL APPENDIX 2 of ISO ( IEC)

#### 1 Organization

Person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives (3.8)

#### Interested party (preferred term) - Stakeholder (admitted term)

Person or organization (3.1) that can affect, be affected by, or perceive itself to be affected by a decision or activity

#### 3 Requirement

Need or expectation that is stated, generally implied or obligatory

#### 4 Management system

Set of interrelated or interacting elements of an organization (3.1) to establish policies (3.7) and objectives (3.8) and processes (3.12) to achieve those objectives

#### 5 Top management

person or group of people who directs and controls an organization (3.1) at the highest level

#### 6 Effectiveness

Extent to which planned activities are realized and planned results achieved

#### 7 Policy

Intentions and direction of an organization (3.1), as formally expressed by its top management (3.5)

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 03	REV. NO. 1	EFFECTIVE DATE 05-09-2023
ABBREVIATIONS – TERMS AND DEFINATIONS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 7 OF 7

- 8 **Objective**  
Result to be achieved
- 9 **Risk**  
Effect of uncertainty
- 10 **Competence**  
Ability to apply knowledge and skills to achieve intended results
- 11 **Documented information**  
information required to be controlled and maintained by an organization (3.1) and the medium on which it is contained
- 12 **Process**  
Set of interrelated or interacting activities which transforms inputs into outputs
- 13 **Performance**  
Measurable result
- 14 **Outsource** (verb)  
make an arrangement where an external organization (3.1) performs part of an organization's function or process (3.12)
- 15 **Monitoring**  
Determining the status of a system, a process (3.12) or an activity
- 16 **Measurement**  
Process (3.12) to determine a value
- 17 **Audit**  
Systematic, independent and documented process (3.12) for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled
- 18 **Conformity**  
Fulfilment of a requirement (3.3)
- 19 **Nonconformity**  
Non-fulfilment of a requirement (3.3)
- 20 **Corrective action**  
Action to eliminate the cause of a nonconformity (3.19) and to prevent recurrence
- 21 **Continual improvement**  
Recurring activity to enhance performance (3.13)

The Above said definitions are the common definitions used for the common High level documentation as prescribed in Annex SL appendix 2

For further definition if required to refer to may be referred to ISO 9000:2015



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 4.1</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>CONTEXT OF ORGANIZATION</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 2</b>

#### **4 CONTEXT OF ORGANIZATION**

##### **4.1 UNDERSTANDING THE ORGANIZATION AND ITS CONTEXT**

- A. The organization has determined the internal and external issues for good services to be provided to the seafarers and in turn to the Maritime industry as our customers under the requirements STCW 78 as amended.
- B. We also involve ourselves in issuance of certificate of competency as well as Proficiency at various ranks and levels for seafarers to serve on board all vessels world wide as well as vessels on NCV trade.
- C. We have primarily categorized our services in the following categories:
  1. Approval of training institutes
  2. Monitoring the performance of the institutes
  3. Assessment of seafarers eligibility
  4. Conduct of examinations at various levels of competency
  5. Issuance of certificates for various competencies as well as proficiencies to the seafarers
  6. Registration of seafarers at the INDOS cell and E- GOVERNANCE
- D. The main essence of delivering the above mentioned services to the maritime Industry lies in the knowledge and its upkeep.
- E. The DGS /MMD Officials ( for Training Institutes approval ) and examiners and assessors for examinations and issuance of a certificate of competency or proficiency are updated with their skills with regards to the STCW 78 as amended from time to time
- F. The assessors and examiners are put on a regular knowledge based up gradation to keep their knowledge and skills updated to the latest information on the STCW 78 as amended.
- G. As a strategy and policy decision all our assessors as third party contractor, give considerations to the following internal Issues so that the quality of the delivery of our services is maintained.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 4.1	REV. NO. 1	EFFECTIVE DATE 10-11-2020
CONTEXT OF ORGANIZATION	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 2

S.NO	INTERNAL ISSUES	ADVERSE IMPACTS
1.	Need for continual improvement to enhance their knowledge on latest amendments of the Convention	Could lead to a wrong judgment of the requirement and error could be made in approvals of Training institutes or issuance of a COC
2.	If the infrastructure is not maintained	Could lead to bad impression on the Industry and foreign delegates or visitors from international leagues.
3.	If there are insufficient examiners for the EAC branch	The examinations may not be completed in time and get delayed
4.	If the regulatory guidelines on the DGS Web site is not updated properly	This could lead to an inspection of an Institutes and they are not aware of the latest .
5	Good and fair means of assessment and examinations.	Lack of such fair means may hamper the reputation and integrity of DGS and could potentially lead to a RTI query.

- H. Services delivered by us to our customers are duly controlled by processes established and such information and appropriate work instructions are established and are communicated to relevant personnel internally as well as to the external service providers by the HOD's.
- I. The Internal and external key operational processes identified by the organization are as per the chart detailed in section 4.4 of this part of the manual.
- J. Some of the external issues are identified as per the table below:

S.NO	EXTERNAL ISSUES	ADVERSE IMPACTS
1.	The external Assessors are having knowledge of the IMO requirements	May impact the quality assessment
2.	To increase the pool of external assessors	Shortage of external assessors may delay the smooth execution of examination related tasks.
3.	Available of qualitative maritime training	May impact seafarer knowledge
4.	Details of COC, COP issued by DG shipping not available on COC/COP checker	May impact the employment of seafarers
5.	Non Update of seafarer's time details by Shipping companies	May impact the substantial delays in certification process of the seafarers

- K. The internal and external issues stated above are just an example what we could face , the issues are dynamic and hence shall be taken up by the departmental heads in the quarterly meetings with a risk based approach and shall be further reviewed in the management review meeting on an annual basis.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 4.2	REV. NO. 0	EFFECTIVE DATE 01-08-2018
UNDERSTANDING THE NEEDS OF THE INTERESTED PARTIES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 1

#### 4.2 UNDERSTANDING THE NEEDS AND EXPECTATIONS OF THE INTERESTED PARTIES:

- A. We Directorate General of Shipping have taken a strategic decision to follow the following principles in identificating the needs of the interested parties:
- B. The Organization reviews the interested parties from time to time and keeps an appropriate understanding of the fulfilment of the needs and expectation of such interested parties.
- C. Feedback from the interested parties such as the shipping companies and the maritime institutes is taken from time to time in the stakeholders meetings held.
- D. A table given below details some of the interested parties determined and identified by us:

S.NO	INTERESTED PARTIES	THEIR REQUIREMENT
1.	The external assessors for examinations	Fair means of evaluating the competency requirements
2.	The Maritime industry as stake holders.	The seafarers holding Certificate of Competency as a products delivered to the industry are able to perform on board their vessel.
3.	The Employees of the Directorate and its allied offices	They should be looked after well for a greater and longer partnership.

The views of the interested parties and their expectations are also one of the issues to be discussed in the quarterly meetings at the HOD level and further an annual review shall be done in the MRM.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 4.3	REV. NO. 3	EFFECTIVE DATE 13-03-2023
SCOPE	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 2

#### 4.3 THE SCOPE OF THE MANAGEMENT SYSTEM:

##### 4.3.1 THE SCOPE:

- A. This manual takes into account the Directorate's functions related to training, assessment, examination and certification of seafarers and implementation of the international convention on STCW 78 as amended. Regulation I/8 of the said convention requires establishment of the Quality Management System.
- B. **The scope of external evaluation and certification is:**
- 1 The approval and monitoring the Quality of DGS approved training institutions for seafarers.
  - 2 Training, Assessment, examination and certification of the trained Seafarers.
  - 3 Framing of rules and guidelines specific to the maritime training programs and examination under the purview of the Indian maritime administration in compliance with STCW 78 as amended under the provision of the MS act 1958
  - 4 Maintenance of database pertaining to seafarers and maritime Training institutes.

This above detailed scope of certification is extended to the MMD offices at: Mumbai – Noida – Kochi – Kolkata – Chennai – Kandla- Vishakhapatnam in addition to the main head office at the Directorate General of Shipping EAC branch and is as given below:

“Examination, Assessment & Issuance of Certificate of Competency to Seafarers under Mumbai, Kochi, Chennai, Kolkata, Noida, Kandla and Vishakhapatnam branches (Examinations/Assessment) and approval & monitoring of training institutes of Directorate General of Shipping”

Not applicable: Design and Development activities (CI No.8.3)

##### 4.3.2 APPLICATION:

- A. The requirements of the Quality Management System are intended to be applied to the concerned wings, branches and departments of DG Shipping including its allied offices. Inter-alia this is extended to the following

DG Shipping EAC Branch

- 1) Nautical Wing
- 2) Engineering Wing
- 3) Personnel Branch
- 4) Training Branch
- 5) All MMD's as defined in Scope (to monitor the performance of training institutes within their jurisdiction)
- 6) All MMD's to the scope associated with Seafarer's examinations.
- 7) E- Governance branch for the upkeep of database and online modules



DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 4.3	REV. NO. 3	EFFECTIVE DATE 13-03-2023
SCOPE	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 2

- 8) RO's appointed by the DGS for effective monitoring of the institutes. (A sub contracted activity )

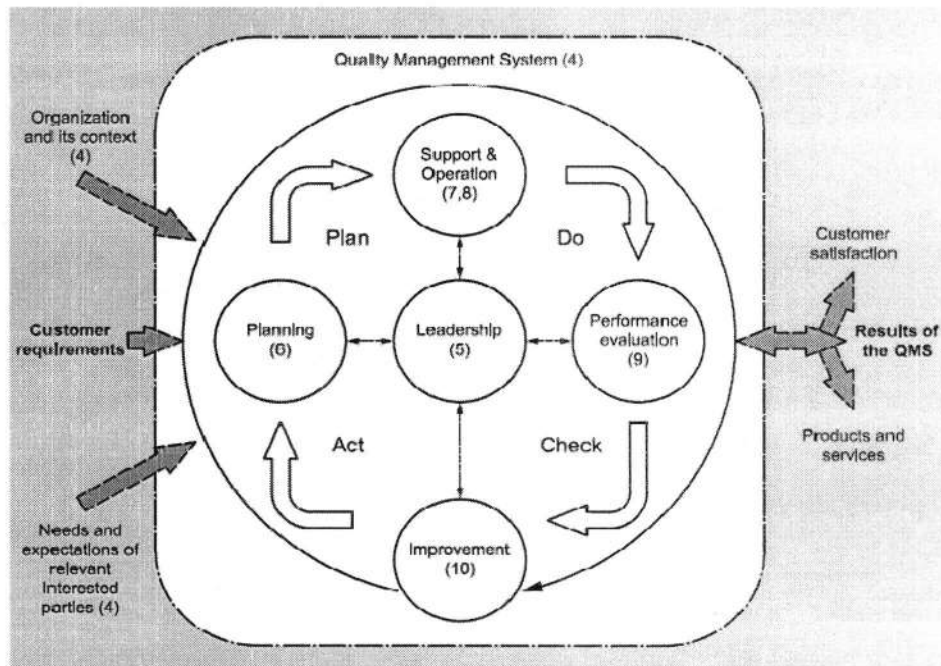
The concerned DGS / MMD officials shall be guided by the provisions of applicable international treaties, Statutory and Regulatory Rules, Regulations and administrative orders etc.

#### 4.3.3 Non-applicability

- A. Clause 8.5.1 (f) considers the validation of the process in case of any special process employed in the services rendered by the Directorate General of Shipping. As the training, examination and certification process continuously monitors issuance of certification and the certificate is issued when the seafarer meets the competency requirement established by the Government of India. Hence Chapter 8.5.1(f) may be considered for exclusion.
- B. Clause 7.1.5.2 for monitoring and measurement of resources including equipment calibration is considered for exclusion as we do not use any equipment in the process of examination and assessment which needs calibration.
- C. Clause 8.3 towards Design and Development activities is excluded and not applicable.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 4.4	REV. NO. 2	EFFECTIVE DATE 29-11-2022
QMS AND ITS PROCESSES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 5

#### 4.4 THE QMS AND ITS PROCESSES: AN APPROACH TO THE STANDARD



- A. The “Directorate General of Shipping EAC Branch” hereafter referred to as the “EAC BRANCH” or “The DGS EAC BRANCH” has identified various processes required by the Quality Management System.
- B. EAC Branch has established, documented, implemented and maintains a Quality Management System. This system satisfies all the requirements of ISO 9001:2015 as specified in the Scope of this Manual expressed in QMS -4.3.
- C. With regard to Services provided by the EAC Branch there are FIVE main processes that are dealt with by EAC branch. These processes are
  - A. Training,
  - B. Assessment,
  - C. Examination
  - D. Certification of a seafarer.
  - E. E Governance branch
- D. Associated sub-processes at DGS and MMDs (as their subordinate offices) are also identified. Interactions of these processes have been outlined in document QMS – 4.4A
- E. MS Notices, circulars, instructions of Directorate/Principal Officers and orders from Director General may also modify, any of sub-process for effective implementation of the processes.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 4.4</b>	<b>REV. NO. 2</b>	<b>EFFECTIVE DATE 29-11-2022</b>
<b>QMS AND ITS PROCESSES</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 5</b>

- F. The resources as necessary to support operation and monitoring of the above mentioned processes and sub-processes are made available at the Directorate / MMDs.
- G. Following activities are performed by persons/organization outside the EAC branch.

- 1 Training: The approved training institutes impart pre-sea and post-sea training to seafarers in accordance with syllabus provided in TEAP Manual. To ensure the guidelines of Directorate are complied, RO's as specified in DGS Order 4 of 2017 carry out periodical inspection of approved institutes and submit its report to Directorate. Seafarer gets a certificate on successful completion training and becomes eligible for appropriate certification.
- 2 Correction of answer scripts: approved individuals or faculty of training institutes corrects the answers scripts. The scripts are also scrutinized in Directorate when request for re-evaluation is received.
- 3 Medical Examination of Seafarer: EAC branch approves medical practitioner as medical examiner as per the provision of MS medical examination Rules, 2000. The procedure is contained in MS Notice 23 of 2010. This includes the sight test examinations done prior induction of a new seafarer. As such the Rules are dynamic and are constantly revised by MS notices.
- 4 Apart from the above, the oral examination is jointly carried out by the examiners of Directorate/MMDs and approved external assessors subject to their availability. The criteria for declaring a surveyor as examiner and for empanelment of external assessor is detailed in WPI – 7.5-2B-01.
- 5 The DCE endorsements and the issuance of certificate of proficiency for watch keeping to the ratings (Deck and Engine) are issued through the online process of e-governance system of EAC Branch of the Directorate General of Shipping.
- 6 Processes for management activities and provision of resources have been outlined in QMS 5.1 and QMS 7.1 respectively.

#### 4.1.1 CONTROL OVER THE SUB CONTRACTORS:

- (a) An "outsourced process" is a process that the organization needs for its Quality Management System and which the organization chooses to have it performed by an external party.
- (b) Where DGS, chooses to outsource any process that affects training, assessment examination and certification processes, DGS has ensured control over such processes.
- (c) The type and extent of control to be applied to these outsourced processes is defined within the Quality Management System and reflected in the work instructions issued for the process or the sub-process defined for that particular task.
- (d) Ensuring control over outsourced processes does not absolve DIRECTORATE GENERAL OF SHIPPING EAC BRANCH of their responsibility of conformity to all customers, statutory and regulatory requirements. The type and extent of control to be applied to the outsourced process can be influenced by factors such as:
  - i) The potential impact of the outsourced process on the EAC Branch's capability to provide product that conforms to requirements;
  - ii) The degree to which the control for the process is shared and exercised

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 4.4	REV. NO. 2	EFFECTIVE DATE 29-11-2022
QMS AND ITS PROCESSES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 3 OF 5

- iii) The capability of achieving the necessary control through the application of Clause 8.4 (Purchasing) which deals with selection / control / monitoring and re-approval of the external service providers include the services of external assessors.
- (d) Directorate has determined the processes needed for the Quality Management System as referred above in (c)
- (e) The EAC BRANCH of the Directorate General of Shipping has identified and defined the key processes for a good management along with the below mentioned sub processes and support processes in the following pages
- (f) It is the responsibility of DG Shipping EAC Branch to control the Quality of the processes as well as all the services defined in the scope by maintenance of the processes defined and various interactions of these processes (Refer to QMS 4.4A) and do a continual improvement.
- (g) Proper trainings shall be provided to the employees of EAC Branch to have good operational control over the various processes to ensure that such processes are effective.
- (h) It shall also be the responsibility of DG Shipping EAC branch to implement corrective actions to achieve desired Outputs of process fulfilling the goals set by the department to strive for continual improvement of the processes.

