



Republic of the Philippines  
**OFFICE OF THE PRESIDENT**  
**COMMISSION ON HIGHER EDUCATION**  
  
**DEPARTMENT OF TRANSPORTATION**  
**MARITIME INDUSTRY AUTHORITY**



**JOINT CHED-MARINA MEMORANDUM CIRCULAR NO. 03**  
Series of 2022

**SUBJECT: REVISED GUIDELINES ON JOINT CHED-MARINA MONITORING OF  
BACHELOR OF SCIENCE IN MARINE TRANSPORTATION AND  
BACHELOR OF SCIENCE IN MARINE ENGINEERING PROGRAMS**

In accordance with the pertinent provisions of Republic Act (RA) No. 7722, otherwise known as the "Higher Education Act of 1994"; RA 10635 and its Implementing Rules and Regulations (IRR) including subsequent amendments, Executive Order No. 63 (EO 63) and its IRR which established the Maritime Industry Authority (MARINA) as the Philippines' Single Maritime Administration; the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers 1978, as amended (STCW Convention '78, as amended); and by virtue of the recommendation of the Technical Panel for Maritime Education (TPME) as approved by *CHED Commission en Banc* (CEB) through Resolution No. 026-2022 dated January 18, 2022, the following guidelines are hereby adopted and promulgated, thus:

**ARTICLE I**  
**POLICIES AND LEGAL BASES**

**Section 1. Statement of Policies.** The following are hereby declared the policies of CHED and MARINA with regard to maritime education programs:

- a. **Right of all citizens to quality education.** CHED and MARINA uphold Section 1, Article XIV of the 1987 Philippine Constitution as well as the declared policy of the State to protect, foster and promote the right of all citizens to quality education, among others.
- b. **Quality of education is a matter of national interest and an international obligation.** As a Party and signatory to the STCW Convention, 1978, as amended, the Philippine government recognizes that protecting and promoting the quality of maritime education in the country is a matter of national interest and an international obligation, the Philippines being a Party and signatory to the STCW Convention '78, as amended.

**Section 2. Legal Bases.** The following are the legal bases for the Joint CHED and MARINA monitoring of maritime education programs:





- a. **The authority of CHED to monitor the performance of maritime education programs and institutions of higher learning.** CHED, under Section 8 [d] and [e] of RA 7722 is mandated to *“monitor and evaluate the performance of programs and institutions of higher learning for appropriate incentives as well as the imposition of sanctions, respectively.”*

The Office of Programs and Standards Development (OPSD) shall be the implementing office of CHED for purposes of the joint monitoring of maritime education programs as herein provided and shall ensure close coordination with the STCW Office of MARINA.

- b. **The authority of the MARINA to monitor maritime education programs.** MARINA under Section 3 of RA 10635 (2014) was established as the Philippines’ Single Maritime Administration of the Philippines, is mandated to implement and enforce the STCW Convention, 1978, as amended and international agreements or covenants related thereto.”

One of the functions of MARINA under Section 4, paragraph [c], sub-paragraph (4) of the said law is to “ensure that all maritime education, including the curricula and training programs, are structured and delivered in accordance with the written programs, methods and media of delivery, procedures, and course materials compliant with international standards as prescribed under the STCW Convention.” For this purpose, “MARINA shall, among others, monitor and verify, in coordination with CHED, compliance with the policies, standards, and guidelines of maritime education in the conduct of maritime education and training programs.”

Pursuant to Executive Order No. 63 (2018), its Implementing Rules and Regulations (IRR), the Maritime Administration shall “ensure that all maritime education programs are effectively implemented in accordance with the STCW Convention, 1978, as amended”. The MARINA shall, “in coordination with CHED, continue to monitor and verify in accordance with Section 4, paragraph c (4) of RA 10635 all approved maritime higher education programs through regular monitoring activities.”

## **ARTICLE II DEFINITION OF TERMS**

**Section 1:** For purposes of this Joint Memorandum Circular, the following terms shall apply:

- a. **Annual Monitoring Program** refers to an approved document containing schedules of monitoring activities planned for a calendar year.
- b. **Annual Monitoring Period** refers to June of the next year to May of the succeeding year.





