
The Government Support for Maritime Training Scheme (SMarT) - Revised Arrangements from 1 August 2012 to 31 March 2015

Notice to all for merchant shipowners and managers, Masters, deck and engineering officers and ratings of merchant vessels and those concerned with maritime training.

This notice replaces MGN 431(M) and expires on 31 March 2015.

PLEASE NOTE:-

Where this document provides guidance on the law it should not be regarded as definitive. The way the law applies to any particular case can vary according to circumstances - for example, from vessel to vessel and you should consider seeking independent legal advice if you are unsure of your own legal position.

Summary

This notice describes the arrangements of the Government's financial support scheme for merchant navy training, SMarT, from 1 August 2012 to 31 March 2015. MGN 431 (M) was withdrawn on 31 July 2012. SMarT must not be claimed for individuals in receipt of any form of apprenticeship funding.

Key Changes:

1. The annual budget for each financial year from 2012/13 to 2014/15 is £12m.
2. The Government will continue to support those training for their first Certificate of Competency (CoC) under SMarT 1.
3. The Government will continue to support those training for their STCW II/4 or III/4 Watch Rating Certificate under SMarT 3 or SMarT 5 depending on the route they are following.
4. The Government will continue to support those training under the Rating to Officer route (STCW II/4 to II/1 or III/4 to III/1).
5. To ensure expenditure does not exceed £12m the payment rates have been revised and a greater proportion has been allocated to the Final Payment.

1. Introduction

- 1.1 Following the Government's independent review of the economic requirement for trained seafarers in the UK in December 2011, the Shipping Minister decided there were strong arguments in favour of retaining the SMarT scheme for the remainder of the Comprehensive Spending Review period i.e. to and including 2014/15.

- 1.2 The Shipping Minister decided to continue Government support for maritime training and set the annual budget allocation for the next three financial years at £12m.
- 1.3 This guidance document describes the SMarT scheme for merchant navy training and is effective from 1 August 2012 to 31 March 2015.

2. Background

- 2.1 SMarT is administered on behalf of the MCA by the Administering Body (AB), currently MaTSU, an independent unit of AEA Technology plc. The AB is not a policy-making body, but has an executive role in ensuring that the scheme is operated effectively.
- 2.2 MaTSU will approve the payment of public funding to approved Training Providers (TP) to support the costs of approved training up to the maximum limits below. This will be paid in arrears every four or five weeks, in accordance with the Payment Schedule drawn up by the MCA.
- 2.3 SMarT funding may be abated to take account of grants from other sources of public funding for training (abatement of SMarT will not apply where funding has been given from the Slater Fund, Marine Society, Maritime Training Trust or Millennium Scholarship Scheme).
- 2.4 Details of the eligible training programmes and funding can be found below. TPs should only claim SMarT funding for MNTB and MCA approved training programmes and centres. Distance learning programmes are not currently supported under SMarT.
- 2.5 SMarT funding must not be claimed for individuals in receipt of any form of apprenticeship funding.

3. SMarT 1

- 3.1 SMarT 1 funding is applicable to trainee officers, serving in a supernumerary capacity, who are following an approved programme that leads to a first Certificate of Competency (CoC) in one of the following capacities:
 - a. Deck Officer of the Watch Unlimited (OOW) STCW Reg II/1
 - b. Engineer Officer of the Watch Unlimited (EOOW) STCW Reg III/1
 - c. Electro-Technical Officer (ETO) STCW Reg III/6
- 3.2 Approved programmes of education and training at sea and ashore including approved training colleges can be found in Annex 1. Information on any new or withdrawn programmes will be available on the MNTB website.
- 3.3 Payments have been reconfigured to allow for a greater proportion to be made by way of an 'outcome payment' referred to as the Final Payment. This payment can be claimed after the trainee has obtained their first CoC. The revised weekly instalment rates will be:
 - a. **From 1 August 2012¹:**
 - i. First year trainees (weeks 1-50): **£80** per instalment
 - ii. Second and third year trainees (weeks 51-150) **£110** per instalment
 - iii. Final Payment: **£2950**

¹ Although rates officially change from 1 August 2012, TPs may claim the new rates from Monday 30 July 2012.

- iv. Adult entry trainee engineer (with a Letter of Initial Assessment): 50 instalments at the higher rate of **£110** per instalment.

b. From 1 August 2013² onwards:

- i. First year trainees (weeks 1-50): **£80** per instalment
 - ii. Second and third year trainees (weeks 51-150): **£100** per instalment
 - iii. Final Payment: **£2950**
 - iv. Adult entry trainee engineer (with a Letter of Initial Assessment): 50 instalments at the higher rate of **£100** per instalment.
- 3.4 Trainee officers who have enrolled on the Foundation Degree, Honours Degree, HND, or Scottish Diploma must complete the full training programme (shore-based and sea-based elements) together with full completion of their Training Record Book in order to gain a CoC. The TP will then be able to claim the Final Payment.
- 3.5 SMarT may be claimed for each eligible trainee for a maximum of 150 instalments **unless** the trainee is either issued with their first CoC in less than 150 weeks or where the trainee ceases training for any reason. Where the trainee gains their CoC in less than 150 weeks the TP may claim SMarT 1 up to and including the week before the issue date of the CoC plus the Final Payment.
- 3.6 The TP must make every effort to check whether SMarT has already been claimed by another TP for each trainee as part of their recruitment procedures. Evidence must be retained by the TP as this will be checked at audit. Where SMarT has been claimed in full by another TP, no further SMarT funding will be payable. However, where only some SMarT has been paid, the TP may claim the remaining instalments (up to a maximum of 150) to enable the trainee to continue their training.
- 3.7 If a trainee ceases training for any reason the TP must stop claiming SMarT funding for them with immediate effect. The TP will not be eligible to claim the Final Payment.
- 3.8 SMarT may only be claimed for once in each college phase for each eligible trainee. If a trainee has to repeat any phase of their training the TP must not claim SMarT again for the repeated phase.
- 3.9 When claiming the Final Payment copies of the CoCs must be kept on file. In the event it is not possible to obtain a copy of the CoC TPs may email the MCA for confirmation it has been issued. Since the SMarT database is anonymous emails must not be sent to the SMarT team. The following procedure should be used:
- a. Send the email to seafarer.finance@mcga.gov.uk
 - b. Title the email: "Confirmation of SMarT Final Payment"
 - c. Provide names, dates of birth and CoC type.