MAIN PROCESS		SUB PROCESSES			
1A	TRAINING INSTITUTES APPROVAL	RECEIVING APPLICATION FROM TRAINING INSTITUTES AND THEIR APPROVAL			
1B	TRAINING INSTITUTES INSPECTION	INSPECTION OF THE TRAINING INSTITUTES BY PO MMD'S	PROCESS FOR CIP INSPECTIONS BY RO	PROCESS OF CANCELLATION /WITHDRAWAL OR RESTORATION OF APPROVAL GRANTED	
2A	ASSESSMENT OF ELIGIBILITY OF SEAFARER FROM DGS APPROVED TRAINING STREAMS	ASSESSMENT FOR ELIGIBILITY OF NAUTICAL OFFICERS FOR COC	ASSESSMENT FOR ELIGIBILITY ENGINEER OFFICERS FOR COC	ASSESSMENT FOR ELIGIBILITY DECK AND ENGINE RATINGSFOR DCE / COP WATCHKEEPING	ASSESSMENT FOR ELIGIBILITY NAUTICAL AND ENGINE OFFICERS FOR DCE/GMDSS
2B	ASSESSMENT OF EXAMINERS	ASSESSMENT OF INTERNAL AND EXTERNAL EXAMINERS FOR WRITTEN	ASSESSMENT OF INTERNAL AND EXTERNAL EXAMINERS FOR ORAL EXAMS	PROCESS OF EVALUATION OF THE PERFORMANCE OF THE	PROCESS OF EVALUATION OF THE PERFORMANCE OF THE



DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 4.4	REV. NO. 2	EFFECTIVE DATE 29-11-2022
QMS AND ITS PROCESSES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 4 OF 5

MAIN PROCESS		SUB PROCESSES			
		ANSWER SHEETS		EXTERNAL /INTERNAL EXAMINERS WRITTEN	EXTERNAL /INTERNAL EXAMINERS ORALS
2C	ASSESSMENT MEDICALS	PROCESS OF ASSESSMENT AND APPROVAL OF A MEDICAL EXAMINER	PROCESS FOR FORWARDING DATA RELATED TO EYE SIGHT TEST		
3A	EXAMINATION OF THE SEAFARERS FOR ALL GRADES NAUTICAL	SETTING QUESTION PAPERS- NAUTICAL	WRITTEN EXAMINATION FOR NAUTICAL	PROCESS OF CODING /DECODING SAFE CUSTODY AND DISPATCH OF ANSWER SHEETS- NAUTICAL	ORAL FOR NAUTICAL
3B	EXAMINATION OF THE SEAFARERS FOR ALL GRADES ENGINEERING	SETTING QUESTION PAPERS ENGINEERING	WRITTEN EXAMINATION FOR ENGINEERS	PROCESS OF CODING /DECODING SAFE CUSTODY AND DISPATCH OF ANSWER SHEETS- ENGINEERING	ORALS FOR ENGINEERS
3C	COMMON ASSESSMENT PROCESS FOR NAUTICAL AND ENGINEERING	PROCESS FOR ASSESSMENT OF WRITTEN EXAMINATION PAPERS NAUTICAL & ENGINEERING	PROCESS FOR COMPILATION OF RESULTS – NAUTICAL	PROCESS FOR COMPILATION OF RESULTS – ENGINEERING	PROCESS FOR DECLARATION OF RESULTS
4A	ISSUENCE OF CERTIFICATE OF COMPETENCY	ACCEPTANCE OF THE APPLICATION FOR COC	PREPARATION AND ISSUANCE OF THE COC	PROCESS FOR REVALIDATION OF THE COC	PROCESS FOR PREPARATION OF A CERTIFICATE OF ENDORSEMENT OF UNDER 1/10 OF STCW 78 AS AMENDED

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 4.4</b>	<b>REV. NO. 2</b>	<b>EFFECTIVE DATE 29-11-2022</b>
<b>QMS AND ITS PROCESSES</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 5 OF 5</b>

MAIN PROCESS		SUB PROCESSES			
		UPDATING DATA OF ISSUED COC IN INDOS DATABASE	PROCESS FOR CONTROL OF PRINTING/ STORAGE/HANDLING OF BLANK CERTIFICATES NAUTICAL& ENGG	PROCESS OF ACTION TO BE TAKEN ON RECEIPT OF FORGED COC	PROCESS OF INITIATING ACTION AGAINST CANDIDATE FOUND GUILTY OF MISCONDUCT
4B	ISSUANCE OF DCE / GMDSS ENDORSEMENTS	PROCESS FOR ISSUANCE OF DCE & GMDSS ENDORSEMENT	PROCESS FOR REVALIDATION OF DCE/GMDSS ENDORSEMENT	UPLOADING ALL THE DCE/GMDSS ENDORSEMENT ON E-GOVERNANCE DATABASE	
4C	ISSUANCE OF CERTIFICATE OF WATCH KEEPING	PROCESS OF ASSESSMENT /EXAMINATION AND ISSUANCE OF CERTIFICATE OF PROFICIENCY TO RATING FORMING A PART OF WATCHKEEPING			
4D	ISSUANCE OF COP FOR DCE/GMDSS	PROCESS FOR ISSUANCE AND REISSUANCE OF DCE COP	PROCESS FOR ISSUANCE AND REISSUANCE OF GMDSS COC ENDORSEMENT		
	ISSUANCE OF COP FOR RATING WATCH KEEPING	ASSESSMEN AND ISSUANCE OF COP OF RATING FORMING PART OF WATCH	ANNEXURE FOR ASSESSMEN AND ISSUANCE OF COP OF RATING FORMING PART OF WATCH		
5A	REGISTRATION OF CERTIFICATES WITH E GOVERNANCE	APPLICATION FOR REGISTRATION WITH INDOS CELL AND UPLOADING			
6A	ADMINISTRATION AND SUPPORT	RECRUITMENT OF OFFICE STAFF	EVALUATION OF SUPPLIER	PURCHASE	OFFICE TRAINING
6B	MEASUREMENT AND MONITORING	MOVEMENT OF FILES	CUSTOMER SATISFACTION	MONITORING THE SERVICES	CONTROL OF CUSTOMER PROPERTY

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 4.4A	REV. NO. 0	EFFECTIVE DATE 01-08-2018
INTERACTION OF THE PROCESSES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 2

#### 4.4 A INTERACTION OF THE PROCESSES OF THE QUALITY MANAGEMENT SYSTEM

DO

##### RISK BASED APPROACH

- STCW RULES FOR FLAG STATE
- SYLLABUS FOR THE VARIOUS COURSES
- ASSESSMENT CRITERIA FOR ELIGIBILITY
- CRITERIA FOR EXAMINATION
- CRITERIA FOR ISSUANCE OF

PLAN

IMPROVE

- CORRECTIVE ACTION
- CONTINUAL IMPROVEMENT

ACT

##### SUPPORT PROCESS

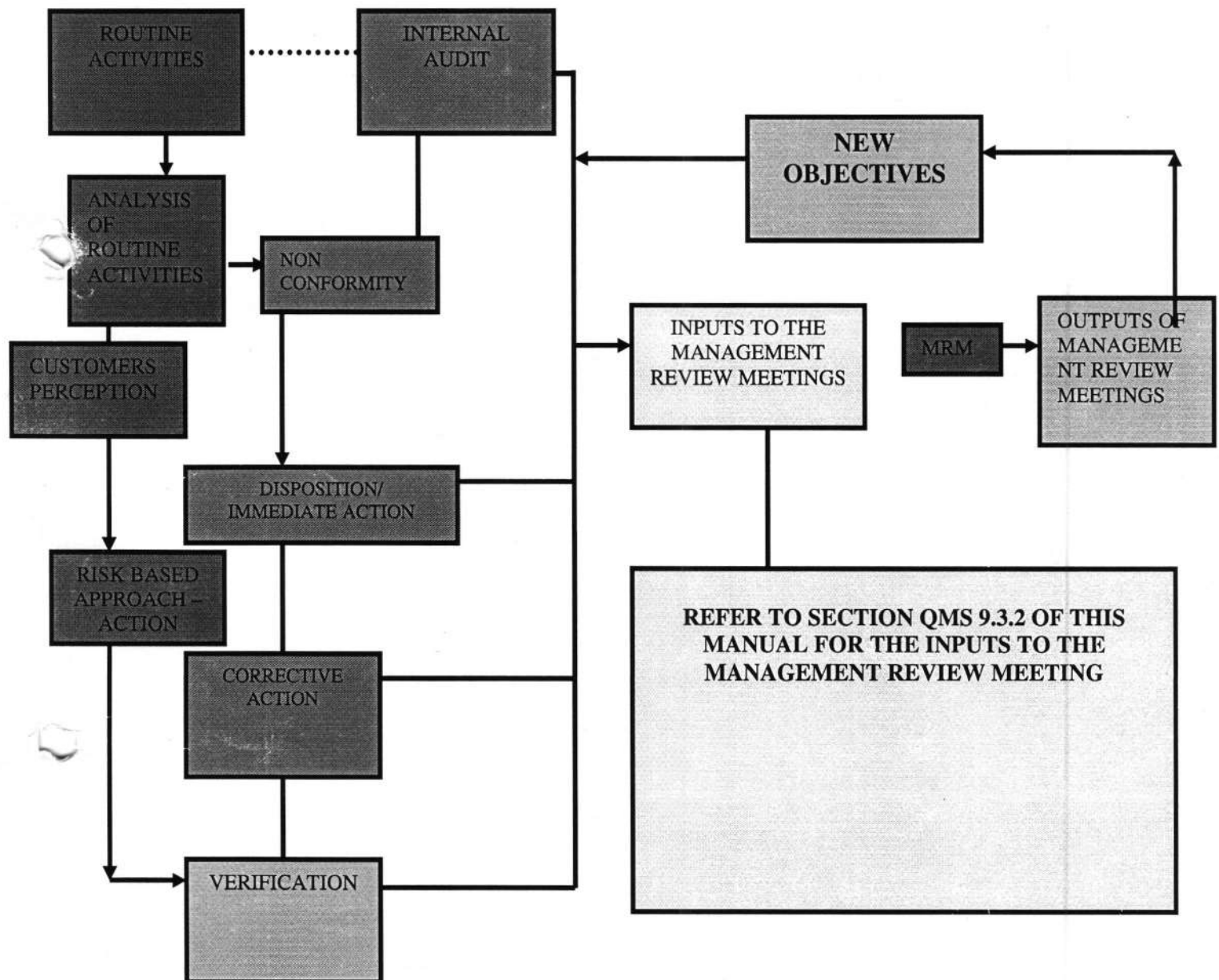
- RECRUITMENT OF PERSONNEL
- EVALUATION OF SUPPLIER
- PURCHASE
- OFFICE TRAINING
- MOVEMENT OF FILES
- CUSTOMER SATISFACTION
- MONITORING THE SERVICES
- CONTROL OF CUSTOMER PROPERTY

CHECK

- INTERNAL AUDIT
- FEEDBACKS FROM SEAFARERS
- COMPLAINT HANDLING PROCEDURE AGAINST FEEDBACKS
- CHECK THE EXAMINATION RESULTS
- MANAGEMENT REVIEW

- TRAINING INSTITUTES APPROVAL
- ASSESSMENT OF ELIGIBILITY OF SEAFARER
- ASSESSMENT OF EXAMINERS
- ASSESSMENT MEDICALS
- EXAMINATION OF THE SEAFARERS
- EXAMINATION OF THE SEAFARERS
- ASSESSMENT PROCESS FOR NAUTICAL AND ENGINEERING EXAM
- ISSUANCE OF CERTIFICATE OF COMPETENCY
- ISSUANCE OF COP DCE / GMDSS
- ISSUANCE OF COP FOR WATCH KEEPING
- REGISTRATION OF CERTIFICATES IN INDOS DATABASE

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 4.4A	REV. NO. 0	EFFECTIVE DATE 01-08-2018
INTERACTION OF THE PROCESSES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 2





DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 5.1.1	REV. NO. 0	EFFECTIVE DATE 01-08-2018
CUSTOMER FOCUS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 1

## 5 LEADERSHIP, COMMITMENT AND CUSTOMER FOCUS

### 5.1.1 LEADERSHIP AND COMMITMENT

- B. The DGS, and all the allied offices provide evidence of their leadership and commitment to development and implementation of the management system and continually improve its effectiveness by :
- a) Taking accountability of the effectiveness of the Quality Management System.
  - b) Ensuring that the resource needs for Management Systems are available.
  - c) Communicating the importance of effective Quality Management and conformance to the Management System requirements by having planning and coordination meeting from time to time.
  - d) Ensuring the Quality Policy and Quality Objective are established for the management systems and are compatible, with the strategic direction and the Context of the Organization.
  - e) Ensuring that the Quality Policy is communicated, understood and applied within the Organization.
  - f) Engaging, directing and supporting persons to contribute to the effectiveness of the management system.
  - g) Ensuring that the management system for training institute's approval / assessment of sea time of the seafarers / examination conduct for the seafarers and issuance of certificates achieve the intended results to achieve the departmental objectives.
  - h) Promoting continual improvement.
  - i) Promoting awareness of the Process approach.
  - j) Promoting required number of review meetings to ensure that the quality objectives set in the field of training approvals, assessment and examination and issuance of certificates to competent seafarers are achieved.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 5.1.2	REV. NO. 0	EFFECTIVE DATE 01-08-2018
CUSTOMER FOCUS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 1

#### 5.1.2 CUSTOMER FOCUS:

- A. We at DGS have a Risk based approach towards the Indian seafarers to maintain their quality to cater to the needs and expectation of the ship-owners and managers and to enhance customer satisfaction for them.
- B. This is broadly achieved by following all the statutory and applicable regulatory STCW 78 as amended requirements and also the Industry based compliance requirements.
- C. The DGS strives to head towards a Management Systems which will help to fulfill all the statutory as well as stated and implied requirements of the maritime industry with the aim to achieve customer satisfaction from the seafarers and the maritime Industry.
- D. Seafarer participating in the processes of EAC branches is termed as customer.
- E. Training institutes are interested parties and the stake holders for preparing the seafarers to obtain the certificate of competency from the EAC branch, such institutes are catered to for their approvals and monitoring by the EAC branch with the focus of facilitating them with quick response on their query.
- F. The EAC branch, in determining the perceived requirements applicable to seafarers, takes into account statutory and regulatory provisions and the industry expectations.
- G. These expectations are understood and perceived through meetings held between the officials of the Directorate and stakeholders
- H. Feedback is also a source of identifying a seafarer's expectations.
- I. EAC branch takes into consideration feasible and justifiable expectations and incorporates the same into the system.
- J. Notices/ circulars / DGS Orders convey amendments to all concerned.
- K. The top and senior management, management representative, the Quality in-charge and in-charge of the various branches , takes into account the above stated facts ensures that customer requirements and expectations /perceptions are evaluated and fulfilled, with the aim of enhancing their satisfaction .