- c. **Appropriate Technical Knowledge and Experience** refers to technical expertise and actual year of practice of competence corresponding to the maritime education program to be monitored.
- d. **Assessment of competence** refers to the process of collecting evidence through theoretical examination and practical assessment of the knowledge, understanding, and proficiency gained from one or more of the following: approved education and training; approved training ship experience; approved simulator training; approved laboratory equipment training; approved in-service, and making judgment on whether competency has been achieved.
- e. **Bachelor of Science in Marine Transportation (BSMT)** refers to the maritime education program being implemented by the Commission and the Maritime Administration in compliance with the mandatory education and training under Regulation II/1, paragraph 2.5 of the STCW Convention, 1978, as amended, as one of the requirements for issuance of a Certificate of Competency (COC) as Officer in Charge of a Navigational Watch on seagoing ships of 500 gross tonnage or more.

In addition, some of the knowledge and understanding under Regulation II/2, as well as fundamentals in radiocommunications under Table A-IV/2 are included in the program.

- f. **Bachelor of Science in Marine Engineering (BSMarE)** refers to the maritime education program being implemented by the Commission and the Maritime Administration in compliance with the mandatory education and training under Regulation III/1, paragraph 2.4 of the STCW Convention, 1978, as amended, as one of the requirements for issuance of COC as Officer in Charge of an Engineering Watch in a manned engine-room or designated duty engineer officer in a periodically unmanned engine-room on seagoing ships powered by main propulsion machinery of 750 kW propulsion power or more.

In addition, **some** of the knowledge and understanding under Regulation III/2, are included in the program.

- g. **Closure of a Program** refers to the closure of BSMT and/or BSMarE program/s offered by a maritime higher education institution (MHEI), which may be voluntary or involuntary.

Voluntary closure is when the MHEI, for valid cause, on its own initiative, chooses to close any of its programs offered through phase-out process.

Involuntary closure is when the CHED, with the recommendation of MARINA, for just cause and after due process, orders the phase-out or outright closure of the BSMT and/or BSMarE program/s by revoking the permit or certificate of recognition previously issued. The CHED and MARINA shall determine the grounds thereof.



The higher education institution shall remain obligated to: (1) furnish the necessary transfer credentials and records to students affected by the closure; and (2) cause the preservation of all the students' academic records by submitting the same to the CHED Regional Office concerned or to the National Archives Office.

- h. **Competence** refers to the combination of knowledge, skills, experience and attitude that enables an individual to perform a certain function or task. It includes: 1) the cognitive competence involving the use of theory and concepts as well as informal tacit experiential knowledge; 2) functional competence, which involves knowledge, understanding and skills necessary for the proper performance of functions, tasks, duties and responsibilities in a workplace; and 3) personal competence involving ethical, personal and professional values.

For purposes of the BSMT and or BSMarE programs, specific cognitive and functional competences are provided in the Tables of Standards of Competence under the STCW Code.

- i. **Coordination** refers to the process of giving notice to relevant government agency of the intended action to be taken pertaining to the evaluation, inspection, monitoring and control in accordance with the STCW Convention, 1978, as amended;
- j. **Corrective Action** refers to an action to eliminate the cause of an identified noncompliance in a monitoring activity in order to prevent its recurrence.
- k. **Correction** refers to an immediate action to address an identified noncompliance which can be made in advance of, in conjunction with a corrective action.
- l. **Curriculum** refers to an aggregate of courses that are systematically and logically arranged within the program of study to ensure achievement of prescribed standards of competence under the STCW Convention, 1978, as amended and other relevant international covenants. It consists of a curriculum outline indicating a summary of the professional courses, general education courses, OBT and other required courses under existing laws, rules and regulations, as well as the list of prerequisites and corequisites and the program of study.
- m. **Conflict of interest** refers to a situation which arises when any member of the monitoring team including their spouse/relative within the 4th degree of consanguinity/affinity, is a member of a board, an officer, a substantial stockholder, consultant, instructor, assessor, faculty member or a graduate of a Maritime Higher Education Institution to be monitored within the last five years.
- n. **Due Process** pertains to the guarantee that all legal proceedings will be fair and that the concerned MHEI will be given notice of the proceedings and an opportunity to be heard before the Commission acts towards the closure of its BSMT or BSMarE program.