The Seafarer Finance team will confirm if those trainees are eligible to claim the Final Payment. The confirmation replies must be kept on file for audit.

- 3.10 SMarT funding must not be claimed for individuals in receipt of any form of apprenticeship funding.

4. SMarT 2

² Although rates officially change from 1 August 2013, TPs may claim the new rates from Monday 29 July 2013.

4.1 SMarT 2 funding was available for officers training towards their second Certificate of Competency. Funding under SMarT 2 is no longer available and therefore TPs cannot submit any claims under this category.

5. SMarT 3

5.1 Funding under SMarT 3 is available for the shore-based elements for ratings training, ratings to officer conversion training, parts of the training leading to Deck OOW <500gt Near Coastal (STCW Reg III/3) and Adult Entry trainee engineer leading to Engineer Officer of the Watch (STCW Reg III/1). Funding is available for courses approved by the MCA in accordance with MNTB guidelines for seafarers wishing to obtain one of the following:

- a. Navigational Watch Rating certificate, STCW Reg II/4
- b. Engine Room Watch Rating certificate, STCW Reg III/4
- c. Deck Officer of the Watch <500gt Near Coastal STCW Reg II/3
- d. Rating to Officer upgrading courses for experienced seafarers (i.e. not those following Marine Apprenticeship programmes) serving in either the engine room or deck department (see Annex 2)
- e. Adult entry trainee engineer officer training scheme (engineer graduates, shore trained engineering craft apprentices and ex-service personnel) (see Annex 2)

5.2 The funding rate is set for each course based on surveys of course fees conducted by the MCA. The current rates are included on the monthly SMarT claim form available from the AB. Courses may only be claimed for once per individual trainee. SMarT must not be claimed where the trainee is in receipt of apprenticeship funding.

5.3 The courses that may be claimed for each training route can be found in Annex 2.

5.4 There are two routes of training leading to a Navigational (STCW Reg II/4) Watch Rating Certificate or an Engine-Room (STCW Reg III/4) Watch Rating Certificate:

- a. For the first route, funding for the four basic STCW basic safety training courses may be claimed under SMarT 3. The trainee ratings will be required to complete at least six months sea service whilst completing the Record of Training (see MIN 303 or subsequent update); however this sea service is not eligible for SMarT funding.
- b. For the second route, whereby the trainee follows a MNTB/MCA approved training programme, funding may be claimed under SMarT 5 (see paragraph 7). Trainees must fully complete a Training Record Book whilst undertaking this programme. Please note that SMarT will only be payable where the trainee intends to obtain either a Navigational (STCW Reg II/4) or Engine-Room (STCW Reg III/4) Watch Rating Certificate at the start of their training. MSF 4392 Pro-forma for Ratings Training in Annex 4 should be completed and retained as it will be checked at audit.

5.5 The four STCW basic safety training courses may not be claimed concurrently with the MNTB approved training programme leading to a Watch Rating certificate under SMarT 5. SMarT funding must not be claimed for individuals in receipt of any form of apprenticeship funding.

5.6 The required short courses for **Deck OOW <500gt Near Coastal** CoC may be claimed under SMarT 3 (see Annex 2). No funding is available for the elements that are not MNTB/MCA approved, including sea service. SMarT funding must not be claimed for individuals in receipt of any form of apprenticeship funding.

- 5.7 Funding is available for the shore-based elements of the **Rating to Officer conversion** training (see Annex 2). The sea service element is funded under SMarT 5 as per previous years. SMarT funding must not be claimed for individuals in receipt of any form of apprenticeship funding.
- 5.8 Funding is available for the MNTB Workshop Skills (O) for **Adult Entry trainee engineers** training for Engineer OOW (STCW Reg III/1). The sea service element is funded under SMarT 1 (see paragraph 3.3.a. iv and 3.3 b. iv for the instalment rates) as per previous years. SMarT funding must not be claimed for individuals in receipt of any form of apprenticeship funding.

6. SMarT 4

- 6.1 SMarT 4 funding in previous years was available for shore-based training for officers revalidating their CoCs from STCW 78 to STCW 78, as amended. Funding under SMarT 4 is no longer available therefore TPs cannot submit any claims under this category.