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 5.2</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>QUALITY POLICY</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 2</b>

### **VISION STATEMENT ( EAC BRANCH)**

- A. To be recognized globally as a highly effective, efficient, responsible and progressive maritime administration**

### **MISSION STATEMENT ( EAC BRANCH)**

- A. Provide an effective supervisory and regulatory regime conducive to:**
- 1. achieve ,safe, efficient and secure shipping,**
  - 2. Protect the marine environment,**
  - 3. achieve all round growth of maritime industry and provide support to the government of India in developing and implementing a holistic and integrated maritime development program that has a positive impact on national economy;**
- B. Develop and sustain a high quality human resource management catering to the needs of global including national maritime industry for competent seafarers;**
- C. Ensure good governance by adhering to the highest standards of integrity, quality and efficiency in delivery of shipping services through consistent innovation ,technology up gradation and value addition**
- D. Develop measures to ensure compliance of relevant international instruments relating to safety and security of ships, protection of environment and welfare of seafarers.**

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 5.2	REV. NO. 1	EFFECTIVE DATE 10-11-2020
QUALITY POLICY	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 2

## THE QUALITY POLICY

- A. The Directorate General of Shipping is committed to administer, supervise and monitor all activities of training institutes, training courses, conducting examination and assessment of seafarers and issuance of certificate of competency / proficiency and approval of maritime training institutes in compliance with STCW convention 78 as amended, Merchant Shipping Act , 1958 as amended and Rules framed there under and executive orders and DGS orders /circulars issued from time to time.
- B. The above is implemented to enable the certification system to take account of the varying needs of the industry ,meet the needs and expectations of the shipping industry and the seafarers and to facilitate and encourage the application of new technology.
- C. The policy shall be the framework for the objectives to be framed at all levels of the administration.
- D. In order to implement the requirements of above and in accordance with Regulation I/8, Section A I/8 of STCW convention ,1978 , as amended, a Quality Management System that meets the requirements of ISO 9001:2015 Standard has been established with an objective to continually improve services and performances delivered by Directorate General of Shipping related to STCW Convention .
- E. The quality policy and the vision statement shall be available to all through our web site – [www.dgshipping.gov.in](http://www.dgshipping.gov.in) under QMS of EAC section.

*Anil Kumar Singh*

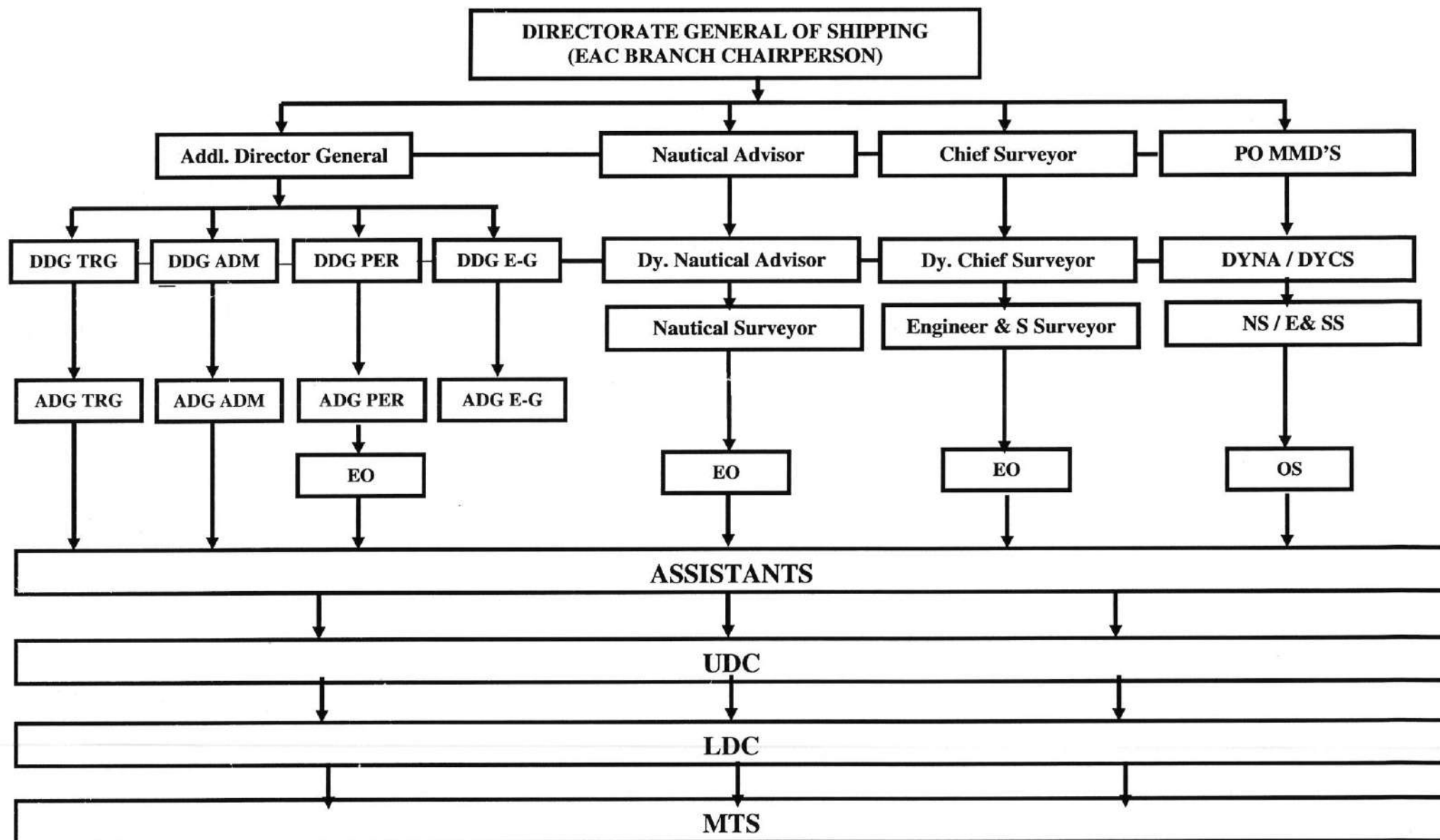
DIRECTOR GENERAL OF SHIPPING



10-Nov-2020



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 5.3A</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08- 2018</b>
<b>ORGANIZATION CHART</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 1</b>



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 5.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>RESPONSIBILITY AND AUTHORITY</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 9</b>

### 5.3 RESPONSIBILITIES, AUTHORITIES AND COMMUNICATION

The Top Management has defined the responsibility and authorities within the EAC Branch and same has been communicated through the intranet of DG Shipping. The responsibility and authority of the top management, senior management and others involved in implementing the QMS is set out below-

#### RESPONSIBILITY AND AUTHORITY AT THE DIRECTORATE GENERAL OF SHIPPING

- A. DIRECTOR GENERAL OF SHIPPING - DG(S)** is the Chairman of (EAC) Branch. His / Her key functions inter-alia are as follows -
- i. to establish & review the Vision Statement
  - ii. to develop the Quality Policy on training, assessment, and examination in consultation with technical advisors
  - iii. To set the Quality objectives in consultation with the technical advisors.
  - iv. To review the Quality Management System (QMS) at periodical interval after receiving inputs from the internal & external customer.
  - v. To provide required manpower resources including the necessary facilities/infrastructure.
  - vi. To appoint management representative as a link between top management and examination centers.
  - vii. Chair meetings to review the training system which includes the status of cases with regard to approval /performance or suspension of training institutes or matters incidental or related to training.
  - viii. Chair the management review committee meetings.
  - ix. Issue administrative orders pertaining to STCW 78 as amended in consultation technical advisors and endorse a copy to MR.
- B. Chief Surveyor (CS) with the Government of India & Nautical Advisor (NA) to the Government of India** is the key technical advisors to DG(S) - They discharge the functions of Chief examiners of Engineers and Master and Mates respectively. Their key functions inter-alia is as follows-
- i. Assist DG(S) in formulating the Quality policy taking into account the international legal requirement including the industry needs in matters relating to training, assessment, and Examination of engineering / Nautical stream respectively.
  - ii. Assist DG(S) in implementing the Quality policy and the Quality objectives.
  - iii. Interact with internal and external customers, as required, for obtaining comments / feedback in respect of effectiveness of the QMS.
  - iv. Carry out the following- .
    - moderation and vetting of question paper; random scrutiny of answer scripts
    - Approval of all examination results;
    - Approval of internal/external examiners.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 5.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>RESPONSIBILITY AND AUTHORITY</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 9</b>

- Issuance of certificate of competency and other certificates as per the existing procedures and verify its effectiveness.
- Conduct correspondence relating to examination and certification.
- Evaluate reports of PO MMD's whenever received from the concerned branch of the DGS to assess the performance.

V Assist the DG(S) in reviewing the QMS taking into account the feedback from internal external customers and amendments affecting the STCW 78 convention as amended including standards, guidelines, etc.

vi Appoint Quality in-charge in the respective branches for giving effect to the QMS.

vii Participate in management review committee meetings as member.

ix Participate in the assessment process through oral examination / visiting centers for verifying the effectiveness of the system.

x Issue Administrative orders pertaining to STCW in consultation and endorse a copy to MR.

**C. Addl. Director General (Addl. DG)/Joint Director General (Jt. DG): his key functions inter-alia are as follows-**

- i. Assist DG(S) in developing the Quality policy and implementing the QMS from training aspect or other dimension as directed by him.
- ii. Assist DG(S) in reviewing the training policy in consultation with technical advisors and communicate same to DG(S) for taking final decision.
- iii. Co-ordinates with shipping industry, seafarers and training institutes in matter relating to training and certification.
- iv. Interacts with PO MMD's for monitoring the effectiveness of training institutes.
- v. Assist DG(S) in providing physical and manpower resources.
- vi. Participate in Management Review committee meetings as member.
- vii. Issue directives to the branch heads / MMD's / INDOS Cell in respect of familiarization of all personnel involved in the implementation of QMS.
- viii. Perform functions of chairman EAC in the absence of DG(S).

**D. Deputy Nautical Advisor (Dy. NA) to the Government of India (Exam) & Deputy Chief Surveyor (Dy. CS) with the Government of India (Exam) at DGS. Their key functions inter-alia is as follows-**

- i. Implement the Quality policy and communicate the same to the internal and external customer.
- ii. Provide necessary conceptual advise to the examination centre and co-ordinate written and oral examination at the approved examination centre in India or elsewhere as decided by the concerned Chief Examiners
- iii. Ensures that issues related to written question papers preparation, moderation, and update question paper bank are examined in consultation with the respective chief examiners and some are conveyed to the concerned examiners (examination in-charge) by them.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 5.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>RESPONSIBILITY AND AUTHORITY</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 3 OF 9</b>

- iv. Ensure that after the conduct of examination, the evaluation of written answer scripts are carried out as per the procedures established in the system.
  - v. Ensure to declare the written examination result with approval of concerned chief examiners and within the time frame stipulated in the Quality objectives.
  - vi. Oversee the process of preparation of Certificate of Competency and ensure the dispatch of COC to the Examination centers within the time frame stipulated in the system.
  - vii. Maintain the data related to examination and certification and keep the chief examiners updated in respect of assessment, examination, and certification.
  - viii. Measure and analyze data related to examination and certification for keeping the chief examiners apprised of changes to the system if required in line with the amendments of STCW and needs of the customer from time to time.
  - ix. Participate in the assessment process through oral examination / visiting centers for verifying the effectiveness of the system.
  - x. Issue notices pertaining to STCW in consultation Chief examiners and endorse a copy to MR.
- E. The Quality In-charge (QA I/C) at the DG Shipping and MMD's. Their key functions inter-alia are as follows –**
- i. Collect feedback forms from the examination Centers at periodical intervals as decided by Principal Officer and thereafter analyze same and forward the report to MR through Principal Officer.
  - ii. Coordinate in the conduct of Internal Audits and take corrective and preventive action on the non-conformities/ observation rose wherever applicable.
  - iii. Maintain records of Internal Audits and MR review meetings as the case may be, collect data on training already completed/being under taken by seafarers and furnish to EAC branch.
  - iv. Identify training needs of all personnel involved in the QMS in consultation with PO at MMD or Branch head at DGS to DDG Personal and forward a copy to MR. (Please see form EAC/TSR/FORM).
  - v. Maintain a copy of these records for each officer.
  - vi. Seek clarification on these matters from MR and interact for the purpose of improving QMS.
  - vii. Participate in the assessment process through oral examination as applicable / visiting centers for verifying the effectiveness of the system.
- F. Nautical Surveyor (NS) Exam & Engineer and Ship Surveyor (E&SS) Exam (DGS) these officers performs the following functions-**
- i. Attend to matters related to Assessment, Examination and Certification as directed by concerned Deputy NA / Deputy CS / Chief Examiners.
  - ii. Conduct written examination as per the schedule and co-ordinate with the examination centers.
  - iii. Receive answer scripts from the centers and forward it to the assessors as per the procedures.
  - iv. Receive assessed answer scripts from the assessors and decode them thereafter collate the marks and prepare the documents for declaring results for all grades of Certificate of Competency after receiving approval from Dy. NA / Dy. CS and respective Chief Examiners



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 5.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>RESPONSIBILITY AND AUTHORITY</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 4 OF 9</b>

- v. Disseminate the results of examination to the shipping industry and have it placed on the DGS website.
- vi. Prepare Certificate of Competency of all grades as per the procedure and forward to the Examination Centers within the laid down time frame.
- vii. Update oral results on the e-Governance module.
- viii. Coordinate the chief examiners Deputy NA & Dy. CS (Exam) and other centers in the matters of administration.
- ix. Participate in the assessment process through oral examination / visiting centers for verifying the effectiveness of the system as directed by Chief examiners.

#### **ROLES AND RESPONSIBILITY OF THE TRAINING BRANCH AT DGS :**

##### **G. Deputy Director General of Shipping (DDG) Training Branch (DGS) – his/her key functions inter-alia is as follows -**

- i. Issue notices in respect of training after approval of the EAC Branch Chairman and endorse a copy to MR.
- ii. Process applications of approval to the new maritime training institutes as per the laid down procedures.
- iii. Process applications of approval to the existing maritime training institute's additional courses as per the laid down procedures.
- iv. Issue directives to PO MMD's to carryout inspections in respect of applications received for approval of courses of existing and new training institutes.
- v. Issue guidelines to PO MMD's in respect of periodical and unscheduled inspections.
- vi. Process reports of inspection from the PO MMD's after completion of various types of inspections.
- vii. Maintain and update the list of panel of external training experts for inspection of training institutes
- viii. Initiate corrective and preventive action in consultation with technical advisors on the recommendations received from the chairman academic council with the approval of Director General of Shipping.
- ix. Update the inventory of approved training institutes and disseminate same to the shipping industry.
- x. Monitor and evaluate performance of existing training institutes through reports and visits and report same to the Director General of Shipping.
- xi. Participate in management review committee meetings as member.
- xii. Provide inputs to Chief examiners on the performance of board of examiners as and when required.
- xiii. The Training Branch functions directly under the control of the Director General of Shipping. The branch is headed by DDG, and comprises of one ADG, 4 Dealing Assistants, and 3 UDC/MTS and 2 peons.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 5.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>RESPONSIBILITY AND AUTHORITY</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 5 OF 9</b>

**The work responsibilities of the branch are as under:-**

UDC / MTS – maintains records of inwards, outwards, receipts of proposals, monitoring annual fee receivable, receipt of placement records, faculty, annual, and periodical reports, maintaining of data regarding approvals/intake & inspections and data regarding implementation of official language. The UDC/MTS report to the ADG.

Dealing Assistants – processing of proposals and other receipts, court matters, RTIs, VIP References, policy matters, conduct and maintaining records of meetings with stakeholders, and processing of approvals for courses and MTIs. The DAs report to the ADG.

ADG – monitoring and supervision of all the activities of the branch, proposing for approvals, handling of legal matters, RTIs, policy matters. The ADG reports to the DDG and DG(S).

DDG – monitoring and supervision of the branch and the maritime training on the whole, preparing policy documents, and issuing circulars, notices, and orders, control of branch functioning and implementation of training policies, ensuring the fulfilment of requirements of STCW Convention. The DDG reports to Addl. DG(S).