- o. **Evaluator** refers to a qualified person duly authorized to monitor key areas of maritime education programs.
- p. **Examination** refers to a formal test of a student's knowledge, understanding or proficiency in any of the specific competencies.
- q. **Follow-up Verification** refers to the follow-up visit at the institution to verify and validate the implementation and effectiveness of actions undertaken to address the noncompliances.
- r. **Lead Evaluator** refers to the Team Leader of the Monitoring Team who is responsible for managing the operations of the monitoring activities and ensures that applicable standards and requirements are observed by the members of the Monitoring Team.
- s. **Maritime Education Programs (MEPs)** refer to the approved education and training for Officers-in-Charge for navigational or engineering watch covered under Chapters II and III of the STCW Convention '78, as amended, or more popularly known as the Bachelor of Science for Marine Transportation (BSMT) and Bachelor of Science for Marine Engineering (BSMarE) programs.
- t. **Maritime Higher Education Institution (MHEI)** refers to all higher education institutions offering maritime higher education programs.
- u. **Monitoring** refers to a series of activities to determine, check, supervise, or observe the extent of compliance with set standards to ensure the achievement of defined objectives and outcomes.
- v. **Monitoring Finding and Corrective Action Report (MFCAR)** refers to a form used by CHED and MARINA to record the official individual findings to be transmitted to concerned MHEI.
- w. **Monitoring Plan** refers to a document containing the planned activities and arrangements in a monitoring for a specific MHEI.
- x. **Monitoring Team** refers to the composite CHED and MARINA evaluators authorized to conduct monitoring of the BSMT and BSMarE programs.
- y. **Non-compliance** refers to a deficiency or failure to maintain compliance with prescribed standards and requirements, substantiated by objective evidence, that leads to failure in achieving defined program objectives and outcomes.
- z. **Noteworthy Efforts** refer to initiative/s undertaken by the institution to achieve higher levels of qualitative results (e.g. best practices that resulted towards further improvement of expected outcomes).





- aa. **Objective Evidence** refers to qualitative or quantitative information, documents, records or statements of facts based on observation, test or measurement and which can be verified.
- bb. **Observer** refers to a person who is authorized by the Administration or the Commission to join a monitoring team but should not interfere or influence the monitoring activity.
- cc. **Opportunity for Improvement (OFI)** refers to a process, activity or document that is currently conforming, that may if not improved, result in noncomplying system or service.
- dd. **Outcomes-based Monitoring Instrument (OBMI)** refers to a quality form used by the composite CHED and MARINA Monitoring Teams as a checklist and recording tool during the conduct of monitoring.
- ee. **Phase-out process** means the gradual closure of a higher education program or a higher education institution. In any case, the termination or closure of a program shall be effected at the end of an academic year. However, students that are already in the second, third and fourth year levels shall be allowed to finish their study until graduation or to transfer to other institutions, at the option of the student(s).
- ff. **Prohibited Acts** refer to acts which are inimical to public interest committed by institutions or persons, such as those stipulated under existing CHED and MARINA rules, regulations and issuances.
- gg. **Quality Standards System** refers to a system that is required under Regulation I/8 of STCW Convention, 1978, as amended that MHEIs must establish, which shall incorporate key elements such as, but not be limited to, an expressed policy regarding quality and the means by which such policy is to be implemented; the organizational structure, responsibilities, procedures and resources necessary for quality management; the operational techniques and activities to ensure quality control; the systematic institutional monitoring arrangements including internal quality- assurance evaluations to ensure that all defined objectives are being achieved; and arrangements for periodic external evaluations.
- kk. **Root Cause Analysis** refers to a process of determining the reason for noncompliance or why it occurred for the purpose of identifying appropriate corrective actions.
- ll. **Summary of Findings Form** refers to a form used by the Monitoring Team to record all the findings identified in a monitoring activity.
- nn. **Technical Evaluator** refers to a qualified person who possesses professional qualification that determines his technical expertise corresponding to the key areas



of maritime education program to be monitored and is duly authorized to conduct monitoring of maritime education program.

### **ARTICLE III MONITORING APPROACH AND IMPLEMENTATION**

**Section 1. Monitoring Approach.** The monitoring approach herein provided shall be conducted using relevant CHED Memorandum Order (CMOs), MARINA STCW Circulars, Joint CHED-MARINA Memorandum Circulars (JCMMCs) and the STCW Convention 1978, as amended, as references, following an outcomes-based approach and implementation, which:

- a. Focuses on the outcomes of maritime education programs;
- b. Looks at core processes and procedures leading to the achievement of said outcomes;
- c. Intends to make MHEIs, as well as academic and non-academic personnel responsible for the maritime education program(s) they offer.