7. SMarT 5

- 7.1 Funding under SMarT 5 is available for those following the second possible route for ratings training (see paragraph 5.4) and for parts of the Ratings to Officer conversion training. The sea-based element of training will be approved only for those who have been signed on in a **training capacity**, i.e. supernumerary (documentary evidence will be required for audit purposes). The grant will be abated proportionately if trainees are used as regular crew members for any periods of training.
- 7.2 Trainee ratings completing the MNTB approved training programme leading to a Navigational (STCW Reg II/4) or Engine Room (STCW Reg III/4) Watch Rating Certificate will be eligible for funding for up to 12 weeks i.e. the first two stages of the approved four-stage programme leading to Able Seafarer (Deck) and Able Seafarer (Engine).
- 7.3 Please note that SMarT will only be payable if the trainee has enrolled on either the Navigational (STCW Reg II/4) or Engine Room (STCW Reg III/4) Watch Rating course at the start of their training. MSF 4392 Pro-forma for Ratings Training in Annex 4 must be completed and retained as it will be checked at audit. However, SMarT will **not** be payable where the trainee enrolls on the full four-stage MNTB approved Able Seafarer course at the start of their training as this will attract apprenticeship funding. Funding will be at the **lower** instalment rate of SMarT 1 which should be claimed under SMarT 5 and in accordance with the payment schedule. This may not be claimed concurrently with SMarT 3 funding. SMarT funding must not be claimed for individuals in receipt of any form of apprenticeship funding. The training period is broken down into two stages:
- a. Stage 1: completion of the four STCW basic safety training courses and Watch Rating underpinning knowledge and assessment (plus workshop skills for engineers)
 - b. Stage 2: completion of at least two months sea service and a Training Record Book
- 7.4 Trainee ratings completing the MNTB approved training programme leading to a General Purpose Rating Certificate (Deck and Engineering) will be eligible for funding up to a maximum of 23 instalments. i.e. the first two stages in each discipline of the approved four-stage programme leading to Able Seafarer (Deck) and Able Seafarer (Engine). MSF4392 Pro-forma for Ratings Training in Annex 4 must be completed and retained as it will be checked at audit.

Funding will be at the **lower** instalment rate of SMarT 1 which should be claimed under SMarT 5 and in accordance with the payment schedule. This may not be claimed concurrently with SMarT 3 funding. The training period is broken down into four parts:

- a. Part 1: completion of the four STCW basic safety training courses and Watch Rating underpinning knowledge and assessment (Deck)³ [4 weeks]
- b. Part 2: completion of at least two months (Deck) sea service [8 weeks] and Training Record Book
- c. Part 3: completion of Watch Rating underpinning knowledge, assessment and workshop skills (Engine) [3 weeks]
- d. Part 4: completion of at least two months (Engine) sea service [8 weeks] and Training Record Book

Where a trainee undertakes training to become a Watch Rating as part of a programme leading to an Able Seafarer (AB) certificate that attracts apprenticeship funding, SMarT must not be claimed. Any TP found to be claiming both SMarT and apprenticeship funding for the same trainee must repay all SMarT monies claimed.

7.5 Trainees completing the **Rating to Officer** upgrading course will be eligible for funding under SMarT 5 during the sea service period of their training. Funding will be at the **higher** instalment rate for SMarT 1 for a maximum of 26 instalments. SMarT funding must not be claimed for individuals in receipt of any form of apprenticeship funding.

8. Trainee Eligibility

8.1 To be eligible for SMarT funding, a trainee must be:

- a. a national of a Member State of the European Economic Area, the Channel Islands or the Isle of Man; (evidence i.e. a certified copy⁴ of the trainee's passport, National ID card or Discharge Book where these clearly state nationality, should be kept on the TP's file)
- b. ordinarily resident⁵ in England/Wales/Scotland/Northern Ireland (support under SMarT will not be paid in respect of overseas nationals who are subject to

³ Although Deck has been listed first, trainees may commence Engine training first if appropriate.

⁴ Copies can be certified by a Consul, Notary Public, Solicitor, MCA Marine Office, Issuing Authority, Training Provider, College Lecturer or the Master of the vessel. The original documentation should be copied by the person certifying, who should endorse the copy as "Certified true copy", state their name, address and occupation and finally sign and date.

⁵ This criterion is fact specific. It could be demonstrated by having been ordinarily resident in the UK for about a year at the time of original application made to the SMarT TP. Other examples may be considered on a case by case basis. Cases where ordinary residency is established in a shorter period could include where the trainee either owns a property in the UK or has close family ties to the UK. In exceptional cases where a particularly strong connection to the UK is established by a non-resident, the residency requirement may be waived – an example could be a UK national living overseas with parents serving in the UK armed forces. Documentary evidence will be required for all applicants. The MCA's decision on whether the criterion is met or is to be waived in respect of an application is final. In cases where it is unclear whether the criterion is met or could be waived, TPs should contact the MCA for advice.

employment restrictions and/or a time limit on their stay). This requirement must be met by all applicants who are qualifying nationals under paragraph 8.1 a, including nationals of the UK. Evidence of residency⁶ e.g. an original or photocopy of any official letter showing the trainee's UK address, should be retained on the TP's file

- c. proficient in spoken and written English and must state an intention to be ordinarily resident in the UK following completion of their training.

9. Training arrangements

9.1 TPs must provide a financial forecast including the number of training places for trainees on approved training programmes. The TP is responsible for:

- a. ensuring that where a SMaRT grant is claimed, the trainee is eligible under the terms of paragraph 8.1
- b. issuing each eligible trainee (where training lasts more than 25 days) with a written training agreement under the relevant SMaRT category. The agreement will describe the full details of the training programme to be undertaken, the outcome to be achieved, and the dates and location of training. The TP will agree to provide vocational education and training from induction to completion of a trainee's approved training programme. The agreement will be completed and signed by all parties concerned at the start of training and a copy must be retained on file by the TP. Written consent from a parent or guardian to the terms of the agreement must be obtained in respect of trainees under the age of 18
- c. obtaining one of the following (where training lasts less than 25 days):
 - i. completed MSF 4387 Pro-forma for Training Undertaking from Annex 3, or
 - ii. a copy of the course completion certificate.

The TP can claim for payment after one of the above has been received which must be retained on file as evidence that the trainee has attended and successfully completed the course.

- d. nominating for each trainee a **Training Officer** who is responsible for:
 - i. monitoring the progress of the trainee throughout the approved training programme. This includes the completion of their Trainee Record Book (TRB) through liaison with the Master and Designated Shipboard Training Officer when the trainee is at sea
 - ii. maintaining individual records of training for each trainee including confirmation of attendance and completion of each shore-based and sea element (where applicable) of training
 - iii. maintaining continuity and co-ordination throughout the scheme
 - iv. providing guidance as required and ensuring that all parties involved in the provision of the approved training programme fulfil their obligations

⁶ Support under SMaRT is not intended for those trainees who normally reside outside of the UK and come to the UK solely for the purposes of training.