CS/NA – If in doubt in any matter due consultation with Chief Examiner of Master & Mates and Chief Examiner of Engineers, as necessary, is done and files are put up to Addl. DG(s) for approval of Training Providers and Institutes, and for conduct of various maritime courses regulated by Indian Maritime Administration and the final approval is thence granted by the DG(S)

**H. E- Governance Cell –And INDOS cell - their key functions inter-alia is as follows-**

- i. Issue notices in respect of applicable module in consultation with technical advisors and DGS and endorse a copy to MR.
- ii. Provide inputs to EAC Branch in improving QMS.
- iii. Participate in management review committee meetings as member.
- iv. Assist ship owners / managers / agents in verification of genuineness with respect to the seafarers and certificates held by them.
- v. Update INDOS data at periodical intervals.

**As INDOS Cell – HIS KEY FUNCTIONS INTER-ALIA IS AS FOLLOWS-**

- i. Issue notices in respect of data relating to Indian seafarers in consultation with technical advisors and DGS and endorse a copy to MR.
- ii. Issue INDOS numbers to Indian seafarers as per the laid down procedures.
- iii. Provide inputs to EAC Branch in improving QMS.
- iv. Participate in management review committee meetings as member.

**I. Support Staff: ( UDC /LDC/Assistants)**

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 5.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>RESPONSIBILITY AND AUTHORITY</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 6 OF 9</b>

- i. The required support staffs carries out above-mentioned functions under the instruction of officers as applicable at DGS/MMDs/E Governance . As and when need arises additional staff is taken on contract basis in accordance with Govt. of India norms.
- ii. The branch heads at the DGS / MMD's/ E Governance shall ensure all staff receives familiarization training on the QMS before any tasks are assigned to them.

**J. Involvement of Experts from Shipping Industry, Maritime Training Institutes and other such organization**

- i. The EAC branch to ensure that the laid down The Quality policy and the established objectives are achieved in an efficient and effective manner seeks the assistance of experts from the shipping industries and the other organization.
- ii. The EAC branch exercises control over the activities of such organizations through periodical returns and meetings and other inputs from the user of system.

**RESPONSIBILITIES OF THE OFFICERS AT THE MMD'S**

**K. Principal Officer-cum- Joint Director General (Jt. DG) (Tech) heads the Mercantile Marine Department District & the approved examination centers of DGS. His key functions inter-alia are as follows -**

- i. Execute the Quality policy for Training, Assessment and Examination adopted by the DG(S).
- ii. Monitor compliance with the laid down procedures in the QMS with regard to examination and certification through the Quality in-charge for the purpose of achieving the Quality objectives.
- iii. Interact with shipping industry including seafarers for obtaining feedback on the effectiveness of the QMS, specially with respect to the needs of Customer in terms of timely conduct of examination and delivery of relevant certificates.
- iv. Review periodically the physical and manpower resources required for implementing the QMS and achieving the Quality objectives.
- v. Ensure co-ordination and Co-operation of identified/ qualified auditors in the conduct of internal audit as directed by the management representative.
- vi. Analyze the feedback from shipping industry and seafarers and take corrective measures within the available resources or approach DG(S) for any assistance.
- vii. Provide periodical recommendations and suggestions to DG(S)/ MR for improving the system.
- viii. Participate in Management review committee meeting on rotational basis as directed by chairman EAC Branch.
- ix. Co-ordinate with MR for any clarification in respect of documentation, procedures and certification.
- x. Participate in the assessment process through oral examination / visiting centres under its jurisdiction for verifying the effectiveness of the system.
- xi. Issue circulars pertaining to STCW in consultation and endorse a copy to MR.

**L. PO MMD's pertaining to Training Institutes -. His key functions inter-alia is as follows**

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 5.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>RESPONSIBILITY AND AUTHORITY</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 7 OF 9</b>

- i. Examine the proposal relating to approval of training institutes if directed by DGS.
- ii. Nominate internal and external Training Experts to carry out the inspection of training institutes in respect of initial inspection for new institutes and periodical inspections as directed by DGS.
- iii. Nominate internal / external Training Experts to carryout unscheduled inspections if ordered by DGS as per the procedure specified by the DGS.
- iv. Examine the reports of such inspections and forward same to the DGS with the clear findings / recommendations as per the specified procedures by DGS.
- v. Nominate or direct internal / external Training Experts to verify the compliance in the event of any deficiencies noted during inspections as stated above. Accordingly, keep the DGS posted with respect to the performance of such institutes.
- vi. Review panel of Training Experts at periodical interval and furnish an update annually through the annual report to the DGS or earlier if considered necessary.
- vii. Participate in the periodical / unscheduled inspection if required, visit centres for verifying the effectiveness of the system.

**M. Other Deputy NA's/ & Deputy CS's at Mercantile Marine Department (MMD). Their Key functions inter alia are as follows-**

- i. In-charge of Assessment, Examination and Certification of Seafarer.
- ii. Provide necessary inputs to the examination centers under the guidance of the Principal Officers and monitor the smooth conduct of entire process of examination, assessment and certification.
- iii. Coordinate logistic support to the respective examination centre as per the request.
- iv. Act as a link between the shipping Industry, the Quality In-charge and the Principal Officer in respect of matters related to assessment, examination, and certification.
- v. Carryout other functions in respect of examination and certification as directed by Principal Officer.
- vi. Participate in the assessment process through oral examination / visiting centers for verifying the effectiveness of the system.

**O. The Quality In-charge (QA I/C) MMD's. Their key functions inter-alia are as follows –**

- viii. Collect feedback forms from the examination Centers at periodical intervals as decided by Principal Officer and thereafter analyze same and forward the report to MR through Principal Officer.
- ix. Coordinate in the conduct of Internal Audits and take corrective and preventive action on the non-conformities/ observation rose wherever applicable.
- x. Maintain records of Internal Audits and MR review meetings as the case may be, collect data on training already completed/being under taken by seafarers and furnish to EAC branch.



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 5.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>RESPONSIBILITY AND AUTHORITY</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 8 OF 9</b>

- xi. Identify training needs of all personnel involved in the QMS in consultation with PO at MMD or Branch head at DGS to DDG Personal and forward a copy to MR. (Please see form EAC/TSR/FORM).
  - xii. Maintain a copy of these records for each officer.
  - xiii. Seek clarification on these matters from MR and interact for the purpose of improving QMS.
  - xiv. Participate in the assessment process through oral examination as applicable / visiting centers for verifying the effectiveness of the system.
- P. Nautical Surveyor (NS) & Engineer and Ship Surveyor (E&SS) - examination centers (MMD's) their key functions inter-alia is as follows –**
- i. Carry out assessment, examination and certification of seafarers as per the procedures and directions of Principal Officer or Authorized nominee.
  - ii. Interact with seafarers whenever required and to provide all related services to him.
  - iii. Carryout assessment of service, issue admits cards wherever required to the eligible applicants, conduct sight test as per the laid down procedure.
  - iv. Conduct and supervise written examination as per the direction of Principal Officer.
  - v. Code the answer scripts after completion of written examination and forward to the respective chief examiners at the DGS ( only Nautical)
  - vi. Conduct and supervise signal visual examination ( Nautical only)
  - vii. Issue feedback forms to the applicants and forward same to the Quality in-charge after compilation.
  - viii. Prepare documents and forward consolidated list of candidates in the prescribed forms to the chief examiners at the DGS.
  - ix. Disseminate approved results of written examination.
  - x. Forward application to the Chief Examiners for the issuance of Certificate of Competency.
  - xi. Conduct and supervise oral examination as per the direction of Principal Officer.
  - xii. Update oral results on the e-Governance module.
  - xiii. Issue relevant COP's /COC's/Endorsement under the STCW to the applicants within the time frame specified in the system and upload on E Governance
  - xiv. Attend any other matters as directed by Principal Officer or his nominee relating to assessment, examination and certification.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 5.3	REV. NO. 0	EFFECTIVE DATE 01-08-2018
RESPONSIBILITY AND AUTHORITY	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 9 OF 9

### 5.3.1 MANAGEMENT REPRESENTATIVE –

Though the new standard does not have any specific requirement for an MR to be appointed yet DGS has taken a strategic discussion to have a focal point for the QMS which will be played by the MR

1. **The Director General of Shipping, EAC Branch Chairman appoints an official to be the Management Representative (MR) from its own Management by issuing him an appointment letter as the MR of the Directorate General of Shipping (EAC Branch).**
2. **The MR irrespective of other duties shall have responsibility and authority which inter-alia includes the following –**
  - Ensuring that processes and sub-processes for the QMS are established, implemented and maintained.
  - Reporting to top management on the performance of QMS and any need for improvement on the Management functions.
  - ensuring the promotion of awareness of customer requirements throughout the DGS / MMD's / INDOS Cell / Board of Examiners; and
  - Liaison with external parties such as INSA/FOSMA/MASSA/ ICCSA/NUSI/FUSI/MUI and other associated entities on matters relating to the QMS.
  - In addition to above, MR is the link between the top management and examination centers for the implementation of QMS. This is achieved by obtaining periodical reports from the Quality in charge of the DGS/allied offices.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 6.1	REV. NO. 0	EFFECTIVE DATE 01-08-2018
PLANNING	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 2

## 6. PLANNING

### 6.1 ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES

- A. The Administration has recognized and established the fact that risk explicit at certificate issuing authority is identified hence suitable Processes and sub processes required to fulfill the services needs are established at a level II documentation to mitigate such risk identified.
- B. Having highlighted the issues and requirements in Section 4 with due regards to the context of the Organization , we have addressed all or at least most of the risks and opportunities the organization faces through planning of our Processes as detailed in section 4.4 of this manual
- C. We however have not established a formal Risk Assessment and the Risk is analyzed qualitatively by the Experience of the Examiners and assessors
- D. We take utmost care in inducting and taking in any of our examiners /assessor. A process of training such examiners and assessors including the inspection of institutes is established in the work process instruction manual as a mitigation measure.
- E. He has to specifically understand all the control measures necessary for the conduct of Examinations and issuance of a COC with a sole objective to grant a COC only to the deserving candidates having achieved the competency requirements as per the STCW 78 as amended as well as the MS (STCW for seafarers) Rules 2014.
- F. We hold quarterly meetings in every department where the internal and external issues as well as the view point of the interested parties is discussed to oversee how the Administration will prevent, or reduce, undesired effects of the seafarer having achieved the COC for the rank
- G. A quarterly review of the overall performance and the feedback is carried out in the departments to review the internal, external and issues of the interested parties to take an appropriate preventive measure as a risk based approach.
- H. We then have a Management Review meeting chaired by the Director General of shipping to review the overall performance of the Administration and any shortcomings in a particular area whether of Training branch or examination and assessment or issuance of a Certificate of competency.
- I. All such issues are reviewed for risk in all other centers of MMD's and are taken up with proactive approach.
- J. We take into consideration how the Administration will ensure that it can achieve its intended outcomes and continually improve as required by the International bodies as well as the maritime industry and interested parties.
- K. The Planning is based on the Risks and Threats to our Administration. This proactive approach is a preventive measure to reduce the need for correction and corrective action at a later date.
- L. The outcome of any meetings and identification of any issue identified is sent out as a DGS order or circulars for various EAC branches and is easily available to the Public at large on our web site .
- M. These are typical guidelines to the Industry and the seafarers on their course of action as well as what is the Administration stand on any particular issue identified.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 6.1</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>PLANNING</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 2</b>

### 6.1.1 QUALITY PLANNING

- A. The Administration ( DGS) has ensured that quality objectives are established at relevant functions and levels within the organization and are measurable and consistent with the Quality Policy.
- B. The administration has ensured that the planning of the quality management system is carried out in order to meet the requirements given in 4.1 as well as 4.2



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 6.2</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>OBJECTIVES AND PLANNING TO ACHIEVE THEM</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 2</b>

## **6.2 OBJECTIVES AND PLANNING TO ACHIEVE THEM:**

### **6.2.1 QUALITY OBJECTIVES:**

- A. **TRAINING INSTITUTES RELATED :** EAC Branch focuses on periodical Administration supervision and monitoring of approved training institutes with the aim of providing Quality training to the seafarers through compliance of national (provisions of Merchant Shipping Act, 1958 including applicable Rules) and international regulations (STCW 78 as amended and Medical Examination of Seafarers Regulations /Guidelines) with respect to qualified faculty and well maintained facility / infrastructure including medical examination of trainees.
- B. **EAC ASSESSMENT OF SEAFARER FOR ELIGIBILITY :** Various MMD's under the PO , where the sea time Assessment and eligibility criteria is verified shall as a minimum ensure that the DGS stipulated criteria for the respective grade of examination is met .
- C. **EAC EXAMINATION RELATED:** Branch ensures that no unfair means are being used by any seafarers during **written** and **oral Examination**. This is achieved by exercising vigilance during the conduct of written and oral examination. The aim of this exercise is to issue relevant Certificate of Competency to the bonafide seafarers with zero cases of fake / fraudulent certification.
- D. **EAC EXAMINATION RELATED :** Branch ensures that examination results of Master and Mates and Engineers are declared within 30 days from date of completion of examination as applicable
- E. **EAC ISSUANCE OF CERTIFICATE OF COMPETENCY RELATED:** The Objectives for Issuance of the certificate of Competency at various levels and grade of examinations held at the EAC branch of the Directorate shall be established at local departments of EAC Branch at DGS and MMD's as applicable.
- F. **EAC ISSUANCE OF DCE AND GMDSS ENDORSEMENT RELATED:** branch ensures that Certificate of Proficiency for DCE and Certificate of competency for GMDSS Radio Operator and relevant endorsements are issued to the applicants at the earliest but within reasonable time frame as specified and set at various Branches and MMD offices or Authorized Centers as approved by the Directorate.
- G. **EAC REGISTRATION OF THE SEAFARERS AT THE INDOS CELL AND UPLOADING DATA ON E- GOVERNANCE :** The Objectives at the Directorate with regards to the E Governance and INDOS cell shall set Objectives from time to time with

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 6.2</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>OBJECTIVES AND PLANNING TO ACHIEVE THEM</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 2</b>

regards to achievement of specific targets and objectives as deemed necessary by the department. Such Objectives are available in the department.

**THE ABOVE SAID DEPARTMENTS SHALL ALSO FRAME OBJECTIVES FROM TIME TO TIME AND SHALL HAVE THEM READY FOR REVIEW IN THE MANAGEMENT REVIEW MEETING. SUCH OBJECTIVES SHALL BE SMART AS DETAILED IN PARA H AND SHAL BE A PART OF THE CITIZEN CHARTER AS REQUIRED BY THE GOVERNMENT OF INDIA.**

- H. The objectives have been established at all levels of the Organization. The said objectives shall be SMART criteria. S – SPECIFIC; M – MEASURABLE; A – ACHIEVABLE; R – REALISTIC; T – TIME BOUND.
- I. Each department has developed a Management Program covering the details of the objectives and how they shall be achieved. The details of a Program shall be maintained as documented information and shall cover.
  - what will be done – the Objectives
  - what resources will be required- Material or personnel required to achieve – means to achieve
  - who will be responsible- Person in charge
  - when it will be completed- Time bound
  - how the results will be evaluated.- The KPI's to measure it
- J. They have to be established at relevant functions and levels. An emphasis on the organization's Objective and planning should be that it is an integral part to the business. These objectives may result in making changes to the QMS if required; such changes shall be an integral part of QMS.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 6.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>PLANNING OF CHANGES</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 1</b>

### **6.3 PLANNING OF CHANGES**

- A. **Directorate General of shipping** has developed various processes to handle Realization of its Quality Services. It has also ensured that the planning of Services Realization is consistent and in alliance with other processes of the Quality Management System.
- B. We have has developed the following processes to run its operations.
- C. We at the administration shall consider the purpose of the changes and its potential impact on the Services offered by us.
- D. It shall also be framed in such a way that the integrity of the QMS is maintained and in line with the core processes of Trainings.
- E. We do consider allocation of appropriate resources and Re allocation of responsibilities if required when such changes to the QMS are affected.