**Section 2. Availability of Documents and Records.** To facilitate the conduct of monitoring, the MHEIs shall make their documents, records, QSS Manuals and related monitoring reports available for purposes of evaluation by the Monitoring Team. The MHEI shall be required to accomplish the column on self-assessment of the OBMI.

### **ARTICLE IV QUALIFICATIONS AND COMPOSITION OF THE MONITORING TEAM**

**Section 1. Qualifications.** Every person joining the monitoring team shall possess the following qualifications:

- a. **For Lead Evaluator:**
  - 1) completed a Lead Auditor Course;
  - 2) participated in at least 3 monitoring activities as a member of a Monitoring Team after completing the Lead Auditor Course;
  - 3) be knowledgeable of the following:
    - i. programs being monitored
    - ii. statutory requirements (STCW, 1978, as amended, CHED Memorandum Orders, relevant Memorandum)
  - 4) no conflict of interest
  - 5) completed the Training Course for Instructors (IMO Model Course 6.09) or its equivalent as approved by the Maritime Administration
  - 6) completed the training course on Assessment, Examination, and Certification of Seafarers (IMO Model Course 3.12) or its equivalent as approved by the Maritime Administration; and





- 7) completed the training on IMO Model Course 6.10 or its equivalent as approved by the Maritime Administration.
- 8) preferably with at least six (6) months teaching experience in an MTI/MHEI.

**b. For Technical Evaluator:**

- 1) be graduate of the program being monitored;
- 2) be a Management Level Officer of the program being monitored;
- 3) completed Internal Quality Auditor Course;
- 4) have joined at least three (3) monitoring activities as an Observer, after appropriate evaluation;
- 5) be knowledgeable of the following:
  - i. program/s being monitored
  - ii. statutory requirements (STCW Convention, 1978, as amended, CHED Memorandum Orders, relevant Memorandum Circulars)
- 6) no conflict of interest;
- 7) completed the Training Course for Instructors (IMO Model Course 6.09) or its equivalent as approved by the Maritime Administration;
- 8) completed training course on Assessment, Examination, and Certification of Seafarers (IMO Model Course 3.12) or its equivalent as approved by the Maritime Administration; and
- 9) completed the training on IMO Model Course 6.10 or its equivalent as approved by the Maritime Administration;
- 10) preferably with teaching experience in an MTI/MHEI

**c. The CHED and MARINA Evaluators must:**

- 1) have completed Internal Quality Auditor Course;
- 2) have joined at least two (2) monitoring activities as an Observer, after appropriate evaluation;
- 3) be knowledgeable of the following:
  - i. program/s being evaluated
  - ii. statutory requirements (STCW Convention, 1978, as amended, MC, CMO)
- 4) no conflict of interest.

**Section 2. Composition of the Monitoring Team.** The monitoring of MEPs is conducted by a team of evaluators from CHED and MARINA composed of the following:

- a. Maritime Education and Training Standards Supervisor (METSS) of the STCW Office, or any qualified STCW Personnel of MARINA possessing the qualifications as Lead Evaluator;
- b. MARINA Evaluator from STCW Office Monitoring Division and/or qualified evaluator from MARINA Regional Office;
- c. Technical Evaluator/s from CHED and MARINA with expertise corresponding to the maritime education program to be monitored; and
- d. CHED Evaluators from CHED Central or Regional Offices.



The members of the Monitoring Team must not be affiliated in any way which could give rise to conflict of interest with the MHEI to be monitored within the last five (5) years.

A maximum of two (2) observers from each agency may be allowed to join the monitoring team.

**Section 3. Functions of Lead Evaluator and Monitoring Team Members.** The functions of the Lead Evaluator and Monitoring Team members are as follows:

**a. Lead Evaluator:**

- 1) Prepares monitoring plan in coordination with Monitoring Team members;
- 2) Ensures the effective and efficient conduct of the monitoring in accordance with ethical and professional audit standards;
- 3) Conducts monitoring according to monitoring plan in accordance with ethical and professional audit standards;
- 4) Coordinates the conduct of monitoring according to monitoring plan;
- 5) Presides the pre-monitoring and post-monitoring meetings;
- 6) Presides opening and closing meetings with MHEI officials;
- 7) Prepares final monitoring report in coordination with Monitoring Team members. (Note that the Lead Evaluator shall ensure monitoring findings are collectively agreed by members of the Monitoring Team);
- 8) Submits final monitoring report to the STCW Office;
- 9) Supervises, assesses and endorses observer to be a member of monitoring team or to be qualified as Lead;
- 10) Provides Feedback Form to the MHEI officials; and
- 11) Performs other related tasks.

