

PRE-AUDIT QUESTIONNAIRE & AUDIT CHECKLIST OF TRAINING INSTITUTIONS

Kenya Maritime Authority Act 2006

1. LIST OF ABBREVIATIONS USED

BOG	: Board of Governors	KMA	: Kenya Maritime Authority
BOM	: Board of Management	KNEC	: Kenya National Examination Council
CPAQ	: Completed Pre-Audit Questionnaire	Ministry	: Ministry of Education and Science and Technology
CPD	: Continuous Professional Development	RP	: Responsible Person, may be the Principal or other senior person designated by the TI
CRB	: Credit Reference Bureau	The Act	: Kenya Maritime Authority Act, 2006
D/RP	: Deputy or Assistant of Responsible person	Authority	: Kenya Maritime Authority
EMCA	: Environmental Management and Coordination Act	TOT	: Training of the Trainer
FY	: Financial Year	TI(s)	: Training Institution(s)
HOD	: Head of Department		
HSSE	: Health, Safety, Security & Environment		
IMDG	: International Dangerous Goods		
IMO	: International Maritime Organisation		
ISPS	: International Ship and Port Facility Security		
OSHA	: Occupational Safety and Health Act, 2007		
PAQ	: Pre-Audit Questionnaire		

2. GUIDANCE

2.1 General Rules

- (a) Additional papers and attachments may be used to provide further explanation; in such case, the attachments must be properly referenced to the particular item of the Pre – Audit Questionnaire (PAQ)
- (b) The auditor(s) will in most cases require evidentiary proof of the information provided. Such evidence will be gathered by reviewing the documents and policies provided, visiting and inspecting of training facilities and resources, and one-on-one interviewing and verifying, generally, the TI’s compliance with the requirements.
- (c) The auditor(s) may also avail themselves of the opportunity to observe ongoing education and training through classroom visits. Interviews may be conducted with the persons listed under Part 15 of the PAQ, who must be present during the audit or when required represented by their substantive deputies.
- (d) The information provided during the audit and that declared in the PAQ together with any attachments shall receive utmost confidentiality
- (e) The Responsible Person (RP) should not attempt to complete the PAQ on his/her own. It is recommended that persons responsible for the relevant parts provide the information required.
- (f) The PAQ should be completed in legible handwriting. It is however desired that the PAQ is completed by editing the pdf file
- (g) Where a Y/N answer is required, only circle the appropriate response


2.2 Time Limitation and Return of the Completed PAQ (CPAQ)

- (a) The Authority will send a hardcopy PAQ either by courier, registered mail or email softcopy.
 - (b) The RP or D/RP should acknowledge receipt of the PAQ via email and also confirm to the Authority when the CPAQ is returned; both dates should be indicated and initialled by the RP or D/RP.
 - (c) A PAQ will normally indicate the date it was sent to the TI and the date for expected return.
 - (d) The Authority will allow **five (5) working days** for a TI to complete the PAQ.
 - (e) The CPAQ together with all attachments and enclosures must be returned to the address provided below, either by personal delivery, through registered post/courier or a scanned copy may be emailed.
 - (f) The RP should retain a copy of the CPAQ of use in the audit
 - (g) The Authority will acknowledge receipt of the CPAQ and advice the TI on the scheduled date(s) of the audit
- The CPAQ should be delivered or sent to:

THE DIRECTOR-GENERAL
 Kenya Maritime Authority
 Moi Avenue (next to MSC Plaza)
 P.O. Box 95076 – 80104
 MOMBASA

Email: info@kma.go.ke

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 <p>KMA KENYA MARITIME AUTHORITY</p>	<p>ACCREDITATION OF TRAINING INSTITUTION PRE-AUDIT QUESTIONNAIRE & CHECKLIST (Section 4 Kenya Maritime Authority Act, 2006)</p>	
	<p>NAME OF TI: _____</p>	
<p>KMA SEND DATE: RETURN DATE (expected):</p>		<p>TI RECEIVED: RETURNED:</p>
<p>PART 1: GENERAL INFORMATION</p>		
.1	Name of institution-	
.2	Contact details-	
	(a) Physical address:	
	(b) Postal address:	
	(c) Email:	
	(d) Telephone:	
.3	Responsible Person:	
	(a) Name:	
	(b) Designation: <small>(to provide appointment letter during site visit)</small>	
	(c) Tenure of appointment	
	(d) State the duties of the RP	
	(e) Qualifications <small>(list both academic and professional)</small>	
.4	Deputy of Responsible Person	
	(a) Name:	
	(b) Designation: <small>(to provide appointment letter during site visit)</small>	
	(c) Tenure of appointment	
	(d) State the duties of the D/RP	
	(e) Qualifications <small>(list both academic and professional)</small>	
.5	Any other relevant information: <small>(may be provided herewith or at the time of audit)</small>	

PART 2: INSTITUTIONAL GOVERNANCE AND MANAGEMENT			OFFICIAL USE
.1	(a) Establishment <i>(state the law(s), regulation(s), circular, policy, decree or other instruction(s) under which the TI is established)</i>		
.2	Authorization(s), accreditation(s), approval(s), licensing and/or certification <i>(list all statutory and others granted/obtained)</i>		
.3	Membership/linkage with any national, regional and/or global institutions		
.4	Composition of the BOG/ BOM/Council or Senate <i>(i.e. name)</i>		
.5	Organizational structure-		
	(a) Management structure <i>(Include an organogram showing both academic and administrative organization)</i>		
	(b) State the responsibilities of the dean, HODs and Section Heads		
PART 3: PHILOSOPHY			OFFICIAL USE
.1	(a) Vision		
	(b) Mission Statement		
.3	Strategic Plan (Y/N)		
	(a) State the period of the current Plan		
	(b) State the Strategic Objectives		
	(c) Describe the current status of implementation of the Strategic Plan		
	(d) Describe the challenges of implementing the Plan		