- e. nominating a **Liaison Officer**, who may be the Training Officer, to co-ordinate and provide any information in respect of trainees that may be requested by the AB or MCA under the requirements of the scheme.
- f. appointing a **Designated Shipboard Training Officer⁷ (DSTO)** for every period of shipboard training undertaken by each trainee. The DSTO is responsible for:
 - i. organising the practical training at sea.
 - ii. ensuring in a supervisory capacity that the Training Record Book is properly maintained.
 - iii. ensuring that appropriate opportunities are made available for the collection of evidence of vocational competence.
 - iv. ensuring that all other requirements of the scheme are fulfilled.
 - v. ensuring that the time the trainee spends aboard ship is put to best use in terms of training and experience and is consistent with the objectives of the particular phase of the training programme and the operational constraints of the vessel.
- g. The DSTO must be the holder of an MCA accepted CoC. TPs must obtain a copy of the DSTO's CoC for audit purposes. Where the vessel is registered to the UK a copy of the DSTO's CoC is not required since it is a requirement to hold either a UK CoC or Certificate of Equivalent Competency (CEC) and, in the case of CEC holders, the MCA will have already verified the authenticity of the certificate⁸.
- h. The TP should bear in mind, when appointing a DSTO that this officer must have knowledge of UK Legal and Administrative Processes (UKLAP). This knowledge should, at least, be equivalent to the UKLAP Grade 2 syllabus which can be found in Annex 3 of MIN 340.
 - i. If the DSTO holds a management level UK CEC this will be satisfactory since they will have completed either a UKLAP exam or an Adaptation Period Report as per the UK CEC requirements.
 - ii. If the DSTO holds an operational level UK CEC or an accepted non-UK CoC, evidence of their UKLAP knowledge will be required at audit (except for Irish CoCs which are acceptable). Such evidence should consist of one of the following:
 - a company file note confirming the DSTO has completed an in-house assessment to Grade 2 level and that the officer is found to be competent, or
 - a completed Adaptation Period Report, or
 - a UKLAP examination pass certificate issued by the MCA or Scottish Qualifications Authority (SQA).

⁷ Formerly for SMarT purposes was referred to as Designated Seagoing Officer (DSO)

⁸ This applies to UK flagged vessels only. It does not extend to Red Ensign Group or EEA flagged vessels.

- iii. UKLAP reference material and a complete set of MCA M Notices must be available to the cadets on board ship and these may be stored electronically. Accepted UKLAP reference material includes Shipmaster Business Companion⁹ (and annual supplements) by Malcolm Maclachan, and Business and Law Self-Examiner for Deck Officers by Malcolm Maclachan, or alternatively TPs may download “A Master’s Guide to the UK Flag” available from the MCA’s website¹⁰.
 - iv. A list of countries whose CoCs are accepted can be found on our website www.dft.gov.uk/mca under: Home> Working at Sea> Training and Certification> Certificate of Equivalent Competency.
 - i. ensuring that sufficient places at sea (where applicable) and ashore are available for trainees at all relevant times.
 - j. ensuring that all relevant Health and Safety and employment legislation is complied with in respect of all trainees for whom support is claimed.
- 9.2 The TP has the overall responsibility of monitoring each trainee’s progress throughout their training and ensuring that their Training Record Book is fully completed in a timely manner and not left until the end of training. If a trainee fails to demonstrate satisfactory progress towards the training objectives set out in the training agreement the trainee should have his or her deficiencies brought to their immediate attention by the TP. The trainee should be given a reasonable period of time to achieve satisfactory progress. If satisfactory progress is not achieved the TP should notify the trainee and the AB and cease to claim payment in respect of that trainee.
- 9.3 During those periods of shipboard training and collection of evidence of vocational competence it is the responsibility of the Master to provide the link between the DSTO aboard ship and the Training Officer ashore.

10. Training at Sea

- 10.1 Each TP, acting alone or in participation with other relevant organisations, is responsible for the provision and quality of shipboard training of trainees. Under European State Aid rules, any training at sea can only be supported if it is undertaken in a supernumerary capacity. The TP must report any period of a trainee’s sea time not completed in a supernumerary capacity. Funding will be abated accordingly.
- 10.2 Training undertaken at sea should, where possible, be carried out on UK registered vessels. In the event this is not possible due to the shortage of suitable berths, training may be carried out on vessels registered within the European Economic Area¹¹ or Red Ensign Group¹². In exceptional circumstances a TP may apply to the MCA by submitting MSF 4385 in Annex 4 for written permission to use vessels of another flag. In this instance the MCA must be satisfied that the training environment and Port State Control (PSC) history is acceptable. Applications must be made before the trainee(s) join a vessel and not afterwards.

⁹ The Ship Masters Business Companion is currently out of date and should be renewed within the term of this MGN.

¹⁰ A copy of “A Master’s Guide to the UK Flag” can be downloaded from:
http://www.dft.gov.uk/mca/mca_masters_guide_2009_full.pdf

¹¹ European Economic Area: all EU countries plus Norway (excluding NIS), Iceland and Lichtenstein.

¹² Red Ensign Group: Bermuda, Cayman Islands, Isle of Man, Gibraltar, Anguilla, British Virgin Islands, Falkland Islands, Guernsey, Jersey, Montserrat, St Helena, Turks and Caicos Islands.