**b. Technical Evaluator:**

- 1) Provides technical expertise in the monitoring of the program requirements as stipulated in STCW Convention 1978, as amended and applicable issuances, circulars or policies by CHED and MARINA;
- 2) Conducts monitoring according to monitoring plan and in accordance with ethical and professional audit standards; and
- 3) Assists in the preparation of the final monitoring report in coordination with Monitoring Team members;

**c. CHED and MARINA Evaluators:**

- 1) Conduct monitoring according to monitoring plan in accordance with ethical and professional audit standards; and
- 2) Perform other related tasks assigned by the Lead Evaluator and Technical Evaluators during the monitoring.



**ARTICLE V**  
**PREPARATION AND APPROVAL**  
**OF THE ANNUAL MONITORING PROGRAM**

**Section 1. Preparation and Approval.** As a general rule, CHED Office of Programs and Standards Development - Division of Programs with International Conventions (CHED OPSD-DPIC) and MARINA STCW Office Monitoring Division (MARINA STCWO-MD) shall jointly prepare Annual Monitoring Program (AMP) every June of the year and submit the same to the Technical Panel for Maritime Education (TPME) not later than September of the same year.

If acceptable, the TPME shall endorse and recommend the approval of the AMP to the CHED Commission en banc (CEB). If not acceptable, CHED OPSD-DPIC and MARINA STCWO-MD shall revise the AMP within fifteen (15) days.

- a. The Annual Monitoring Program includes the following:
  1. name of all MHEIs to be monitored;
  2. programs to be monitored;
  3. composition of the Monitoring Team;
  4. budget; and
  5. proposed schedule of regular monitoring and follow-up visit.
- b. The order of prioritization of MHEIs to be monitored shall be:
  1. MHEIs with Prohibited Act;
  2. MHEIs with phased-out or closure orders;
  3. MHEIs with non-compliance in areas stipulated in the existing policies, standards and guidelines for BSMT and BSMarE;
  4. MHEIs with findings which were not addressed within the specified timeframe;
  5. MHEIs that should be monitored as part of the three-year monitoring cycle;
  6. MHEIs under permit status; and
  7. As per lawful order/instruction of the Administration and/or CHED in its performance of regulatory function, supervision and control of the Maritime Education Programs.
- c. All MHEIs shall be monitored at least once within a three-year period. These MHEIs shall be programmed for monitoring based on the order of prioritization.
- d. The scope of monitoring shall focus more on the key areas with noncompliance as identified by the monitoring team based on the results of the previous monitoring (e.g., number and severity of monitoring findings as per key areas of evaluation), results of external audit, and/or instructions of the Administration. The focus of monitoring shall be addressed in the Monitoring Plan for specific MHEI.





- e. The MHEI shall be required to submit the necessary documents relative to the conduct of the monitoring via electronic means through reputable courier or using their official email, at least 2 months or sixty (60) days before the actual monitoring, such as, but not limited to those required under Annex F (OBMI).

The foregoing requirements may vary depending on the need of the monitoring team and the Lead Evaluator to effectively and efficiently conduct the monitoring. CHED-OPSD shall notify each Institution included in the AMP of their respective schedules within fifteen (15) working days upon CEB Approval.

## **Section 2. Preparation and Transmission of Monitoring Plan for a Specific MHEI.**

A monitoring plan shall be prepared using the appropriate Quality Form under the QSS of MARINA.

The Lead Evaluator shall ensure that each of the team members is given monitoring assignment in accordance with their qualification and expertise or where their qualifications adequately fit.

The MARINA STCW Office Monitoring Division shall:

- a. finalize the composition of the MARINA Monitoring Team;
- b. prepare travel authority in the form of a Special Order for approval of the MARINA Administrator or STCW Office Executive Director;
- c. upon approval of the MARINA Special Order, prepare the Monitoring Plan for endorsement to CHED.