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PART 4: QUALITY MANAGEMENT SYSTEM (QMS) (only section 4.1 to be filled; the rest will be evaluated during the site visit)			OFFICIAL USE
.1	Quality Management System <i>(Provide details such as certificate type, validity, issuing organization/Authority etc.)</i>		
.2	Management responsibility		
.3	Is there a Quality Manual (Y/N)		
.4	Periodic audits <i>(internal/external audits)</i>		
.5	Periodic review of the QMSS		
.6	Procedures for, among others:		
	(a) Employment of teaching and assessment staff		
	(b) Course enrollment		
	(c) Maintaining staff competency and training through CPD		
	(d) Health, Safety & Security and Environment <i>(refer to part 14)</i>		
	(e) Examination, assessment and certification		
	(f) Document and data control		
	(g) Records and filing		
	(h) Feedback <i>(on: course or program criteria, results from evaluation reports; trainee satisfaction; assessment/examination results; changes of qualified instructors; course objectives in relation to obtained results)</i>		
	(i) Monitoring <i>(such as designation of a person to ensure that processes needed for the QMS implemented and maintained; to report on the performance of the system)</i>		
PART 5: FINANCE AND BUDGET			OFFICIAL USE
.1	State the amount of budget for: (a). the last FY (b). current FY	(a) (b)	
.2	State the sources of recurrent income		
.3	Audited accounts for the last two (2) years <i>(only for privately owned TIs)</i>	(provide separately as attachment)	
.4	Existing commercial loans taken using any facilities of the TI as collateral <i>(only for privately owned TIs)</i>	(describe in detail)	
.5	Describe any financial difficulties that might affect training or lead to suspension of training		
.6	Existing proposals for funding additional support		

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.7	Current CRB Clearance (only for privately owned TIs)		
PART 6: COURSES AND TRAINING PROGRAMMES			
.1	State the course (s) and training programmes, the TI is applying for		OFFICIAL USE
	(a) Diploma level course		
	(b) Certificate level course		
PART 7: TEACHING & ASSESSMENT FACILITIES, EQUIPMENT AND RESOURCES			
			OFFICIAL USE
1.	Describe presentation and delivery of training in the TI		
.2	For the course listed under 6.1, provide a list the teaching & assessment facilities, equipment and resources. These include: (a) Syllabus (b) Instructor's manual (c) Trainer's manual (d) Sample Lesson plan (e) Sketches of a ship (f) Bay Plan Specimen (g) Stowage Plan Specimen (h) Loading Plan Specimen (i) Textbooks (<i>as per course/approved Syllabus</i>) (j) Boards/flipcharts (k) World Maritime Atlas (l) Computers (m) IMDG Code (n) ISPS Code (o) Other IMO Codes and Regulations (p) EMCA Act 2007	(provide separately as attachment)	
.3	Classrooms, lecture halls and other training spaces	(to be verified during the audit.; however, please provide a brief description of the currently available classrooms and/or lecture halls)	
.4	Industrial attachment (describe the TI's involvement in securing relevant industrial attachment for trainees)		
PART 8: COURSE ENTRY STANDARDS AND STUDENT INFORMATION			
			OFFICIAL USE
.1	Describe the criteria for enrolling and admitting students/participants for the courses listed under part 6.1		
PART 9: COMPETENCE OF MARITIME TEACHING STAFF			
			OFFICIAL USE
.1	Describe the process of employing teaching staff (includes recruitment and induction)		
.2	For the courses/training programmes listed under part 6.1, provide: (a) Name of lecturer/instructor	(provide separately as attachment)	

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	(b) Appointment letter for each instructor (c) Qualifications: (1) Academic (2) Professional (3) Completion of TOT Course (d) Experience (<i>teaching current course or any other previous maritime teaching experience</i>) (e) Membership of Professional body		
.5	Describe the procedure for appraisal and promotion of teaching staff		
.6	Describe the Continuous Professional Development of teaching staff, instructors, assessors and examiners		
.7	Is the TI engaged in building own capacity	Y/N (if YES, provide details separately as attachment)	
PART 10: ASSESSMENT, EXAMINATIONS AND CERTIFICATION			
			OFFICIAL USE
.1	Describe the examination and assessment procedure for the courses listed under Part 6.1, in respect of: (a) Internal examinations (b) Course work/continuous assessment (c) Project work (d) KNEC examinations (e) Industrial attachment		
PART 11: FEEDBACK			
			OFFICIAL USE
.1	(a) Procedure for course feedback	(to be verified during audit)	
	(b) Handling of complaints and follow up		
	(c) Level of trainees' satisfaction		
	(d) Benchmarking against other training providers (<i>state whether any benchmarking has been conducted</i>)		

PART 12: AUDITS INTERVIEWS		OFFICIAL USE
.1	Confirm availability of following persons for interview with the auditor(s)	
	(a) RP and/or the D/RP	
	(b) HODs/Section Heads	
	(c) Teaching and examining staff	
	(d) Students/course participants	

VERIFICATIONS:

Responsible Person	
Name	
Designation	
Signature	
Date	
Official stamp/seal	
ACTION BY KMA	
Received date	
Name	
Designation	
Official stamp/seal	
Date of audit set	
RP notified of date	
Other remarks	