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 7.1</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>SUPPORT - RESOURCES</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 3</b>

## 7 SUPPORT

### 7.1 PROVISION OF RESOURCES

- A. The EAC Chairman recognizes that adequacy of physical and human resource is essential in achieving the Quality policy and the Quality objectives laid down in the QMS.
- B. The top management also acknowledges that the corner stone of good Quality Management System is commitment from all level of DGS / Allied Offices, competence of personnel, their right attitude towards the policy , customer and motivation of individuals at all levels that determine the end results.
- C. The DGS determines the resources needed to implement, maintain and improve the Quality Management System and improve the Quality of training, assessment, examination, certification and expectation of a seafarer in the MRM .
- D. The DGS also determine and provide the resources needed for efficient and effective QMS which would enhance customer satisfaction by meeting customer requirements.
- E. The resources which are necessary to manage for implementing, maintaining and improving the QMS inter-alia includes qualified, knowledgeable, technical and non-technical personnel's, infrastructure, facilities including information technology etc.

#### 7.1.1 GENERAL

- A. The administration has determined the kind of resources required and accordingly we do not constrain ourselves from any resources required in the departments for fulfillment of the needs of the EAC branch Objectives .
- B. We have considered that where we cannot carry out any functions with the in house resources we take support of the external service providers, however we keep a control and checks over all such services taken in accordance with the section 8.4 of this manual .

#### 7.1.2 PEOPLE

- A. We have determined the manpower required and have the necessary staff for the effective implementation of our Management Systems and for the operation and control of the processes.

#### 7.1.3 INFRASTRUCTURE

- A. The Government of India has provided the infrastructure needed for training, assessment, examination and certification. This includes purpose built buildings, adequate workspace and associated facilities and all the required support services to implement the QMS. The approved assessment and examination centers have been provided with networking facilities for efficient transmission of document, information and communication.
- B. A national database (INDoS) has been established which maintains details of certifications and endorsements issued to masters, officers and ratings for the purpose of verification of authenticity and validity of certificates as required under STCW convention, as amended.



DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 7.1	REV. NO. 0	EFFECTIVE DATE 01-08-2018
SUPPORT - RESOURCES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 3

- C. Maintenance of Infrastructure required for EAC activities is carried out from time to time by the administration branch of the Directorate and Principal Officer, MMD or Surveyor In-charge, MMD, as the case may be.
- D. Supporting services such as transport, communication or information systems etc. is also a part of the Infrastructure and therefore maintained appropriately as per the annual maintenance policy applicable to the equipments and systems with back up arrangements etc. A system for effective backups of data generated is also being maintained by the administrative branch of the DGS / Allied offices.

#### 7.1.4 WORK ENVIRONMENT

- A. Adequate facilities have been provided to officers and staff associated with EAC branch for discharge of their duties in proper healthy and hygienic work environment.
- B. The term "work environment" relates to conditions under which work is performed that includes physical environment and other factors namely noise, temperature, humidity, lighting, or weather. Necessary safe guards are in place to protect occupational health and welfare of all concerned.
- C. The top and the Sr. Management from time to time review this environment and take appropriate action with regard to the maintenance and improvement of such requirement at DGS / Allied offices where QMS related activities are taking place.

#### Reference

Govt. rules and procedures

#### 7.1.5 MONITORING AND MEASURING RESOURCES:

##### 7.1.5.1 GENERAL

- A. The administration has determined and provides the resources needed to ensure valid and reliable results are achieved when a COC is issued to a particular rank and the seafarer has acquired the necessary knowledge and skills to work on board the vessel.
- B. As an administration we do not use any tools as hardware material and its only the examiners who are the measurement tools for the COC to be granted.
- C. when monitoring or measuring is used to verify that the seafarers meets the competency requirements we do take into consideration that the respective examiner is well experienced and has been updating his knowledge from time to time and his trainings are done from time to time .
- D. Refer to WPI - WPI - 7.5 - 02B - 01 - PROCESS OF EVALUATION AND ASSESSMENT OF AN  
INTERNAL EXAMINER  
WPI - 7.5 - 02B - 02 - PROCESS OF EVALUATION AND ASSESSMENT OF AND  
EXTERNAL EXAMINER

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 7.1</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>SUPPORT - RESOURCES</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 3 OF 3</b>

#### **7.1.5.2 MEASUREMENT TRACEABILITY**

- A. This clause as such is not applicable to our Administration as we do not use any tools for any measurement or monitoring of the Services that we provide to our customers as we are in the field of examination – Assessment of the candidates and thence issuance of a issuance of the COC's and hence the extent to which the examiners to be updated is addressed in section 7.1.5.1

#### **7.1.6 ORGANIZATIONAL KNOWLEDGE:**

- A. We at the administration has determined the fact that in order to deliver good services to the maritime industry we ensure that the person who is involved in the process of any of the EAC branch processes are sound in the subject dealing with and as such we have a policy to have the induction trainings for all the examiners and surveyors for inspection of the training institutes and they do not start performing independently till they have the full organizational knowledge as desired by the administration to be followed.
- B. We also publish circulars and DGS orders from time to time to enable all involved at the DGS branch to have adequate knowledge of the requirements of the DGS EAC branch.
- C. All the above information is available on the DGS website .

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 7.2-7.3-7.4</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>COMPETENCE AND AWARENESS - COMMUNICATION</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 2</b>

## **7.2 COMPETENCY:**

- A. In addition to the adherence of norms on employment in Government service, the Directorate identifies training requirements of assessors and examiners (both Internal and External) before he is allowed to carry out the written Assessment of the candidates or take oral examination of different grades of certification.
- B. External assessors evaluate answer scripts only of the subject in which he has adequate experience to assess the subject.
- C. Staff involved with associated work of training, assessment, examination and certification is appropriately trained by his predecessors through familiarization with the system or in house interaction.
- D. The personnel branch of the Directorate in consultation with technical advisors identifies the relevant courses which should be attended by all concerned officers of DGS/ Allied offices.
- E. A schedule for training is prepared by personal branch/Principal Officer. The record of such trainings are maintained. EAC branch staff is self appraised and evaluated by senior officer as per the Govt. procedure.
- F. The trainings are imparted as per the plan and records of such trainings are maintained.
- G. An original of appraisal form is retained by DDG (Per) for the records. Besides, the personnel branch of the Directorate maintains the records of technical and non-technical officers and permanent staff with respect to education, training, skills and experience.
- H. The Directorate General of Shipping and PO MMD's in course of unscheduled inspection or the CIP annual scheduled inspections by the RO's on behalf of DGS verifies same and ensure compliance of the system as per laid down procedures.
- I. Refer to WPI - 6.2.2 - 6A - 01 - TRAINING OF OFFICE STAFF

## **7.3 AWARENESS:**

- A. We ensure that persons doing work under the administration's control are aware of the Management policy and the relevant quality objectives and their contribution to the effectiveness of the management system, including the benefits of improved performance;
- B. We also make them aware the implications of not conforming to the management system requirements.

## **7.4 COMMUNICATION:**

- A. We have determined the needs for internal and external communications relevant to the management system, and the staff is familiar within the organization as to :
  - a) What it will communicate.
  - b) When to communicate.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 7.2-7.3-7.4</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>COMPETENCE AND AWARENESS - COMMUNICATION</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 2</b>

- c) With whom to communicate.
- d) How to communicate.
- e) Who communicates

B. Memos internally may be issued for such communication or it could be during meetings (formal or informal). The external communication may be by written letters to the respective party to communicate with.

#### 7.4.1 INTERNAL / EXTERNAL COMMUNICATION

- The Organization's Top management has identified the following methods of having in house internal communication.
- Meetings held from time to time.
- Inter office memos.
- Inter office E- mails.
- Verbal on a routine day-to-day basis.

D. **The external communication** will be in similar lines and shall be maintained by the department concerned by :

- Meetings held from time to time.
- Memos and letters sent to the concerned parties
- E- mails sent to the external parties
- Verbal on a routine day-to-day basis with the parties concerned to reply to them or receive communication from them .



DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 7.5	REV. NO. 0	EFFECTIVE DATE 01-08-2018
DOCUMENTED INFORMATION	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 4

## 7.5 DOCUMENTED INFORMATION

### 7.5.1 GENERAL

- A. The organization's management system includes:
- B. Documented information required by the administration as being necessary for the effectiveness of the management system.
- C. We have most of the documented information in this manual and the retention of records as documented information is maintained by the respective departments whether hard or soft.

### 7.5.2 CREATING AND UPDATING OF DOCUMENTED INFORMATION

All documents:

1. Tier one documents – The Policy Manual – Though it is not a requirement of the standard but we have opted to have a QMS manual Level detailing all the policy issues as required by ISO 9001:2015. It is the responsibility of the MR to prepare the policy manual in accordance to the requirements of clause 7.5.1 of the Quality Management System ISO 9001:2015, and shall ensure that all the requirements are adequately covered in the manual. Such Manual is then approved by the Director General of Shipping.
2. The Tier two manual – The process instruction manual – This manual is prepared under the supervision and directives of the MR. The respective process holders are responsible for preparation of the departmental process as being implemented in the department. Such Process is submitted to the MR for his review and is approved by the Add. DG(S)/NA/CS
3. *Where necessary guidance is obtained from DGS and Sr. Management: - The Quality Instructions / Circulars/ MS Notice /DGS Orders may be authorized and issued by Dy.NA/Dy.CS/ Sr.DDG. These are uploaded on the website of DG Shipping and could be accessed by any department as well as the Public at large. The Instruction on the web site is also a part of the Controlled documentation Tier 2 manuals for control of the processes implemented in the EAC Branch.*
4. *The concerned branch of the Directorate prepares QMS forms and forwards to MR for inclusion in all copies of the QMS Manual. The forms are locally controlled by the department and are submitted to the MR for inclusion in the QMS to form an integral part of the system.*

#### THE PROCESS STEPS TO CONTROL

- A. The MR compiles all the inputs and reviews the manuals. The approving authority for the manuals is as follows:
  1. The policy manual approval authority lies with the Director General of Shipping.
  2. The work process instruction approval authority lies with the Add. DG (S)/Nautical advisor/Chief surveyor/as applicable.
  3. The Quality instructions / Circulars/ MS Notice /DGS Orders may be authorized and issued by Dy.NA/Dy.CS/ DDG.
  4. The forms used in the implementation of the management system is approved by the order of the Add. DG(S)/NA/CS

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 7.5	REV. NO. 0	EFFECTIVE DATE 01-08-2018
DOCUMENTED INFORMATION	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 4

- B. The TABLE OF CONTENTS of each manual including the list that appears on the website when browsed under the respective heading identifies & reflects the current revision status of the documents. This Table of contents is treated as the "Master list of Documents" for all tiers of documents as listed.
- C. The cover page and the table of contents is stamped as "CONTROLLED COPY"
- D. All the documents after they are ready and prepared / Approved by the Concerned Authority are distributed as per the distribution list.
- E. One copy each at the DGS EAC branch with – MR/NA /CS/ DDG TRG  
One copy each with the PO's MMD
- F. All documents are made available in areas where the information is needed. These documents are to be readily available for use by the departments and should be positioned in a location where it is easily retrievable, needless to mention all involved in the QMS to be aware of the location of their relevant documents to be used.
- G. For convenience and ready reference a copy of the manual shall be uploaded on the DGS intranet. No one shall be able to alter or change any document there from.
- H. When a document is initially issued it is issued with an ISSUE number as ISSSUE 1, and this issue No is indicated on the cover page of the manual. All the documents published for the first time is given a Revision No 0 and is indicated on the header of each document published and issued by the MR.
- I. Any changes or modifications to the existing documents can be done any time as and when required, however a proper control and discipline is to be maintained in doing so.
- J. The Change request for any particular document to be altered or amended or fully revised may be submitted by any department of the EAC branch to the MR on form no QMSF -7.5 – 01 – Document Change Request, which will indicate the section of the manual and document no. which needs a revision along with the necessary changes /amendments to be incorporated in the document. MR shall refer this change to the Process holder who originally prepared them, although suggestions and initiatives for the change may come from any department or person in the EAC Branch.
- K. A Document change request form shall accompany the necessary change required to be incorporated and requested for. This form shall be reviewed by the MR and the document revised as required after appropriate review by the Process owner or the MR to check the authenticity and appropriateness of the revision. The document is then approved by the same authority that approved the initial issue of the manual publication, the DGS for the policy manual and the Add. DG(S)/NA/CS/MR/ for the Processes and forms.
- L. The original document shall be retained in the "Master" **document** for future use. Number of copies of the revised document shall be printed as detailed in the distribution list and shall be transmitted to all copy holders through a "Controlled Document Transmittal Note" form no QMSF-4.2.3-02. Upon receipt of this revised document the recipient shall sign and acknowledge that he is in receipt of the revised document and return back this signed copy to the MR for records.
- M. The intranet copy on the internal DGS website is uploaded and controlled by MR / DDG e-Governance

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 7.5	REV. NO. 0	EFFECTIVE DATE 01-08-2018
DOCUMENTED INFORMATION	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 3 OF 4

- N. A small narration of the section and part of the document changed therein shall be written in the Revision History sheet, Document no QMS – RS. This will reveal an easy traceability of the part of the document revised for any new recruit to track back.
- O. The copy holder shall then change the document in his copy held and destroy the obsolete document.
- P. All documents are removed when obsolete, and only one obsolete copy in the Master Set held with MR is retained for record purposes, such documents are identified by a “**CANCELLED COPY**” Stamp. These cancelled obsolete copies are maintained in a separate file held in MR’s Filing System.
- Q. Uncontrolled copies of manuals, work instructions are not to be issued without the approval of the DGS. The Uncontrolled copies are issued only when some Authority or Regulatory body demands as a requirement of any resolution /convention or code or a requirement of any bi-lateral relationship with a particular Flag State on their demand.
- R. Such Uncontrolled copies shall be stamped as shown below and a register shall be maintained in the MR’s office to indicate the history of such uncontrolled copies issued to any party for any future references or in case of a change of MR who may wish to track down such history.

Uncontrolled Copies shall be stamped:

UNCONTROLLED
Holder of this Copy will not receive any Revisions

- P. Steps and measure are taken that all the documents whether of Internal or external origin are maintained in such a manner that they are legible and readily identifiable at all times.
- Q. **The External documents shall include but not limited to :**
- Copies of information from IMO addressed to the Flag State
  - Any circular on the bi – lateral relationship agreement with the members of the state.
  - STCW 78 as amended
  - Instructions and circulars from other flag states
- R. The responsibility for the issuance and distribution of controlled documents rests with the Management Representative. The responsibility for approval of the distribution shall be with the Add. DG (S)/NA/CS.
- S. Where a document of external origin is used, it shall be the responsibility of the Dy.NA/Dy.CS/DDG, who receives / procures such documents to ensure that the correct document is made available at the point of use.
- T. It is the responsibility of each Staff member to ensure that he / she is using the most current revision of a controlled document.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 7.5	REV. NO. 0	EFFECTIVE DATE 01-08-2018
DOCUMENTED INFORMATION	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 4 OF 4

THE CONTROL BOX SHALL BE AS FOLLOWS:

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
THE QUALITY MANAGEMENT SYSTEM POLICY MANUAL	DOC. NBR. : QMS - 7.5	REV. NO. 0	EFFECTIVE DATE 01-01-2015
CONTROL OF DOCUMENTS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 4 OF 2

WORK PROCESS INSTRUCTIONS SHALL HAVE THE FOLLOWING FORMAT

Step	Activity	Resp.	Control	Remarks
1	Prepare documents	MR	MR to review for correctness	If any INSPECTION

- Each form shall be identified by a Reference number as follows:

E.g. WPIF 8.4 /01 1<sup>ST</sup>. AUG 2018 REV 0

**WPIF** - indicates work process instruction Forms to be used in all processes  
**8.4** - indicates QMS Section 8.4, which means that this form is a part of QMS Section 8.4  
**01** - indicates 1st form of QMS Section 8.4,  
Note: A Section may have one or more forms  
**JAN 2015** - indicates Month and year of edition  
**Rev** - indicates Revision  
**0** - indicates Number of revision

- Also, the Control Box of Work Processes Instructions has Doc. No. mentioned as follows  
Eg: WPI 8.5 / 01 here.