The CHED OPSD-DPIC shall:

- a. finalize the composition of CHED Monitoring Team members and representatives from CHEDRO and DPIC and transmit the names to MARINA;
- b. prepare travel authority upon the recommendation of the OPSD Director for approval of the CHED Chairperson through the Executive Director;
- c. upon receipt of the Monitoring Plan from MARINA, the OPSD Director through DPIC-MES sends Notices and Monitoring Plan to MHEIs through the concerned CHEDROs, ten (10) working days prior to the monitoring activity; and
- d. concerned CHEDRO Directors send Notices and Monitoring Plan to concerned MHEIs five (5) working days prior to the monitoring activity.

**Section 3. Cancellation or postponement of the monitoring activity.** Approved monitoring schedules may be cancelled or deferred under the following circumstances:

- a. Force majeure;
- b. Any events that may threaten the health, safety and security of the Monitoring Team;
- c. Any unforeseen events that may render the area inaccessible;
- d. Local Holidays; and





- e. Other analogous circumstances (those which are not under the control of the Monitoring Team and the institution).

For rescheduling of cancelled or postponed monitoring activity, or if the Lead Evaluator and any of the Technical Evaluator or member of the Monitoring Team become unavailable, MARINA may re-schedule the monitoring activity or reconstitute the composition of the Monitoring Team. Such re-scheduling shall be communicated to the institution by CHED OPSD-DPIC, in writing, telephone or electronic communication, whichever is most efficient, feasible and appropriate to the situation five (5) days before the date of the monitoring or five days upon the occurrence of the grounds mentioned above whichever is applicable.

**Section 4. Request for cancellation or postponement of monitoring activity by MHEIs.** Upon receipt of the Approved Monitoring Plan by the MHEIs, whenever the need arises, all requests for postponement and re-scheduling of monitoring activity shall be communicated to CHED copy furnished the MARINA at least fifteen (15) days before the monitoring or immediately upon the occurrence of the grounds mentioned above whichever is applicable. CHED shall recommend the course of action to MARINA for review of the requests for postponement to determine if acceptable. MARINA shall notify CHED of the decision in writing or electronic communication, whichever is most efficient, feasible. CHED shall inform the institution of the decision and confer with MARINA on the new schedule of monitoring if the request for postponement is granted within five (5) days upon approval/denial of the request for cancellation or postponement.

## **ARTICLE VI KEY AREAS OF MONITORING**

The compliance of maritime higher education institutions operating the BSMT and/or BSMarE programs shall be measured against the STCW Convention standards and applicable issuances, circulars or policies of CHED and MARINA.

The monitoring of the BSMT and BSMarE programs shall cover the Key Areas provided for under the existing policies, standards and guidelines for Maritime Education Programs such as:

- a. Program and Course Design, Review and Approval;
- b. Required Resources;
- c. Standards, Teaching Methods and Media of Delivery;
- d. Examination and Assessment System;
- e. Facilities and Equipment for Education and Training;
- f. Onboard Training;
- g. Student Admission and Retention;
- h. Quality Standards System; and
- i. Research and Extension.





Noncompliances in the above areas except item i (Research and Extension) can be the basis of sanctions per existing policies, standards and guidelines (PSGs) of CHED and/or MARINA for BSMT and BSMarE programs.

## **ARTICLE VII CONDUCT OF MONITORING**

**Section 1. Pre-Monitoring Meeting.** The Lead Evaluator shall convene the Monitoring Team prior to the Opening Meeting to confirm and discuss the monitoring plan particularly the assignment for each evaluator, the results of the previous monitoring of the MHEI and such other documents or information relevant to the monitoring activity.

The monitoring plan may be modified, as the need arises and upon agreement of the Monitoring Team members and to be conveyed to the institution during the opening meeting.

**Section 2. Operational Procedures.** Every monitoring activity shall be conducted in accordance with the following:

- a. Opening meeting – The Joint CHED-MARINA Monitoring Team Conducts Opening Meeting with MHEI President or duly authorized representative and concerned officials and staff.
- b. Protocols to be observed – The President or his/her designated representative shall welcome the evaluators and introduce the MHEI's officials and staff.