- 10.3 Any vessels listed as having excessive rates of PSC deficiencies and/or detentions will not generally be accepted. Any approval granted will be for a maximum of three years, after which approval will be reviewed. Any vessels listed as having a variable PSC history will be considered for a shorter term approval. Where vessels have been rejected they must show an improvement in PSC if they are to be reconsidered for approval. The MCA reserves the right to reject or withdraw approval for any vessel of any flag.
- 10.4 If excessive rates of PSC deficiencies and/or detentions are reported for any UK, European Economic Area, Red Ensign Group registered or any other approved vessel, the MCA may withdraw approval for the vessel to be used for training purposes. In which case, TPs will be contacted by the MCA to arrange for any trainees on board to be removed. TPs should then complete application form MSF 4385 in Annex 4 for approval. The MCA reserves the right to reject or withdraw approval for any vessel of any flag.
- 10.5 Any approval for newly built vessels with no PSC history will be for 12 months and will be reviewed at the end of that period.
- 10.6 Any approval that is granted for vessels classed as tankers (oil, chemical and liquefied gas) will be for three years maximum (as per 10.3) or for one year when the vessel reaches 10 years of age. In the circumstance that no PSC history can be found for oil tankers temporary approval may be granted and Oil Companies International Marine Forum (OCIMF) reports must be supplied to the MCA.
- 10.7 When vessels are being considered for training trainees under the SMarT scheme the TP must ensure that:
- a. vessels used for training provide an appropriate and safe environment for the trainees
 - b. the Designated Shipboard Training Officer (DSTO) is appropriately qualified as per 9.1 g and h
 - c. the working language of the vessel is English or part English
 - d. they provide comprehensive written guidance to the Master, Chief Engineer, DSTO and other officers on the structures of MNTB approved training programmes and the part they are expected to play in delivery and supervision of on-board training. This does not apply if the Master, Chief Engineer, other officers and DSTO have attended a familiarisation course or a briefing at a UK college or with the TP
 - e. trainees are briefed by the TP before joining the vessel
 - f. UKLAP Grade 1 reading material is held on board the vessel (see MGN 221)
 - g. arrangements have been made with the company for an on board induction when trainees are first appointed to the vessel
 - h. if female trainees are to be appointed that the vessel provides for female-only accommodation, separate washing facilities and toilets (where possible), and provision of sanitary products¹³. It is desirable that telephones are installed in female accommodation.

¹³ It is envisaged that vessel operators would keep a stock onboard for emergency use only. Female trainees would be expected to provide their own sanitary products.

10.8 Every effort must be made to ensure that first trip trainees are not the only trainees of their own nationality on board. In some circumstances this is not always possible therefore the DSTO must ensure that extra support is provided whilst the trainee is on board.

11. Records and Audits

11.1 Each TP will be required to adhere to the terms and conditions within their signed TP's Agreement.

11.2 The SMarT scheme audit process will remain generally unchanged. However, random spot check audits will be introduced during 2012/13 which will be looking at trainee weeks claimed from start of training to completion. A TP must at all times maintain clear (legible), accurate, up to date and easily accessible records in respect of its trainees, financial and all other obligations under SMarT and their TP Agreement. These records must be kept for seven years after the completion of training and they may be kept in electronic format (but must be legible and easily accessible).

11.3 TPs are required to maintain the following records:

- a. A copy of each trainee's written training agreement giving full details of the approved training programme in respect of which SMarT funding is claimed
- b. Accounts relating to the receipt of payments in respect of each trainee from SMarT and any other source.

11.4 TP records must at all times be available for audit as required by the AB, the Secretary of State for Transport (SoST), any officer authorised to act on the SoST's behalf and the National Audit Office. The TP must ensure that the auditors from these organisations have unrestricted access to such records as required.

11.5 All records must be:

- a. held in duplicate and both copies of records stored in a manner that protects them against destruction by one single event
- b. secured against theft or unauthorised interference
- c. in the case of electronic records, stored on a secure system which cannot be accidentally deleted.

11.6 The TP must ensure that it (or its nominee if appropriate) is available for audit as required and must participate in those audits according to the auditing body's instructions and requirements. Such an audit may include some or all of the following:

- a. attendance and participation in the audit by TP staff
- b. provision of information and documentary evidence as required by the auditing body, both during and after the audit as required
- c. completion of any required actions noted during the audit
- d. closure of the audit, including completion of required actions to the satisfaction of the auditing body, by the named date.

- 11.7 TPs that are no longer eligible to claim SMarT funding will be contacted by the AB to arrange a close-out audit.
- 11.8 A programme of audits will be agreed in advance with the AB and MCA. This will be confirmed to TPs prior to the beginning of the audit visits.
- 11.9 If a TP cancels an audit for any reason they may be liable for any costs that have been incurred by the AB, e.g. travel and accommodation. A final decision will be made by the MCA.
- 11.10 Any retrieval costs incurred for documents requested for audit purposes will be payable by the TP.

12. Grievance and Disciplinary Procedure (between trainee and TP)

- 12.1 TPs should ensure that in matters relating to grievances or discipline connected with their training:
- a. trainees have access at all times to clear written grievance and disciplinary procedures and,
 - b. the provisions of these procedures and the way in which they are carried out are fair and reasonable.
- 12.2 TPs should also ensure that the AB is notified of any serious disciplinary action affecting a trainee's training agreement resulting in the immediate dismissal or suspension of the trainee from the scheme.

13. New Training Providers

- 13.1 Generally, there is no provision to allow new companies to join the SMarT scheme as a new Training Provider subject to 13.4 below. Where a TP is acting on behalf of other eligible companies (consortium) generally there is no provision to allow new client companies to join the scheme. Existing client companies who are part of a consortium may not become a TP in their own right.
- 13.2 If a TP, acting on behalf of other eligible companies (consortium), loses a client company the TP must notify the AB. The TP may transfer sponsorship to a replacement client company on a like-for-like basis i.e. sponsoring the same number of trainees in each SMarT category. The TP must contact the MCA for approval before transferring sponsorship and accepting any new client companies for which SMarT funding will be claimed.
- 13.3 If an existing consortia company transfers to another TP, the MCA must be notified in advance. The former TP cannot replace the consortia company or recruit any further trainees for the purposes of SMarT training.
- 13.4 The MCA reserves the right to choose to allow new Training Providers and/or new client companies to join the SMarT scheme where:
- a. the number of new trainees reduces significantly or
 - b. a TP leaves the scheme and their trainees cannot be accommodated by the remaining TPs in the scheme.