**WPI** - indicates, Work Process Instruction  
**8.5** - indicates, QMS Section 8.5, which means that this process is a part of QMS Section 8.5  
**01** - Indicates 1st process of QMS Section 7.4, Note: A Section may have one or more processes

#### U FORMS USED AND RECORDS

1. Document Change request Form – QMSF - 7.5 - 01
2. Controlled Documents Transmittal Records QMSF - 7.5 - 2
3. Documents of External origin, with Library together with a compiled list of such documents. QMSF - 7.5 - 3
4. Master list of controlled documents by way of table of Contents



<b>DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 7.5 A</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>DOCUMENTED INFORMATION TO RETAIN</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 2</b>

**7.5.3 ADOCUMETED INFORMATION TO BE RETAINED BY THE ORGANIZATION:**

<b>No</b>	<b>"Retain" as Documented Information</b>	<b>ISO 9001:2015</b>
1.	Documented information to extent necessary to have confidence that processes are being carried out as planned – As defined in the WPI – ( Eg. All institutes / certificates issued records )	4.4
2.	Documented information on the quality objectives ( Objectives at all departments)	6.2.1
3.	Documented information as evidence of fitness for purpose of monitoring and measurement resources – Evaluation of the Examiners	7.1.5.1
4.	Documented information on basis used for calibration or verification where no such standards exist – Reference to the Standard used – NA for DGS	7.1.5.2
5.	Documented information as evidence of competence	7.2.d
6.	Documented information determined by the organization as being necessary for the effectiveness of the quality management system ( The DGS operational and Process Records )	7.5.1.b
7.	Documented information to the extent necessary to have confidence that the processes have been carried out as planned ( All identified Process records )	8.1.e
8.	Documented information to the extent necessary to demonstrate conformity of products and services to requirements ( The Assessment records of the candidates for various grades of examinations and the records of certificates issued)	8.1.e
9.	Documented statement of customer requirements (or confirmation) ( The application from records for the candidates at all grades )	8.2.3
10.	Documented information on results of requirements review ( The Approval of the examination seat or change in dates for the examination seat booking details )	8.2.3
11.	Documented information on the results of the evaluations, monitoring of the performance, and re-evaluations of the external Service Providers ( vendors Evaluation and Re- Evaluation )	8.4.1
12.	Documented information that defines the characteristics of the products and services to be delivered and results to be achieved ( the examinations to be held and the certificates to be issued for all grades of examination . )	8.5.1.a
13.	Documented information necessary to maintain traceability – the COC nos and the COP nos which traces the certificate issued to the seafarer.	8.5.2
14.	Documented information describing the results of the review of changes, the personnel authorizing the change, and any necessary actions	8.5.6
15.	Documented information to provide traceability to the person(s) authorizing release of products and services for delivery to the customer – the release of the COC authorization by the CE for Engg or M & M	8.6

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 7.5 A</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>DOCUMENTED INFORMATION TO RETAIN</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 2</b>

<b>No</b>	<b>"Retain" as Documented Information</b>	<b>ISO 9001:2015</b>
16.	Documented information of actions taken on nonconforming process outputs, products and services, including on any concessions obtained and on the person or authority that made the decision regarding dealing with the nonconformity	8.7
17.	Documented information as evidence of the results of monitoring and measurement activities – all records of checks carried out at all stages of application /exam /orals/final results	9.1.1
18.	Documented information as evidence of the implementation of the audit program and the audit results – IA reports	9.2.2.f
19.	Documented information as evidence of the results of management reviews - MRM minutes	9.3.2
20.	Documented information as evidence of the nature of the nonconformities and any subsequent actions taken and results of results of any corrective action- NC and CAR reports	10.2.2.a

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 8.1</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>OPERATIONS – OPERATIONAL PLANNING CONTROL</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 1</b>

## 8 OPERATIONS

### 8.1 OPERATIONAL PLANNING AND CONTROL

- A. The EAC branch ensures that the QMS includes a comprehensive approach in getting to the initial concept of product /Service delivery requirements of the customer.
- B. The Office at this Directorate for the EAC branch considers the Process approach to management to achieve the desired results as required for compliance with STCW 78 as amended.
- C. The inputs to achievement of the STCW 78 as amended is planned and designed by the EAC branch and the basic inputs are taken from the requirements of with STCW 78 as amended, creating a Administration developed output of the course module as required by the us to be implemented by the maritime industry .
- D. These course guidelines are published by the DGS on the website under the training branch circulars for the Maritime institutes to comply with and take approvals from this administration.
- E. The output of the training modules is an input to the Training institutes in the maritime industry as a deliverable of STCW 78 as amended.
- F. These Training modules when delivered by the Institutes serve as inputs to the Seafarer before he/she appears for the examination he/she desires to.
- G. The Input of the knowledge achieved from the training institutes gets an output by appearing in the competency examination he/she desires to achieve.
- H. Such inputs as stated in G results in an Output of the examinations by Passing the exams and achieving the certificate of competency or proficiency.
- I. These inputs undergoes conversion through the processes and sub-processes of assessment, verification, written (paper or e-pariksha examination) followed by oral examination and finally validation and declaration of results by the chief examiners.
- J. The entire exercise of training, assessment, examination and certification varies from grade and level of examination, and the successful completion of entire process or sub process leads to the issuance of appropriate certificates or endorsements as applicable.
- K. The EAC branch has developed the processes / sub-processes which are clearly explained in the Tier II level QMS that is used by various branches of DGS and allied offices in the realization of the Services meeting the customer needs in line with the STCW 78 as amended requirements.
- L. The branches ensure that relevant records are planned and maintained.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 8.2	REV. NO. 0	EFFECTIVE DATE 01-08-2018
REQUIREMENT OF PRODUCTS AND SERVICES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 3

## 8.2 REQUIREMENT OF PRODUCT AND SERVICES

### 8.2.1 CUSTOMER COMMUNICATION:

- A. EAC Branch issues administrative orders as and when necessary and displays them on DGS web site so that the external customer gets the information immediately.
- B. The branch also communicates through letters, e-mail etc. and provide information as sought by a seafarer including their associations / ship owner / ship managers associations.
- C. EAC Branch ensures that issues raised by the customer are promptly and effectively resolved.

#### Reference

Administrative orders and Circulars on the of DGS website

### 8.2.2 DETERMINATION OF REQUIREMENTS RELATED TO THE PRODUCT:

- A. This part of the document relates to the requirements related to the identification for the various grades of examination needs of the seafarer or an application by the MTI for approval in principal or approval of a particular course.
- B. The section deals with how seafarer would apply for various grades of examinations to this office of EAC branch. – (APPLICATION PROCESS) and the MTI application for approval in principal or for a particular course.
- C. The Directorate has identified training, assessment, examination, certification and registration of the certificates with the E-governance cell as five main processes/ sub process as applicable to turn out competent seafarers as per national and international standards specified in STCW 78 Code as amended and associated laws.
- D. The title, training branch handled by the EAC branch determines the training institutions ( MTI) as their customers and hence the specific requirements for the training institutes are well defined in the STCW circulars, training branch circulars and various DGS orders appearing on the web site of DG shipping.
- E. The assessment , examination and certification, though three different process are all finally integrated and applied to the seafarer who would like to appear for a particular competency examination from the Indian Maritime Administration office.
- F. He/she has to apply for appearing in such examination and thence awarded with a certificate. Hence we consider the Seafarer virtually as our customer who is willing to appear in any grade of examination.
- G. Seafarer as the case may be, gets an appropriate Record book /service or watch keeping certificate as the case may be on successful completion of training / pre requisite Sea service required .
- H. This Record Book / appropriate certificate as the case may be are one of the inputs towards eligibility for taking written and oral examination. This requirement is covered in the assessment of the seafarer processes appropriately coded with Number 02A OR B after 7.5 in the work process instructions Eg. WPI – 7.5 – 02A – 01 means this is the first process of



DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 8.2	REV. NO. 0	EFFECTIVE DATE 01-08-2018
REQUIREMENT OF PRODUCTS AND SERVICES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 3

- assessment. WPI-7.5-02A IS THE CODE FOR ASSESSMEN PROCESSES MAY BE NAUTICAL OR ENGINEERING and thence -01 means the first process to the heading.
- I. A Seafarer who is willing to take a DCE Certificate of Proficiency from the DG shipping (Indian Maritime Administration), the process for issuance of a DCE is applicable and the seafarer applying is the Customer.
  - J. Seafarer willing to have a GMDSS COC as Radio Operator is a customer for the process GMDSS endorsement.
  - K. Seafarer applying for a watch keeping certificate of proficiency is a customer for the said process "Issuance of certificate of proficiency for the rating, watch keeping forming part of E/R watch or Navigation watch".
  - L. Seafarer willing to register all his Certificates with the INDOS cell to be uploaded on the E – Governance to have his authenticity of the documents to be verified by any shipping company, the applicant seafarer is the customer. For the same process verification by the shipping company applying for verification is the customer.
  - M. The above stated various service lines offered by the EAC branch are the stated needs of the customers well identified and defined by the EAC Branch.
  - N. There are some non stated needs like, treatment by the administration when an applicant comes to the office of EAC or expectation to timely reply on a query or facilities available at the examination centre etc, which forms a part of the seafarers (our customers) perceptions, we at EAC Branch constantly try to identify them from time to time for better performance and customer satisfaction.
  - O. We at EAC branch also abide by all the statutory and regulatory requirements of the STCW 78 as amended, while complying with the training /assessment /examination /certification requirements for the seafarers.
  - P. We have also formulated a few more requirements specific to Indian Maritime Administration as a part of the TEAP Part A manual, which we comply with at all times.

#### Reference

1. Process for application for Training Institute WPIF -7.5-01A-01
2. Process for Assessment of sea time for various grades of examinations and appearing for the grade.WPI-7.5-02A-01/02/03
3. Process for Application for a DCE or GMDSS endorsementWPI-04D-01/02
4. Process for Re validation of the existing Certificate of Competency/proficiency /endorsement, WPI-7.5-04A-03 : WPI-7.5-4B-03

#### Reference

STCW 78 code as amended

Relevant IMO Resolutions / Circulars relating to training and certification

### 8.2.3 REVIEW OF REQUIREMENTS RELATED T O THE PRODUCT

- A. This part of the document relates to the requirements related to the identification for the assessment of the services offered and mainly how a seafarer's application would be assessed for completeness and the how the EAC branch delivers the product requested for.
- B. Various grades of application are scrutinized for eligibility to deliver services by this office of EAC branch. – (ASSESSMENT OF APPLICATION PROCESS)

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 8.2	REV. NO. 0	EFFECTIVE DATE 01-08-2018
REQUIREMENT OF PRODUCTS AND SERVICES	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 3 OF 3

- C. The application for each product (Certificate) to be delivered by the DG Shipping EAC branch has different criteria addressed, which is addressed in the online module of the E governance as a check list .
- D. When the seafarer submits the application for any grade of product on line, seafarer is willing to procure, the requirements for that grade of product, whether it can be delivered with the inputs submitted by the seafarer are verified.
- E. If fully satisfied and authenticated by the E governance that the EAC branch criteria is fulfilled including the payment of Fees, the candidate is eligible for the grade of examination /endorsement , the on line application will be approved by the attending officer .
- F. After filling in for the examination seat on line , if the seafarer feels that he cannot appear in the month applied for, the seat has to be cancelled and the fees is not refunded. He has to book the seat again with the fresh process as stated above.
- G. The application from a training institute on line to the Training branch will also be accepted provided they meet the criteria of the institute approval in principal or for a particular course, and only after fulfilling the criteria an inspection of the institute is undertaken for the said course.

#### Reference

DGS / PO MMD's Administrative orders

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 8.3</b>	<b>REV. NO. 1</b>	<b>EFFECTIVE DATE 09-02-2024</b>
<b>DESIGN AND DEVELOPMENT</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 1</b>

### **8.3 DESIGN AND DEVELOPMENT**

#### **8.3.1 GENERAL**

- A. The EAC Branch is a branch which conducts examination, assessment and certification of seafarers including the scope of approval of training institutes and its monitoring.
- B. The basis of all above is STCW 78 as amended.
- C. When the STCW code brings in a particular new curriculum or changes for a training program or certain changes in the competency /proficiency examination s, it is the responsibility of the Flag State (DG Shipping EAC Branch) to design such rules for examination to suit the requirements of the maritime industry, make amendments to the Indian examination rule book and notify such formulated rules to IMO.
- D. In case of any new curriculum brought about by IMO, it becomes the responsibility of the Flag State (DG Shipping EAC Branch) to make amendments accordingly for a new curriculum to match the requirements of STCW and IMO. There is no separate design and development process by the EAC Branch other than to frame and implement the courses in line with requirements of IMO. Therefore the design and development activities are not applicable as referred in section 4.3.1.B.4

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 8.4	REV. NO. 0	EFFECTIVE DATE 01-08-2018
CONTROL OF EXTERNAL SERVICE PROVIDER	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 2

#### **8.4 CONTROL OF EXTERNALLY PROVIDED SERVICES**

##### **8.4.1 GENERAL**

- A. The scope of purchasing to EAC Branch applies to purchasing requirements for all those material, equipments and services in support of conducting examination, assessment and certification which is likely to bear an impact on the quality of its deliverable is anticipated.
- B. These include sub-contracting of services, Services of external examiners and assessors as well as the RO's appointed to do certain functions on behalf of the DGS .

##### **8.4.2 TYPE AND EXTENT OF CONTROL**

- A. The type and extent of control applied to the external service provider and the purchased product is dependent upon the effect of the purchased product on subsequent product / Service delivery.
- B. DG Shipping EAC Branch has a policy to evaluate and select all the Service providers specially related to the assessment examination and certification processes, based on their ability to supply their services / products in accordance with the DGS-EAC branch requirements.
- C. Criteria for selection, evaluation and re-evaluation has been established and detailed in the process in Tier II documentation.
- D. Records of the results of evaluations and any necessary actions arising from the evaluation are maintained
- E. The selection of suppliers who supply products and or services is based on the procedures laid down by the Govt. Rules.

##### **8.4.3 INFORMATION FOR EXTERNAL PROVIDER**

- A. Purchasing information of the product to be purchased for ensuring adequacy of specified purchase requirements is based on the Govt. procedures as specified in the rules.
- B. Purchasing of the services of the examiner and assessors is ordered by the EAC branch under the directives of the chief examiners of masters and mates / Engineers.
- C. DGS communicates to external providers its requirements for:
  - a. the processes, products and services to be provided;
  - b. the approval of products and services methods, processes and equipment;
  - c. the release of products and services
  - d. competence, including any required qualification of persons;
  - e. the external providers' interactions with us to the extent required
  - f. control and monitoring of the external providers' performance to be applied by the us;
  - g. verification or validation activities that the organization, or its customer, intends to perform at the external providers' premises.
- D. EAC Branch submits proposal for the procurement of equipment (Such as computer, printers scanners etc.) and stationary items to administrative branch of the Directorate /MMDs as and when required.



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 8.4</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>CONTROL OF EXTERNAL SERVICE PROVIDER</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 2</b>

- E. The chairman EAC Branch provides adequate financial resource to the concerned wings / branches / its allied offices for effective functioning of QMS.
- F. There is no direct involvement of EAC branch for the purchasing of any equipment. Purchasing of any product or services is always in accordance with Government of India rules.
- G. When the ordered goods are received the verification of the purchased goods are done by the DGS officials and are delivered to the department ordered for.