The Lead Evaluator shall introduce the members of the Monitoring Team and provide information on the following:

1. scope and objective(s) of monitoring, key areas of evaluation and assigned evaluators, estimated time or duration of the activity, based on the Monitoring Plan;
2. methods and procedures to be used in the monitoring;
3. documents, information, equipment, facilities, presence of officials and support staff that may be needed by the Monitoring Team;
4. confidentiality of monitoring findings, documents and information;
5. method of reporting, categories of findings including the consequences, timeframe for the submission of Root Cause Analysis of the findings and the corresponding Correction and Corrective Action/s;
6. follow-up verification and closing out of findings; and
7. Feedback Mechanism.

The Lead Evaluator shall inform the MHEI's officials that they may provide feedback on the manner the monitoring was conducted by using the Feedback Form, attached as Annex E, which shall be furnished to them during the opening meeting. The MHEI's



officials should submit the accomplished Feedback Form in a sealed envelope to CHED OPSD, copy furnished the STCW Office Executive Director within 5 days upon completion of the monitoring activities otherwise the monitoring activity shall be deemed conducted in the regular manner.

c. Monitoring proper – The monitoring shall be carried out by evaluating the key areas of evaluation through any of the following:

1. Interviewing responsible personnel/staff for the key area being evaluated;
2. Evaluating and reviewing the relevant quality processes, procedures and documented information;
3. Evaluating approved Curriculum including its implementation;
4. Observing classroom instruction, laboratory/simulation activity, workshop (but shall not interfere or disrupt the on-going teaching and learning activities);
5. Observing conduct of assessment (oral, written and practical, but shall not interfere or disrupt the on-going assessment activities);
6. Random interview of students, instructors, assessors and process owners;
7. Testing and evaluating the functionality, suitability and adequacy of relevant facilities and laboratory equipment based on carrying capacity requirements; and
8. Evaluating and gathering necessary objective evidence relevant to the key area evaluated and informing the responsible official of specific objective evidence that may lead to findings.

d. Instrument and Forms – Every monitoring activity shall be conducted using the Monitoring Plan (MP) attached as Annex A, Monitoring Finding and Corrective Action Report (MFCAR) attached as Annex B, Summary of Findings attached as Annex C, and Outcomes-based Monitoring Instrument (OBMI) attached as Annex E, which shall be subjected to continuous updating and improvement.

e. Deliberation of findings – Once the evaluation is completed, the Monitoring Team shall meet to discuss and agree on their findings among themselves.

They shall decide whether an identified finding constitutes noncompliance, or opportunity for improvement.

f. Closing meeting – The Joint CHED-MARINA Monitoring Team conducts closing meeting with the MHEI President or Authorized Representative and concerned Officials where monitoring findings are discussed.

The Monitoring Team shall discuss the highlights of the monitoring to the official(s) and key personnel of the MHEI concerned. The Lead Evaluator shall exercise due care in managing the proceedings and give the MHEI's officials and personnel the opportunities for clarifications.





If the President or the officials concerned agree to the findings, the Lead Evaluator, members of the Monitoring Team and MHEI President or Authorized Representative sign the Summary of Findings. A copy of the signed report shall be provided to the MHEI.

If the President or the officials concerned do not agree to the findings, the President or authorized representative shall acknowledge the findings with a notation, comments or remarks. A copy of the signed Summary of Findings shall be provided to the MHEI. The MHEI may file a formal appeal following the provisions of Article XII of this Memorandum Circular.

## **Article VIII MONITORING FINDINGS**

**Section 1. Category of findings.** Each finding shall be categorized as “Noteworthy Efforts”, “Prohibited Acts”, “Noncompliance”, and “Opportunity for Improvement”. Evaluators shall be guided by the definition of the said category of findings in Article II, Section 1 of this Joint Memorandum Circular.

**Section 2. Recording of findings.** All findings shall be recorded in the Summary of Findings and uploaded/encoded in the Surveillance, Accreditation and Monitoring Information System (SAM-IS), including those which have been immediately corrected or rectified.

Findings should be written incorporating the following key elements: category of findings in a specific area, statement of facts or objective evidence, requirement, deviation from the requirement or standard, and standards or references.