13.5 To be eligible for receipt of payment under SMarT a TP must:

- a. be an organisation based in, or a body corporate incorporated in, the European Economic Area (EEA), the Isle of Man or the Channel Islands;
- b. have entered into a written Training Provider's agreement with the MCA undertaking to provide training places for eligible trainees; and
- c. be able to provide and monitor the training opportunities necessary for trainees to meet the requirements of the relevant approved training programmes leading to a first UK CoC or other qualification eligible under the scheme.

14. Unemployed Trainees

14.1 Unemployed trainees wishing to train as either (i) a Rating or (ii) a Rating to Officer, may apply for funding through the Merchant Navy Training Provider (MNTP). The MNTP will administer the grant on their behalf and applications for funding should be made before the course starts. However SMarT funding may be payable provided an applicant registers an interest to the MNTP before overall training has been completed.

14.2 Unemployed trainees must sign a declaration to state that they are unemployed on the start date and for the duration of the course for which they have applied for funding.

14.3 Unemployed applicants in this category should apply to:

The Merchant Navy Training Provider (MNTP)
12 Carthusian Street
London
EC1M 6EZ
Tel: 0207 417 2800
Fax: 0207 417 2080
e-mail: smart@mntb.org.uk
Website Address: <http://www.mntb.org.uk/>

15. Contact us

15.1 SMarT is currently administered by MaTSU and if you would like further information you may contact them at:

The SMarT Administrator
MaTSU
The Gemini Building
Fermi Avenue
Harwell
Didcot
OX11 0QR

Tel: 0870 190 6169
e-mail: smart-mca-enquiries@aeat.co.uk

15.2 You may also contact the MCA SMarT team at:

SMarT Team
Seafarer Training and Certification
Maritime and Coastguard Agency
Bay 1/21

Spring Place
105 Commercial Road
Southampton
SO15 1EG

Tel: 023 8032 9183/381/280
e-mail: smart@mcga.gov.uk

More Information

Seafarer Training and Certification
Maritime and Coastguard Agency
Bay 1/21
Spring Place
105 Commercial Road
Southampton
SO15 1EG

Tel : +44 (0) 23 8032 9231
Fax : +44 (0) 23 8032 9252
e-mail: smart@mcga.gov.uk

General Inquiries: infoline@mcga.gov.uk

MCA Website Address: www.dft.gov.uk/mca

File Ref: MC 12/55/12

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Safer Lives, Safer Ships, Cleaner Seas

*An executive agency of the
Department for
Transport*

Approved Training Programmes and Training Colleges Leading to a First Certificate of Competency

| | HNC/D in Nautical Science | HNC/D in Marine Technology/ Engineering ¹⁴ | FD or SD in Nautical Science | FD or SD in Marine Technology/ Engineering | Honours Degree ¹⁵ | FD in Marine Electrical Systems (ETOs) | Adult Entry Trainee Engineer ¹⁶ |
|--|---------------------------|---|------------------------------|--|------------------------------|--|--|
| Blackpool and the Fylde College | ✓ | | ✓ | ✓ | | | |
| City of Glasgow College | ✓ | ✓ | ✓ | ✓ | | | ✓ |
| Lairdside Maritime Centre | | | ✓ | | | | |
| Liverpool John Moores University | | | | | ✓ | | |
| Shetland School of Nautical Studies | ✓ | ✓ | | | | | ✓ |
| Southampton Solent University | | | | | ✓ | | |
| South Tyneside College | ✓ | ✓ | ✓ | ✓ | | ✓ | ✓ |
| University of Plymouth | | | ✓ | | ✓ | | |
| Warsash Maritime Academy | ✓ | ✓ | ✓ | ✓ | | | ✓ |

¹⁴ Or Mechanical Engineering with specialist marine subjects.

¹⁵ In conjunction with a college. TPs should check with the university/college which degree courses are approved.

¹⁶ Payment will be made on a weekly basis equal to the actual number of weeks spent training, up to a maximum of 50 weeks at the SMaT 1 higher rate. MNTB Workshop Skills (O) may be claimed separately under SMaT 3.

Approved Training Courses Eligible for SMaT 3 Funding

| | STCW Reg | Navigational Watch Rating, STCW Reg II/4 | Engine Room Watch Rating, STCW Reg III/4 | Navigational Watch Rating to II/1 OOW Deck | Navigational Watch Rating to II/3 OOW Deck | Engine Room Watch Rating to III/1 OOW Engineering | Adult Entry trainee engineer to III/1 OOW Engineering | OOW Deck <500gt NC STCW Reg II/3 |
|--|----------|--|--|--|--|---|---|----------------------------------|
| Personal Survival Techniques | A-VI/1-1 | ✓ | ✓ | | | | | ✓ |
| Fire Prevention and Fire Fighting | A-VI/1-2 | ✓ | ✓ | | | | | ✓ |
| Elementary First Aid | A-VI/1-3 | ✓ | ✓ | | | | | ✓ |
| Personal Safety and Social Responsibility | A-VI/1-4 | ✓ | ✓ | | | | | ✓ |
| Proficiency in Survival Craft & Rescue Boats | A-VI/2-1 | | | ✓ | ✓ | ✓ | | ✓ |
| Advanced Fire Fighting | A-VI/3 | | | ✓ | ✓ | ✓ | | ✓ |
| Medical First Aid | A-VI/4-1 | | | ✓ | ✓ | ✓ | | ✓ |
| Navigation Aids and Equipment Simulator Training (NAEST) (O) ¹⁷ | A-II/1 | | | ✓ | ✓ | | | ✓ |
| GMDSS General Operator's Certificate (GOC) | A-IV/2 | | | ✓ | | | | |
| GMDSS Restricted Operator's Certificate (ROC) | A-IV/2 | | | | ✓ | | | ✓ |
| Signals Certificate | A-II/1 | | | ✓ | ✓ | | | ✓ |
| Efficient Deck Hand (EDH) | - | | | ✓ | ✓ | | | ✓ |
| MNTB Engineering Workshop Skills (O) ¹⁸ | - | | | | | ✓ | ✓ | |
| Upgrading course ¹⁹ (Rating to OOW conversions) | - | | | ✓ | | ✓ | | |

