



SEAFARER RECRUITMENT AND PLACEMENT SERVICE

SRPS Guidance Document 002

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Implementation Audit Process Guidance for License Applicants

Purpose

The purpose of this document is to assist Seafarer Recruitment and Placement Service (SRPS) license applicants with background and guidance in preparation for Transport Canada Marine Safety and Security SRPS Implementation Audits.

As the competent authority, Transport Canada auditors conduct implementation audits on site at an SRPS License applicant's business headquarters, and is an essential step in verifying compliance for the issuance of an SRPS License. Implementation audits apply to the issuance of a new five-year SRPS License and the renewal of an existing SRPS license.

Note: this guidance document and template should not be considered a standard by which the issuance of a Transport Canada SRPS License is fully determined.

Core Elements of the Implementation Audit

The core elements of the TC SRPS Implementation Audit are based on the requirements of the *Marine Personnel Regulations, Part 3, Division 2 – Seafarer Recruitment and Placement Services, 305*, that includes:

- Credentials of SRPS supervisory staff,
- Quality management systems (QMS), including policies and procedures,
- Seafarer and vessel registration, and
- Insurance and financial security.

A more detailed list of audit components is attached to assist the SRPS license applicant in preparing for the implementation audit.

Scope and Conduct of the Implementation Audit

The implementation audit will normally include the following activities:

- An initial meeting between the SRPS license applicant and Transport Canada personnel,
- Company orientation,
- QMS review (policies, procedures, records and work instructions),
- Audit of other pertinent documentation or information,
- Staff interviews and discussions, and
- A closing meeting, to include a summary of findings and next steps.

Applicant's Involvement

To ensure an efficient and accurate audit process, the SRPS License applicant is asked to ensure all key personnel are available for discussions with TC audit staff, including:

- Employees with recruitment responsibilities,
- Manager(s) responsible for Quality Assurance and employees familiar with the Quality Management System (QMS), and
- Other employees responsible for supporting and administrating recruitment and placement processes.

In addition, the TC Auditor(s) will require some logistical support, including:

- Access to all requested records and documents,
- A secure room or work area to review applicable documentation and consult with the applicant's staff, and
- Internet access and power supply.

Audit Schedule

An audit schedule will be established that will normally encompass two to three days, conducted during normal business hours, e.g., 09:00 AM to 5:00 PM.

Reviewed Documentation

As part of the Implementation Audit, Transport Canada will request and review a significant number of documents. As part of your company's SRPS application, you should be prepared to provide the following documentation to the TC auditor(s):

- Declaration of compliance with PIPEDA,
- Credentials of supervisory staff,
- Quality Management System (most current and approved version), including related policies and procedures,
- Various policies, procedures or instructions relating to seafarers and seafarer recruitment,
- Copy of the QMS certificate in accordance with ISO 9001, if applicable,
- Access to records or data bases containing seafarers' information, including certifications and training,
- An organizational chart that includes the SRPS organization and functions,
- Internal audit reports, including your three-year audit, in the case of a renewal application,
- Management review documentation,
- Valid insurance certificates and policies; and/or financial security contracts,
- Vessel specific insurance certificates, if applicable,
- Current register of recruited seafarers
- Seafarers feedback/complaints register and monitoring system,
- Vessel register,
- Authorized Representatives' means,
- Current contracts of employments and/or seafarer agreements, and
- Current collective agreements.

SRPS License Implementation Audit Components

This table includes components of the Implementation Audit conducted by Transport Canada, Marine Safety and Security.

Audit Component	Specific Elements
Quality Management Systems (QMS)	QMS Approval and amendment process exists
	QMS documents are ISO compliant, if applicable
	QMS demonstrates applicant's commitment to not using means, mechanisms, or lists to prevent or deter seafarers from gaining employment
	QMS clearly indicates the SRPS will not charge fees to seafarers for recruitment and placement, other than those for medical certificates, records of sea service or passport and travel documentation
	Process exists to ensure employees, and when applicable, seafarers are aware of the QMS manual
	QMS indicates seafarer age requirements
	QMS indicates communication with seafarers related to vessels that may have MLC 2006 certification compliance considerations, and whether the vessel's flag state has ratified MLC 2006
	QMS manual is accessible to appropriate personnel, including seafarers, if applicable
	Procedures exist for establishing and maintaining a seafarer register
	Procedures exist for establishing and maintaining a vessel register
	Reference check processes for seafarers
	QMS indicates requirement for, and a process to access and maintain current and valid documentation and certificates relevant to seafarers' qualifications and training
	Seafarer complaints processes and record including company responses
	The QMS has an established notification process to advise TC and the authorized representative of unresolved complaints of incidents
	Financial means of the Authorized Representative, including assurance seafarers will be repatriated in the case of abandonment
Collective Agreements	All agreements applicable to seafarers recruited and/or placed on vessels are available
Articles of Agreement: Seafarer Agreements (SEA) Contracts of Employment	SEA exists for each recruited and/or placed seafarer
	SEA include all information required in accordance with <i>CSA</i> , <i>MPR</i> and <i>MLC 2006</i>
	The SEA allows for full, disclosed information applicable to the seafarer's terms of employment, rights and obligations and unique conditions of employment
	SEA is in accordance with applicable laws, regulations and collective agreements
	Verification of Seafarers' understanding of their SEA
	Management process of SEAs exists

Audit Component	Specific Elements
PIPEDA	Verification of completion of Part 1 of the personal Information Protection and electronics Documents Act
	All 10 principles are verified in practice, including documentation and processes
	Document establishment, handling, control, storage and disposal processes
	Register and management of personal information
	Seafarers' personal information remediation process
	Third party sharing and protection processes and measures
Seafarer Register	Current register
	Seafarers' qualifications and training, including restrictions
	Records of employment
	Seafarers medical data
	Applicable job postings and qualifications
	Accuracy of seafarer registry
Vessel Register	Current and accurate register of vessels where seafarers are placed
	Vessel name, IMO number, call sign, Flag state and authorized representative included
	24 hour contact information
Insurance	Current and valid insurance certificates
	Insurance policies including terms and conditions
	Vessel specific insurance certificates and policies
Qualifications and credentials of SRPS Supervisory Staff	Qualifications and currency of SRPS supervisory staff verified
	Training records of supervisory staff
	Supervisory staff demonstrate the minimum requirements of certification applicable to the seafarers being recruited and placed
	Supervisory staffs' credentials demonstrate knowledge of the <i>Canada Shipping Act 2001, Marine Personnel Regulations</i> and <i>Maritime Labour Convention 2006</i>
Seafarers' Complaints Procedures	A documented process exists that informs seafarers of their rights regarding complaints
	A documented complaints process exists that includes reporting, responsibilities, accountability and follow-up
	Documentation exists that recognizes SRPS responsibility to report unresolved complaints to Transport Canada
SRPS Audit Processes	QMS describes the audit process for SRPS
	An audit process describes scope, frequency, review, approval and response procedures, including individual responsibilities

Audit Component	Specific Elements
	The audit process identifies individual responsibilities of key managers responding to audit findings

References

TP 15238E – Certification Guide for Seafarer Recruitment and Placement Service Providers

<https://tc.canada.ca/en/marine-transportation/marine-safety/certification-guide-seafarer-recruitment-and-placement-service>

Canada Shipping Act

<https://laws-lois.justice.gc.ca/eng/acts/C-10.15/>

Marine Personnel Regulations,

<https://laws-lois.justice.gc.ca/eng/regulations/SOR-2007-115/>

Maritime Labour Convention 2006:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:91:0::NO::P91_INSTRUMENT_ID:312331

For additional information, contact:

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