#### **Reference**

Govt. of India relevant rules

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 8.5	REV. NO. 1	EFFECTIVE DATE 29-11-2022
PROCESSING OF APPROVAL OF INSTITUTES / ISSUANCE OF COC TO SEAFARERS	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 4

## 8.5 PROCESSING OF APPROVAL OF TRAINING INSTITUTE / ISSUANCE OF A COC TO SEAFARERS

- A. Production and Service Provision relates to the approval to various training institutes for a particular course under STCW 78 as amended requirements and conduct of examinations and issuance of various certificate of competency/proficiency /endorsement/ in compliance STCW convention standards including the applicable rules, pertaining to such production & service under MS Act, 1958.

### 8.5.1 CONTROL OF SERVICE PROVISION

- A. EAC Branch carries out functions in accordance with the provisions of STCW 78 Convention as amended, Merchant Shipping Act, 1958, rules framed their under including the guidelines, and instructions from the DGS .
- B. EAC branch has developed Level 2 Documentation as Work process instructions to get the necessary outputs as desired by the process.
- C. The processes addressed above are implemented and monitored by suitable examiners and assessors ( Internal & External)which forms the main tools for assessment of the seafarers
- D. Appropriate assessment, examination systems and methods are utilized before a product can be declared competent for the rank he /she has applied for which is one of the product line of the DGS EAC branch.
- E. Appropriate examiners and assessors are appointed with suitable qualifications as required by the Directorate EAC branch ensuring that the appointment of competent persons, including required qualification for the respective ranks . only carry out the processing of the COC of the seafarer
- F. Tier- III manual has documented various forms and checklists for the uniform assessment and delivery of the services uniformly across the nation. This level of documentation in general is formats and special instructions for a particular type of product.
- G. The outsource product or services as the case may be if considered necessary by the EAC Branch is adequately monitored through regular interaction with the vendor and feedback from the customer.
- H. Post delivery service related to Certificate of Competency (COC) or Certificate of Proficiency (COP) involves maintenance of a database of issued certificates. This facility provides information on the authenticity/validity of a Certificate of Competency or Certificate of Proficiency (COP) as the case may be. Similarly Mercantile Marine Departments (MMDs) convey information on the endorsement issued by them to the EAC branch through regular reports.

### 8.5.1 (f) VALIDATION OF PROCESSES FOR SERVICE PROVISION

- A. The EAC Branch in the process of Examination does not have any process where the failure of the product is apparent after the product is put to use.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 8.5</b>	<b>REV. NO. 1</b>	<b>EFFECTIVE DATE 29-11-2022</b>
<b>PROCESSING OF APPROVAL OF INSTITUTES / ISSUANCE OF COC TO SEAFARERS</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 4</b>

- B. All the processes are such that the product is tested and examined in a foolproof manner that the result of the product is apparent at the time of examination and not later on when the product is put to use.
- C. As such there is no special process used in the EAC branch. Hence the validation of Process is considered for exclusion from our QMS.

### **8.5.2 IDENTIFICATION AND TRACEABILITY**

- A. EAC Branch maintains a copy of the Certificate of Competency / Proficiency as the case may be issued to seafarers under the provision of Merchant Shipping Act, 1958 as amended. In addition, this information is also available in register and in electronic format for various grades of certificate of competency issued. This record is also recorded on the E – Governance system of the DGS.
- B. Similarly Mercantile Marine Departments maintain record of certificate of proficiency for Watch-keeping, oil chemical / gas tanker ( Only for the officers ) , COC S GMDSS radio operator copy of form-29/ EXN-3 and sight test certificate as and when issued by them in accordance with the Process stated in Tier-II and MS Notices / circular issued by D.G. Shipping from time to time. The Local filing system at each branch specifies the duration for which each of above document is maintained. MMDs also uploads the details on the E Governance system to be reflected when accessed by the user.
- C. The record of DCE's and COP's issued through online e-Governance system is available in the Master Checker for the end user towards any verification of certificates.
- D. A unique number is assigned to each grade of certificate of competency or certificate of proficiency as the case may be for the purpose of its traceability. For example, the certificate of competency issued to officer in-charge of navigational watch bears two alphabets "IF" followed by serial number. Similarly in the engineering stream "95W" followed by serial number is assigned to MEO Class I certificate of competency.
- E. The EAC Branch identify the seafarer's status with respect to monitoring and measurement (assessments/ competence) requirements and verifies throughout examination and assessment process.

### **8.5.3 PROPERTY BELONGINGs TO CUSTOMER OR EXTERAL PROVIDER**

- A. The EAC branch generally does not take possession of any documents belonging to seafarers, who are approaching the EAC branch and allied offices involved in training, assessment, examination and certification.
- B. For the purpose of assessment / verification/ investigation in certain cases document inter-alia EXN-45 Form, CDC, certificate of competency, or certificate of proficiency or personal data may be retained for limited period with acknowledgment receipt given to the holder of such documents.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 8.5</b>	<b>REV. NO. 1</b>	<b>EFFECTIVE DATE 29-11-2022</b>
<b>PROCESSING OF APPROVAL OF INSTITUTES / ISSUANCE OF COC TO SEAFARERS</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 3 OF 4</b>

- C. Authorized officer of EAC Branch exercises due care to keep the documents in safe custody whenever considered necessary.
- D. If any seafarer's document is lost, damaged or otherwise found to be unsuitable for the purpose of it was issued, this shall be reported to the seafarer and records maintained.
- E. EAC/CP/form is used for this purpose. In such cases seafarer need not pay fees and follow the procedure for issuance of first copy. Brief procedure and instruction in regard are given in Tier-II/III manual

#### **8.5.4 PRESERVATION OF PRODUCT (COC/COP ETC.)**

- A. Due care is exercised by EAC Branch to ensures that the certificate issued to a seafarer meets the requirements as stipulated in the STCW 78 convention as amended and the provisions of the MS Act, 1958 including the rules framed their under and circular/ instructions issued from time to time.
- B. Certificate of competency are prepared in Nautical and Engineering section of EAC branch of Directorate and forwarded for its delivery to respective candidates by courier / Speed post/ Registered AD/ Hand delivered or at times with request of the shipping company when the seafarer is on board transmitted to the Indian High Commission/ Embassy/ Consulate / bodies like FOSMA-MASSA-INSAs as the case may be.
- C. The branch has started the delivery of certificates directly to the concerned seafarer at the assigned home address given by him.
- D. In certain cases an appropriate certificate is delivered to the owners/ managers association in India if, the applicant gives authorization to such bodies.

#### **8.5.5 POST-DELIVERY ACTIVITIES**

- A. We do not have any such activities where we cater to the seafarer after he has received his COC or COP. However post delivery service related to certificate of competency (COC) or Certificate of Proficiency (COP) involves maintenance of a database of issued certificates.
- B. This facility provides information on the authenticity/validity of a certificate of competency or certificate of proficiency (COP) as the case may be.
- C. Similarly Mercantile Marine Departments (MMDs) convey information on the endorsement issued by them to the EAC Branch through regular reports.
- D. It is also applicable to the extent of the feedbacks taken from the seafarers with a frank opinion to improve the system with a total transparency.



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 8.5</b>	<b>REV. NO. 1</b>	<b>EFFECTIVE DATE 29-11-2022</b>
<b>PROCESSING OF APPROVAL OF INSTITUTES / ISSUANCE OF COC TO SEAFARERS</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 4 OF 4</b>

#### **8.5.6 CONTROL OF CHANGES**

- A. Any changes or modifications to the existing documents rest with the MR or who originally prepared them, although suggestions and initiatives for the change may come from other departments.
- B. Whenever there is any changes to the material which is used in the EAC branch processing of the training institute or issuance of a COC or COP, the latest material with the revision no is brought to the notice of the examiner / assessor and also the same is updated on the server and the old material is removed so that the old material is not used by mistake.

**NOTE – ALL WPI TO READ 7.5 AS 8.5 AND REFER QMS 7.5AS QMW 8.5**

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 8.6 -8.7	REV. NO. 0	EFFECTIVE DATE 01-08-2018
RELEASE OF PRODUCT (COC/COP) AND ANY NON CONFORMITY	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 1

#### **8.6 RELEASE OF APPROVAL FOR THE INSTITUTE / COC /COP**

- A. The approval letter for the training Institute is not released until all the planned arrangements as required by the DGS rules and the guidelines issues by the Training branch is complied with
- B. Such approval granted to the Institutes ,a letter of approval on line is maintained as documented information at this office .
- C. The seafarers who apply for particular grade of examination are not released with the respective COC/COP till he /she has completed all the necessary functions and examination modules and is declared as passed by the examiner of master and mates or engineers .
- D. Records as documented information of the written assessment / oral assessment as well as the COC /COP issued are maintained by the Nautical and Engineering branch.

#### **8.7 CONTROL OF NON CONFORMING PRODUCT( CANDIDATES WHO DO NOT PASS)**

##### **8.7.1 CONTROLS**

- A. The Administration shall ensure that outputs from this administration with regards to the approval of the institutes who do not confirm to the guidelines are issued NC and such non conformity is duly corrected prior issuance of the approval letter to such training institutes.
- B. Similarly when a candidate does not pass the desired grade of examination, he/she has to correct the functions failed in and re-appear before the COC /COP can be issued to them .
- C. The organization shall also ensure that the COC issued is having the appropriate fields filled up properly prior release of the COC .
- D. In case it is detected that a particular COC is having some NC then we take appropriate action based on the nature of the nonconformity in terms of what was not there and its effect on the candidate using that COC .
- E. The organization shall deal with nonconforming outputs in one or more of the following ways:
  - a) Correction by immediately correcting the COC
  - b) Giving him a certificate as a letter as a stop gap
  - c) Issuance of a new certificate

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 9.1	REV. NO. 0	EFFECTIVE DATE 01-08-2018
PERFORMANCE EVALUATION	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 3

## 9 PERFORMANCE EVALUATION

### 9.1 MONITORING AND MEASUREMENT

#### 9.1.1 GENERAL

- A. To ensure that competent seafarers are employed on board, they are trained, assessed and examined in accordance with the requirement of the STCW 78 convention as amended and the provision of Merchant Shipping Act, 1958, Rules framed there under including DGS circulars/ notices etc. issued from time to time.
- B. For obtaining certificate of competency or certificate of proficiency as the case may be, seafarer undergoes structured ship-board / shore training program.
- C. The other requirement such as age, academic qualifications, and sea service etc. are assessed prior declaring a seafarer eligible for the applicable examination in respect of Nautical or Engineering stream. This is the first stage of monitoring of requirement.
- D. The second stage of monitoring and measurement is through the written examination for a particular grade which is held at the declared examination centers of various MMDs.
- E. The third stage of monitoring and measurement of examination is achieved during the oral examination for respective grades. The records of result are maintained in Form-29 / EXN-37BC / EXN 45.
- F. When a candidate passes entire examination (written and orals), concerned examiners, prior to final uploading of Form-29 to Directorate on the online module , ascertains whether the requirements for issuance of certificate of competency are complied with. The copy of form-29 is retained on the online module for any further reference
- G. Finally, in the fourth stage, the Directorate re-assesses the eligibility / entitlement on the online module and releases certificate of competency for delivery to the successful examinee directly to his home address as prescribed in the processes or if he wishes to take the delivery by hand in some cases of urgency.
- H. Where written examination is not held, appropriate requirement of the STCW78 convention as amended and the Merchant shipping Act, 1958 provisions including the applicable Rules, circulars/MS Notice etc. are followed for issuance of such certificate as the case may be. For e.g. Certificate of proficiency for Watch keeping rating, Tanker , or a COC for GMDSS radio operator , signal visual examination, sight test examination etc. records of certificates issued are maintained on the E governance with the respective INDOS as unique ID no
- I. It is the responsibility of Chief Examiner of Master and Mates/ Engineers to issue certificate of competency for the various grades. Therefore, such certificates are always signed by them and counter signed by their respective deputies. However, to facilitate timely delivery of certificates to the successful candidates and achieving the laid-down the quality objectives the following procedure is adopted.
  - i. Chief Examiners of Master and Mates/ Engineers and their DY. NA/ DY. CS respectively sign the grades of Certificate of Competency prescribed under the Merchant Shipping Act, 1958.
  - ii. In the absence of Chief examiner, the nominated DY. NA/ DY. CS and NS/E&SS sign the COC.
  - iii. In the absence of DY. NA/ DY. CS, the Chief Examiners of Master and Mates / Engineers

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 9.1</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>PERFORMANCE EVALUATION</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 3</b>

and nominated NS/E&SS shall sign COCs.

- iv. In case of delivery of certificate of competency revalidation , either Principal Officer (PO) or his authorized officials shall sign.
- F. As regards, other certificate of proficiency, either Principal Officer (PO) or his authorized officials shall sign.
- G. The certificate of proficiency for the ratings professional bodies like FOSMA /MASSA/INSA etc are also authorized to issue such COP's and DCE endorsements on behalf of the MMD's.
- H. The Chief Examiner of Master and Mates / Engineers or his deputies or authorized official in the event of their absence shall undertake to release other certificates / endorsement in exceptional circumstances.
- I. The Directorate monitors and measures all the requirements for the seafarers to verify that seafarer competency criteria in the respective field to be certified for is complied with
- J. Assessment and examination process in accordance with the planned arrangements decided by the Directorate General of shipping EAC branch.
- K. All Evidence's of conformity with the acceptance criteria are maintained.

#### **9.1.2 CUSTOMER SATISFACTION**

- A. The EAC Branch monitors customer perception through input from sources such as interaction with the industry/ training institute, ship-owner, seafarer and other stake holder.
- B. A brief procedure is available in Tier-II and a feedback form is documented in Tier III manual.
- C. Customer feedback provision is available as on line module for the purpose of improving the services to its customer and compliance with the STCW 78 convention as amended including the provision of Merchant Shipping. Act, Rules framed their under with regard to the certificate of competency/ certificate of proficiency etc..
- D. The customer feedback is received by the assigned officer in the department with a user ID and a password to access the customer feedback.
- E. The assigned officer reply to the concerned seafarer or the Industry person, in case the person is not satisfied he may put up a feedback /query again which is further replied till the matter is resolved or closed.
- F. There is also a helpdesk created where a dedicated assistants who replies to the query or feedback immediately and brings it to the notice of the concerned officer on the matter.

#### **9.1.3 ANALYSIS AND EVALUATION OF DATA:**

- A. Institutes are inspected annually under the CIP Scheme of the DGS EAC branch, where points are given to the institutes and based on the points grading will be allocated to various institutes.
- B. The CIP inspection reports are analyzed to determine the extent of compliance with DGS guidelines. There may also be surprise inspections by the PO MMD's and if any deficiencies are noticed are brought to their notice.
- C. Such deficiencies which commonly happens in most of the institutes a data is compiled after analysis of such data ,
- D. The DGS carries out analysis of COC, number of candidate appeared, outcome of results, number of attempts made for each grade of certification during the year. The DGS



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 9.1</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>PERFORMANCE EVALUATION</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 3 OF 3</b>

attempts to determine the quality of trainee, trainer, assessor, examiner internal / external from the collated data for the year in question.

- E. The DGS also carries out analysis of other certificates which includes, number of candidate submitted the application, and number rejected, reason for rejections and any punitive action recommended to the chairman, EAC branch.
- F. Seafarers give their feedback to DGS online in a prescribed format as displayed on the online module . DGS/MMDs take corrective action/ preventive action as necessary on analysis of feedback forms.