¹⁷ Formerly referred to as Navigation, Radar and ARPA Simulation Training (NARAS) (O)

¹⁸ Payment will be made on a weekly basis equal to the actual number of weeks spent training, up to a maximum of 24 weeks.

¹⁹ Payment will be equal to the actual number of days in training. Payment will be made in 5 instalments of 4 weeks each and 1 instalment of 6 weeks, up to a maximum of 26 weeks.

TRAINING UNDERTAKING

(for seafarers undertaking approved short courses of 25 days or fewer, supported under SMarT 3)

OPTIONAL

Please complete in CAPITALS

Full name of Trainee:

Date of Birth:

Nationality:

Home Address*:

Discharge Book number:

Name of college:

Name of course:

Start date of course:**End date of course:**

I confirm that I have attended the training programme as detailed above.

Signature of trainee:**Date:**

I confirm that the trainee has attended the training programme as stated above.

Signature of college representative:**Date:**

Name of college representative:

I confirm that the trainee is has attended the training programme as stated above.

Signature of SMarT Training Officer:**Date:**

Name of SMarT Training Officer:

Name of Training Provider:

This form must be completed and signed, or a course completion certificate obtained, before a claim for SMarT funding can be made

* This must be an address where the trainee is ordinarily resident in the UK.

TRAINING UNDERTAKING

(for seafarers undertaking approved training towards a Watch Rating Certificate, supported under SMarT 5)

MANDATORY

Please complete in CAPITALS

Full name of Trainee:

Date of Birth:

Nationality:

Home Address:

Discharge Book number:

Name of college:

Name of course:

Start date of course:

End date of course:

Dates at sea (sea-based element of training):

I confirm that:

1. I have attended the training programme as detailed above towards a Navigational (STCW Reg II/4) / Engine-Room (STCW Reg III/4) / General Purpose (STCW Reg II/4 & III/4)* Watch Rating Certificate. (*please delete as appropriate); and
2. I have not been in receipt of apprenticeship funding

Signature of trainee:

Date:

I confirm that the trainee has attended the training programme as stated above and no apprenticeship funding has been claimed for this trainee.

Signature of college representative:

Date:

Name of college representative:

I confirm that:

1. The trainee has attended the training programme as stated above;
2. The trainee undertook the sea-based element of training in a supernumerary capacity; and
3. No apprenticeship funding was claimed on behalf of the trainee

Signature of SMarT Training Officer:

Date:

Name of SMarT Training Officer:

Name of Training Provider:

This form must be completed and signed, or a course completion certificate obtained, before a claim for SMarT funding can be made.

*This must be the address where the trainee is ordinarily resident in the UK.

**Application for the Assessment of the Suitability of Ships for Onboard Training as
Part of Approved Training Programmes with SMarT Funding**

Training Provider name _____ Date _____

Vessel name* _____
 IMO number _____
 Flag _____
 Vessel type _____

**more than one ship may be listed if the declaration applies equally*

Ship operator name
(if different to TP) _____
 Address _____

 Town/City _____
 County/State _____
 Post Code _____
 Country _____

MCA use only

| Decision taken | Signed | Date |
|----------------|--------|------|
| | | |

I declare that I have read MGN 455 and:

- a. the working language of the vessel(s) is English or part English;
- b. the Designated Shipboard Training Officer(s) is appropriately qualified as per 9.1 g and h of MGN 455;
- c. UKLAP Grade 1 reading material is held on board;
- d. the Master(s) and officers are familiar with the structure of MNTB training programmes and their roles in delivery and supervision of on-board training;
- e. the trainees have/will be briefed before joining the vessel(s);
- f. the trainees will have an on-board induction when they join the vessel(s) for the first time;
- g. if female trainees are to be appointed that the vessel(s) provides suitable berths.

Signature

Name

Position

MCA use only

Port State Control History

| Deficiencies | Tick |
|--|------|
| a) 0 deficiencies in the last 12 months | |
| b) 1-10 deficiencies or fewer in last 12 months | |
| c) 11-20 deficiencies in last 12 months | |
| d) 20 or more deficiencies in the last 12 months | |
| e) no PSC history in last 12 months | |

| Detentions | Tick |
|---|------|
| a) 0 detentions in the last 24 months | |
| b) 1 detention in the last 24 months | |
| c) 2 detentions in the last 24 months | |
| d) 3 or more detentions in the last 24 months | |
| | |

