



## SEAFARER RECRUITMENT AND PLACEMENT SERVICE LICENSE

# Quality Management Systems Guidance and Template

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### Purpose

The purpose of this document is to assist Seafarer Recruitment and Placement Service (SRPS) License applicants with background and guidance in preparation of Quality Management System (QMS) documentation.

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

### References

The following references describe the need for a quality management system with respect to seafarer recruitment and placement:

1. Marine Personnel Regulations,
2. Maritime Labour Convention, 2006, and
3. TP15238E: Certification Guide for Seafarer Recruitment and Placement Service Providers.

### Core Elements of QMS

The core elements of a SRPS based QMS process should consider the requirements of SRPS specific regulations, conventions, company operating processes and various professional standards adopted by the company.

A more detailed list of SRPS specific QMS components, in the form of document headings, is included to assist in developing and documenting a SRPS specific QMS process.

### Scope of the QMS

A QMS process supporting SRPS may be included in a company's overall QMS documentation or can be a stand-alone document(s). The key requirement is to obtain a level of effectiveness that allows SRPS supervisory staff easy access and comprehension of the process.

# SRPS Quality Management System (QMS)

## Document Template

### **Purpose, Objective and Scope of the SRPS QMS**

Statement describing the purpose, objectives and scope of the licensee's SRPS QMS.

### **SRPS Quality Policy / Policy Statement**

- May be a separate document / page
- Includes intent of SRPS and principles applied, endorsed and signed by the responsible management
- Indicates the company and senior management commitments to QMS and objectives of its SRPS
- Outlines licensee's commitment to the seafarer
- QMS demonstrates licensee's commitment to not using means, mechanisms, or lists to prevent or deter seafarers from gaining employment
- Policy indicates minimal age requirements for seafarer recruitment

### **QMS Practices**

- Description of the QMS review and approval process
- Description of how QMS is made available to seafarers and supervisory staff
- 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 indicates the licensee maintains awareness of those flag states that have not ratified MLC 2006

### **SRPS Roles and Responsibilities**

- Identification and documentation of roles of all staff involved in SRPS
- Graphic or organization chart of the SRPS organization

### **SRPS Recruitment Process**

- Description of the hiring process, including all steps and specific supervisory staff involved in each step of the process
- Include a diagram of the hiring process including actions based on each step
- Describe the hiring functions:
  - Advertisements
  - Candidate applications and submissions

- Verification of candidate credentials / certificates
- Background checks
- The QMS clearly describes the process for seafarer reference checks
- Describe candidate interview process
- Candidate orientation process
- Boarding and placement process and steps
- Administrative arrangements applicable to hiring:
  - Travel
  - Equipment
  - Finance and pay arrangements
- QMS indicates requirement to access and maintain current and valid documentation and certificates relevant to seafarers' qualifications and training.

### **SRPS Supervisory Staff Qualifications and Training**

- Verification that supervisory staff must be qualified to hire seafarers
- Summary of training requirements
- Ongoing training.

### **Articles of Agreement – Seafarer Employment Agreement (SEA)**

- SEA exists for each placed seafarer
- Procedures exist to ensure the authorized representative and/or ship owner have a system of protection, insurance or equivalent measure to compensate seafarers in the event of monetary loss as a result of the manning agency's or ship owners failure to fulfill their obligations under the SEA
- SEA in accordance with applicable laws, regulations and collective agreements
- Verification of Seafarers' understanding of their SEA
- Management of SEAs, including where copies are maintained.

### **Seafarer Register**

- Describe processes for the development and maintenance of the seafarer register
- Describe all information contained in the seafarer register including mandatory information.

### **Vessel Register**

- Responsibilities and process for establishing and maintaining a vessel register
- Verify all mandatory information needed for the register.

### **Repatriation Insurance and Financial Means in Support of Seafarers**

- Description of the licensee's current and valid insurance coverage and financial means in the case of repatriation of seafarers and their potential financial loss
- Insurance policies including terms and conditions
- Vessel specific insurance certificates and policies (attachments).

## **Complaints Procedures**

- Describe seafarers' rights and licensee's obligations regarding complaints
- Describe the specific steps of the complaints procedures including:
  - Method of reporting
  - Specific responsibilities of individuals for managing complaints
  - Continuity of the reporting chain
  - Any specific means of reporting
  - Response times to complaints
  - Complaint escalation procedures
- Method for documenting and maintaining records of complaints
- Unresolved complaints procedures and process for reporting to Transport Canada.

## **Audit Processes**

- Overview and objectives of the licensee's audit processes applicable to SRPS
- Include audit program, if applicable
- Responsible individuals and organizations responsible for audits of SRPS activities and results
- Audit methodologies utilized
- Audit reporting processes
- Overall audit sequence of events
- Describe roles of those reviewing and responding to audit findings
- Describe how audit findings are presented to management and subsequent courses of action, including documented decisions.

## **Information Privacy and Protection (Personal Information and Electronic Documents Act)**

- Licensee's declaration of PIPEDA
- Licensee's privacy or information privacy policy
- Personal information is defined and described by the licensee
- Identification of those personnel responsible for the protection of seafarers' personal information, including collection, handling, storage, sharing and disposal of that information
- Specific actions and processes intended to protect seafarers' personal information
- Personal information sharing processes
- Duration of retention of information
- Description of how all principles of the PIPEDA are addressed (may be a separate document / annex).

## **Annexes / Appendix**

- SRPS QMS Policy Statement
- Seafarer Register
- Vessel Register
- Information Privacy Policy Statement
- Copy of the licensee's PEPIDA Declaration of Compliance.
- QMS Documentation amendments records
- Relevant certifications, e.g., ISO, applicable to SRPS
- Copies of Supervisory Staff's certificates and qualifications relevant to SRPS requirements
- Licensee's audit program
- PIPEDA.

### Transport Canada Contact Information:

Questions regarding the content or use of the QMS Guideline and Template may be forwarded to:

E-Mail: [TC.MarinePersonnelIssues-Questionspersonnelmaritime.TC@tc.gc.ca](mailto:TC.MarinePersonnelIssues-Questionspersonnelmaritime.TC@tc.gc.ca)

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