Statistics maintained at EAC Branch

Communication through feedback / interaction with internal / external customer

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 9.2	REV. NO. 1	EFFECTIVE DATE 24-09-2024
INTERNAL AUDIT	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 2

## 9.2 INTERNAL AUDIT:

- A. DGS EAC branch has established A DOCUMENTED PROCEDURE, for planning and conducting internal audits to ensure its Quality Management System conforms to the planned arrangements as required by ISO 9001:2015 standard and the documented Management system.
- A. The Officers of EAC Branch (Nautical, Engineering, and its allied offices at MMD's) participate in internal audit on annual basis.
- B. Only those officers who hold lead auditor certification duly approved by IRCA are eligible to conduct internal audits.
- C. An annual audit schedule is prepared by MR.
- D. MR is responsible for the preparation of audit program of DGS.
- E. MMD Mumbai, Kandla, Kochi, Chennai, Kolkata, Delhi and Visakhapatnam make their own program for their respective examination centres within the district in consultation with the station I/C and propose to the management representative.
- F. The audit program for external audit is also circulated to MMDs and within DGS after the receipt of notification from BIS.
- G. The management representative after taking into account the status and importance of the process and areas to be audited as well as the results of the previous audits and prepares the final audit schedule for all examination centers across the country including the DGS.
- H. MR then circulates audit plan of DGS, two – five days before the conduct of internal audit. Similarly QA I/C of MMDs circulate the audit schedule two – five days prior to audit.
- I. The management representative also defines and briefs the audit criteria, scope, frequency and methods prior allocation the audit to the auditors verbally .
- J. The management representative carries-out the selection of the auditors for the conduct of the audit to ensure objectivity and impartiality of the audit process. In doing so, the nominated auditors are not assigned to audit their own work.
- K. MR prepared the audit program and circulates to MMDs/DGS once a year.
- L. The format of audit program is given at the end of this procedure in this manual having formed no WPIF-9.2 – 01 - 01. Principal Officers of MMDs / the quality in-charge communicate the program of the local offices to the MR when the final report is submitted.
- M. MR/QA I/C use Form WPIF-9.2 – 01 - 01 for intimating the internal audit program and Form WPIF-9.2-01-02 for intimating schedule of internal audit.
- N. The branches conduct the internal audits with the nominated auditors, which starts with an opening meeting with the staff of the branch to be audited.
- O. The objective of the opening meeting is to make the department comfortable and discuss the methodology of audit with specific details of the scope /criteria and the objective of audit.
- P. Interview is held with the departmental staff to verify the system implementation with a review of various records generated therein. In case there is any deviation from the documented management system or the processes, a non conformity is raised.
- Q. Non-conformity/CA form is used during the internal audit for raising non-conformities and correction / corrective action towards the raised non-conformities. Form WPIF-10.2-01-01is used
- R. Where appropriate Principal Officer / QA I/C MMDs determine the cause of non-conformities, evaluate the action to ensure that non-conformities do not recur/occur.

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 9.2	REV. NO. 0	EFFECTIVE DATE 01-08-2018
INTERNAL AUDIT	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 2

- S. Action so taken is recorded in the corrective action section of the non conformities / CA form. Action so taken is intimated to MR.
- T. Time period for taking corrective measures against the raised non-conformities / observation is maximum 3 months.
- U. Whenever, the NCs / observation for valid reasons is not closed out by the concerned examination centre within the specified time frame, the MR need to be notified immediately specifying the reasons for the delay.
- V. A periodical follow-up which include the verification of the action taken and reporting of the verification results is carried-out by the MR by consulting the concerned quality in-charges.
- W. CA and review as above of NCs pertaining to DGS EAC Branch is jointly addressed by CS/NA/DYCS/DYNA/Sr.DDG (training)/QA I/C of respective branches as appropriate.
- X. MR informs the CA to concern MMDs where appropriate.
- Y. MR takes CA when the NC is raised on the non-compliance of certain Processes, or omission in the Quality manual.
- Z. CA is addressed within three months and MR is intimated. When the CA could not be completed within the time provided Principal Officer/ concerned QA I/C informs MR for the reasons of the delay.
- AA. MR intimates DG (S)/CS/NA of non-closer of the NC and conveys the extended date for closing of NC(s) after approval of DG (S)/CS/NA.
- BB. Summary of NC raised is forwarded to MR in the prescribed form i.e. WPIF-9.2-01-03 (summary of internal audit). Form is available at the end of this section of this manual.
- CC. The applicable forms shall be used by the concerned the quality In-charge for the purpose of conducting internal audit.
- DD. Records of the Internal Audit and its associated documentation are maintained.

**Form no.** WPIF-9.2-01-01

**Form no.** WPIF-9.2-01-02

**Form No.** WPIF-9.2-01-02

#### **Records:**

The records of audit program/audit schedule/NC/CA are maintained for a period of 5 years in the file no. EACQS/Internal Audit/02.

## AUDIT SCHEDULE

[illegible]

## NOTES

- A - *Scheduled Audit* (established by the management at the beginning of each calendar year)  
B - *Rescheduled Audit* (if the DGs have not been able to carry out the scheduled audit)



## AUDIT PLAN

[illegible]

DIRECTORATE GENERAL OF SHIPPING  
EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH

## AUDIT REPORT

<b>AUDIT REPORT</b>			<b>DATE:</b>	
<b>DEPARTMENT:</b>			<b>AUDIT NO.:</b>	
<b>AUDITOR(S):</b>		<b>AUDITEE(S):</b>		
<b>SUMMARY</b>				
<b>No.</b>	<b>M/MI/ O</b>	<b>ISO CLAUSE</b>	<i>DESCRIPTION AND DETAILS OF NOTING</i>	
<b>DATE</b>		<b>HOD</b>		
<b>MR</b>		<b>AUDITOR</b>		

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 9.3	REV. NO. 0	EFFECTIVE DATE 01-08-2018
MANAGEMENT REVIEW	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 1 OF 2

### 9.3 MANAGEMENT REVIEW

#### 9.3.1 GENERAL

- A. Chairman EAC Branch reviews the QMS at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. This review includes assessing opportunity for improvement and the need for changes to the QMS, including the Quality policy and the Quality objectives.
- B. The top & senior management of Directorate reviews the Quality Management System once in a year, through the Management Review Committee (MRC). This committee shall meet on completion of internal audit and prior to external audit. These reviews shall evaluate results of internal & external audits and approve changes to the quality policy, the quality objectives and the quality manual if required. The management review meeting shall reflect the decision taken and action required for continual improvement.
- C. **Management Review Committee (MRC):-** The members of MRC comprises of following:-
 

1. Directorate General of Shipping	Chairman
2. Nautical Advisor to Govt. of India (NA)	Member
3. Chief Surveyor with Govt. Of India (CS)	Member
4. Additional /Joint Director General of shipping (Jt.DGS)	Member
5. Dy. Director General of shipping (Training branch)	Member
6. Dy. Director General of shipping (Personnel)	Member
7. Dy. Director General of shipping (Crew)	Member
8. Dy. Director General of shipping (e- governance)	Member
9. Dy. Director General of shipping (INDOS)	Member
10. Management Representative	Member
- D. The MRC shall consider the corrective action proposed by Management Representative (MR) with regard to amendment/ changes required in the Quality Management System of examination, assessment & certification (EAC) branch. Accordingly, issues directives to the MR & other concerned with respect to documentation, provisions of resources & dissemination to all concerned

#### 9.3.2 THE MR SHALL BE RESPONSIBLE FOR REVIEWING INPUTS LIKE:

- A. Follow up actions from past management reviews.
- B. Changes to Internal and external issues within the context of the Organization that are relevant to the Administration
- C. Information on the performance of the effectiveness of the QM including the trends in :
  - 1 Customer satisfaction and feedback from relevant interested parties including the seafarers
  - 2 Feed back or complaints received from industry regulators like IMO or EMSA etc, the Public or any other

DIRECTORATE GENERAL OF SHIPPING EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH			
QUALITY MANAGEMENT SYSTEM - POLICY MANUAL	DOC. NO. : QMS - 9.3	REV. NO. 0	EFFECTIVE DATE 01-08-2018
MANAGEMENT REVIEW	PREPARED BY: M.R.	APPROVED BY DGS	PAGE: 2 OF 2

- 3 The extent to which quality objectives have been met at departmental levels in various branches
  - 4 The administration process performance and conformity of services with regards to the training institutes approval and examination and assessment of seafarers and issuance of the COC ;
  - 5 nonconformities and corrective actions;
  - 6 monitoring and measurement results of the COC issued at various administrative levels
  - 7 Internal audit results;
  - 8 the performance of external providers as sub contractors
- D. The adequacy of Resources
- E. Effectiveness of the actions taken to address the risks and opportunity for improvement from time to time .
- F. Plan the suggestions from the staff that would affect the quality of the management system.
- G. Recommendations for improvement from internal or external sources.
- H. Review of training plan and status.
- I. Review of any new national and international legislation affecting the management and operation of this administration. .

### 9.3.3 REVIEW OF OUTPUT SHALL BE HIGHLIGHTED AS FOLLOWS:

- A. The MR shall highlight the improvement of the effectiveness of various processes in the quality management system.
- B. He shall analyze the improvement of the services with respect to Customer satisfaction and the progress made in achieving the objectives
- C. The MRM will be the basis of inputs to the framing of the new set of goals and objectives for the Administration and to be included in the citizen Charter
- D. This may also cover any changes to the QMS
- E. Any additional resources in form of manpower or equipment required.
- F. **Records** of the reviews shall be maintained.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 10.1 - 10.2 -10.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>IMPROVEMENT</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 1 OF 3</b>

## **10 IMPROVEMENT**

### **10.1 GENERAL**

- A. The EAC Branch recognizes that the improvement in the Quality Management System (QMS) is essential for achieving the quality policy and the quality objectives to ensure its commitment towards compliance with STCW 78 convention as amended under the provision Merchant Shipping Act, 1958.
- B. The administration shall determine and select opportunities for improvement and implement any necessary actions to meet industry and seafarers requirements and enhance customer satisfaction as a result obtained from the MRM.

### **10.2 NONCONFORMITY AND CORRECTIVE ACTION**

- A. The Procedure for control of Non Conformity is detailed in this part of the Manual.
- B. Examiners at MMDs ensure that a seafarer is permitted to appear in a particular grade of the examination only when he is eligible or issued a certificate as per the requirements laid down in STCW78 convention as amended under the provision of the Merchant Shipping Act, 1958 etc and the examination Rules 2014.
- C. Non Conformity may be but not limited to :
  1. Assessment criteria not fulfilled
  2. Incomplete document submitted.
  3. Non-conformity due to wrong data input in the certificate of competency
- D. The eligibility is assessed when seafarer applies for examination/certification. On detecting non-fulfillment of certain requirements, MMD's seek instructions from the DGS as and when it is necessary. Subsequently, MMD's notifies such action to the concerned seafarer or ship-owner or appropriate agent as the case may be.
- E. Instructions from the DGS may include complete denial of issuance of certificate / permission to appear in examination. Under circumstances, Chief examiners may grant partial relaxation in meeting the requirements in accordance with the provision of STCW 78 convention as amended and provision of the Merchant Shipping Act, 1958 etc. Records of such correspondence are maintained in the DGS and respective MMDs.
- F. When Non-conformance of requirement detected by MMDs such as :
  1. Assessment criteria not defined.
  2. Incomplete document submitted.
  3. Non-conformity due to wrong data input in the certificate of competency
- G. Examiner takes necessary action and denies issuance of certificate/permit candidate to appear for examination and/ or seeks instruction from seniors/Principal Officer and act as per the instructions and/or reference is made to concerned chief examiner and instructions sought.
- H. As per advise:
  - i) Issue certificate/allow participation in the examination



<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 10.1 - 10.2 -10.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>IMPROVEMENT</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 2 OF 3</b>

- ii) Deny Certificate/deny permission to appear in the examination.
- iii) Issue certificate for restricted use
- iv) Act as per the advice given.

I. MMD maintains records of individual cases

J. Nautical/Engineering branch maintains records of non-conforming product.

K. **When Non-conformance of requirement detected by DGS officials** at DGS detect the non-conformity, where necessary official takes up necessary matter with NA/CS/Principal officer/Examiner of Master & Mates/Examiner of Engineers. Corrective measures are taken at Directorate and decision communicated to concerned Principal officer/examiner of Master & Mates/Examiner of Engineers

The verification and final closeout of the CA shall be recorded in the form.

#### **CORRECTIVE ACTION :**

A. Correction is defined as elimination of the Non conformity; so to say an immediate action taken to eliminate the NC is only a correction. ( which is discussed in section 8.7)

B. When a root cause is established and the elimination of the root cause is done, it is termed as Corrective action.

C. Preventive Action is a risk based approach methodology and is taken to prevent an occurrence of any NC within the administration

D. The EAC branch has ensured that it shall take effective measures to take corrective action/ measures for eliminating actual cause of non-conformity from re-occurring or a potential cause from occurring by way of a this PROCEDURE.

E. The steps taken for the corrective action to be taken shall be :

- i. Reviewing nonconformities including customer- seafarer / industry complaints,
  - ii. Taking an immediate action to eliminate the non conformity
  - iii. Determining the causes of nonconformities,
  - iv. Evaluating the need for action to ensure that nonconformities do not recur, by elimination of the root cause
  - v. Implementing action needed and planned as detailed above to eliminate the cause of the non conformity.
  - vi. Review the effectiveness of the action taken
  - vii. Recording of the results of action taken and if the action is effective it is closed or else deferred to a date later for verification again if the action is effective.
  - viii. A NC is not closed and the corrective action is not considered taken till the effectiveness of the action is verified.
- F. Corrective action will usually result in changes to the quality related documentation or require provision of training.
- G. Any staff member may recommend corrective action .The EAC branch will take appropriate corrective action recommended by the employees or what he plans within a set target date to take the action.
- H. Target dates may be extended only with the permission of the NA/CS of the EAC Branch.

<b>DIRECTORATE GENERAL OF SHIPPING</b> <b>EXAMINATION, ASSESSMENT &amp; CERTIFICATION (EAC) BRANCH</b>			
<b>QUALITY MANAGEMENT SYSTEM - POLICY MANUAL</b>	<b>DOC. NO. : QMS - 10.1 - 10.2 -10.3</b>	<b>REV. NO. 0</b>	<b>EFFECTIVE DATE 01-08-2018</b>
<b>IMPROVEMENT</b>	<b>PREPARED BY: M.R.</b>	<b>APPROVED BY DGS</b>	<b>PAGE: 3 OF 3</b>

- I. The MR or the person giving NC will Review and verify the effectiveness of corrective actions.
- J. The verification and final closeout of the CAR shall be recorded in the NC Form.

### 10.3 CONTINUAL IMPROVEMENT

- A. The Administration will demonstrate its continual improvement by evaluating the effectiveness and efficiency of the Quality Management System by revalidating the
  - a) Quality policy,
  - b) Quality Objective
  - c) Internal audit results
  - d) Analysis of the feedback (Customer).
  - e) Corrective and any risk based preventive action actions and,
  - f) Management review meetings.
- B. **FORMS AND RECORDS:** Form no. WPIF 10.2 – 01 - 01 (NCR /CAR form)

**DIRECTORATE GENERAL OF SHIPPING**  
**EXAMINATION, ASSESSMENT & CERTIFICATION (EAC) BRANCH**  
**NONCONFORMITY REPORT (NCR) / CORRECTIVE ACTION REQUEST (CAR)**

DATE		PLACE		NCR NO.	
TO			FROM		
NCR IDENTIFIED THROUGH : ( PLEASE TICK ONE OF THE BELOW )					
DAY TO DAY OPERATION		CUSTOMER COMPLAINT		MANAGEMENT REVIEW	
EXTERNAL AUDIT		ADMINISTRATION		ENGINEERING	
DESCRIPTION OF THE NON – CONFORMITY :					
AFFECTED DOCUMENT NO.				ISO CLAUSE NO.	
AUDITOR		AUDITEE REPRESENTATIVE		AGREED DATE COMPLETION	
IMMEDIATE ACTION TAKEN (CORRECTION)					
ACTION COMPLETED			ACTION VERIFIED BY		
ROOT CAUSE ANALYSIS					
CORRECTIVE ACTION TAKEN					
ACTION TAKEN BY			ACTION VERIFIED BY		
EFFECTIVENESS OF THE ACTION TAKEN					
NCR CLOSED		YES	NO	DATE CLOSED	
CLOSED BY			SIGNATURE / NAME		