Available funding for training towards STCW Ratings and Officer Qualifications

| Qualification | DECK OFFICER OF THE WATCH (STCW Reg II/1) | |
|-----------------|---|--|
| Route | MNTB approved training programme | Experienced Seafarer |
| Details | New Entrant | Navigational Watch Rating (Reg II/4) to OOW (Reg II/1) |
| Claimable under | SMarT 1 | SMarT 3 |
| Funded Elements | <ul style="list-style-type: none"> • 50 weeks at SMarT 1 lower instalment rate • Up to 100 weeks at SMarT 1 higher instalment rate • Final Payment claimable on issue of Certificate of Competence | <p>8 Short Courses:</p> <ul style="list-style-type: none"> • Proficiency in Survival Craft & Rescue Boats (A-VI/2-1) • Advanced Fire Fighting (A-VI/3) • Medical First Aid (A-VI/4-1) • Navigation Aids and Equipment Simulator Training* (NAEST) (O) (A-II/1) • GMDSS General Operator's Certificate (GOC) (A-IV/2) • Signals Certificate (A-II/1) • Efficient Deck Hand • Upgrading Course - up to 26 weeks funding at current rate, claimable in 6 instalments |

* Formerly referred to as Navigation, Radar and ARPA Simulator Training (NARAS) (O)

| Qualification | DECK OFFICER OF THE WATCH <500gt NEAR COASTAL (STCW Reg II/3) | |
|-----------------|---|--|
| Route | MNTB approved training | Experienced Seafarer |
| Details | No funding is available for non MNTB/MCA approved elements of training | Navigational Watch Rating (Reg II/4) to OOW (Reg II/3) |
| Claimable under | SMarT 3 | SMarT 3 |
| Funded Elements | <p>11 Short Courses:</p> <ul style="list-style-type: none"> • Personal Survival Techniques (A-VI/1-1) • Fire Prevention and Fire Fighting (A-VI/1-2) • Elementary First Aid (A-VI/1-3) • Personal Safety and Social Responsibility (A-VI/1-4) • Proficiency in Survival Craft & Rescue Boats (A-VI/2-1) • Advanced Fire Fighting (A-VI/3) • Medical First Aid (A-VI/4-1) • Navigation Aids and Equipment Simulator Training* (NAEST) (O) (A-II/1) • GMDSS Restricted Operator's Certificate (ROC) (A-IV/2) • Signals Certificate (A-II/1) • Efficient Deck Hand | <p>7 Short Courses:</p> <ul style="list-style-type: none"> • Proficiency in Survival Craft & Rescue Boats (A-VI/2-1) • Advanced Fire Fighting (A-VI/3) • Medical First Aid (A-VI/4-1) • Navigation Aids and Equipment Simulator Training* (NAEST) (O) (A-II/1) • GMDSS Restricted Operator's Certificate (ROC) (A-IV/2) • Signals Certificate (A-II/1) • Efficient Deck Hand |

* Formerly referred to as Navigation, Radar and ARPA Simulator Training (NARAS) (O)

| Qualification | ENGINEER OFFICER OF THE WATCH (STCW Reg III/3) | | |
|-----------------|---|--|--|
| Route | MNTB approved training programme | Adult Entry (fast tracker) | Experienced Seafarer |
| Details | New Entrant | New Entrant | Engine Room Watch Rating (Reg III/4) to EOOW (Reg III/1) |
| Claimable under | SMarT 1 | SMarT 1 | SMarT 3 (Short Courses) |
| Funded Elements | <ul style="list-style-type: none"> 50 weeks at SMarT 1 lower instalment rate Up to 100 weeks at SMarT 1 higher instalment rate Final Payment claimable on issue of Certificate of Competence | Sea Service <ul style="list-style-type: none"> Up to 50 weeks at the SMarT 1 higher instalment rate Final Payment claimable on issue of Certificate of Competence | 5 Short Courses: <ul style="list-style-type: none"> Proficiency in Survival Craft & Rescue Boats (A-VI/2-1) Advanced Fire Fighting (A-VI/3) Medical First Aid (A-VI/4-1) MNTB Engineering Workshop Skills (O) (up to 24 weeks at current rate) Upgrading Course - up to 26 weeks funding at current rate, claimable in 6 instalments |
| | | SMarT 3 | SMarT 5 |
| | | Short Course: <ul style="list-style-type: none"> MNTB Engineering Workshop Skills (O) - up to 24 weeks at current rate | Sea Service <ul style="list-style-type: none"> Up to 26 weeks at the SMarT 1 higher instalment rate |

| Qualification | ELECTRO-TECHNICAL OFFICER (STCW Reg III/4) | |
|-----------------|---|--|
| Route | MNTB approved training programme | |
| Details | New Entrant | |
| Claimable under | SMarT 1 | |
| Funded Elements | MNTB approved training programme <ul style="list-style-type: none"> 50 weeks at SMarT 1 lower instalment rate Up to 100 weeks at SMarT 1 higher instalment rate Final Payment claimable on issue of Certificate of Competence | |

| Qualification | WATCH RATING CERTIFICATE NAVIGATIONAL (STCW Reg II/4) or ENGINE ROOM (STCW Reg III/4) | | GENERAL PURPOSE RATING (STCW Reg II/4 & III/4) |
|-----------------|--|---|--|
| | Route | Either Route A: without specialised training | or Route B: with MNTB approved training |
| Details | New Entrant | New Entrant | New Entrant |
| Claimable under | SMarT 3 | SMarT 5 | SMarT 5 |
| Funded Elements | 4 Short Courses: <ul style="list-style-type: none"> Personal Survival Techniques (A-VI/1-1) Fire Prevention and Fire Fighting (A-VI/1-2) Elementary First Aid (A-VI/1-3) Personal Safety and Social Responsibility (A-VI/1-4) | MNTB approved training programme leading to a Navigational (STCW Reg II/4) or Engine Room (STCW Reg III/4) Watch Rating Certificate: <ul style="list-style-type: none"> Up to 12 weeks funding at the SMarT 1 lower instalment rate | MNTB approved training programme leading to a General Purpose Rating (STCW Reg II/4 & III/4) Certificate: <ul style="list-style-type: none"> Up to 23 weeks at the SMarT 1 lower instalment rate |