**Section 3. List of Prohibited Acts.** The following includes prohibited acts as stipulated under CMO 40, series of 2008, Manual of Regulations for Private Higher Education Institutions (MORPHE) and the Implementing Rules and Regulations (IRR) of RA 10635:

- a. implementing or conducting unapproved education programs that have similar title and/or content as any of the approved MEP by CHED, tending to deceive the learner or the public that such programs are approved and compliant with STCW, as amended, whether intentional or not;
- b. continuing to offer a phased out/closed MEP;
- c. the operation of a branch or extension, whether locally or foreign-based, without prior permit or authorization issued by CHED
- d. the advertisement or publication of any advertisement or announcement before a permit to operate is granted by CHED;
- e. Issuing documentary evidence described under Sec. 2 (d) of R.A.10635 of any of the approved METPs, where the learner did not comply with the attendance,





- participation or satisfactory completion requirements, as prescribed by MARINA or its authorized office or agency, as appropriate; and
- f. other acts in gross violation of the standards as may be identified by CHED or MARINA.

In case the joint CHED-MARINA monitoring team found a prohibited act committed by the MHEI, the Lead Evaluator as concurred by the Head of the Monitoring Division shall submit report and recommendation to the Technical Panel for Maritime Education through the Joint CHED-MARINA Secretariat, for appropriate action. The TPME, through CHED OPSD, shall then submit its recommendation to the Commission en Banc. Finally, the Commission en Banc will issue its decision.

## **Article IX**

### **ACTION ON THE MONITORING REPORT**

**Section 1. Submission.** The Lead Evaluator shall submit the Monitoring Finding and Corrective Action Report Form together with the Summary of Findings to the STCW Office Executive Director through the Joint CHED-MARINA Secretariat, within three (3) working days from the date of return to the Office or to the Official Station.

**Section 2. Review and Transmission of Official Report.** The Secretariat shall officially communicate the results of the monitoring activity such as the monitoring findings report (MFR) to the concerned MHEI within three working days from receipt of the report.

**Section 3. Submission of Corrective Actions.** The MHEI shall submit, within 10 working days upon receipt of the monitoring report, the Monitoring Finding and Corrective Action Report/s (MFCAR) with appropriate root cause of the finding and corresponding corrections, corrective actions and documentary evidence to MARINA STCW Office copy furnished CHED Regional Office and CHED OPSD.

**Section 4. Transmittal of Corrective Actions to Monitoring Team.** Copy of the MFCAR including the corresponding documentary evidence shall be forwarded to the concerned Monitoring Team by MARINA STCW Office within three (3) working days upon receipt for review and evaluation.

Within three (3) working days upon receipt of the copy of the MFCAR including the corresponding documentary evidence, the MARINA STCW Office shall forward the documents to the concerned Monitoring Team for review and evaluation.

**Section 5. Review and Transmittal Results of Review of Corrective Actions.** The Lead Evaluator, in consultation with the concerned Monitoring Team, shall review within seven (7) working days upon receipt of the corrective action/s to determine whether the documents submitted are sufficient to address the findings or a follow-up verification visit will be conducted. The result of the review shall be submitted to the Secretariat on or before the lapse of the period for review.





The Secretariat shall transmit the results to the MHEI within three (3) working days from receipt of the review of the Lead Evaluator.

**Section 6. Follow-up Verification.** The institution shall ensure compliance within a reasonable period of time which shall not exceed one (1) month from the implementation date of the corrective action/s.

Thereafter, a follow-up verification, within three (3) months, if necessary, shall be conducted to ensure that the corrective action plan is being implemented and effectively addressing the noncompliance. Follow-up verification shall cover unclosed findings from the regular monitoring and shall be conducted following the same procedures and notices of a regular monitoring as far as practicable.

**Section 7. Transmission of the Official Results of Verification; actions on remaining findings.** The Secretariat shall officially communicate to the concerned MHEI the result of the follow-up verification, with the corresponding recommendation, if any, within three (3) working days from receipt of the report.

If the MHEI fails to comply with the prescribed corrective actions within the prescribed period CHED shall initiate the imposition of sanctions such as, but not limited to, the closure of the maritime education program.

## **Article X REVIEW AND ANALYSIS OF MONITORING ACTIVITIES**

The Panel of STCW Experts (POSE) composed of all MARINA Maritime Education and Training Standards Supervisors (METSS) shall be furnished with a copy of all monitoring reports and related documents to be collated and analyzed for, among others, proposing improvement of monitoring procedures and continual improvement of the Maritime Training and Assessment of Competence of seafarers pursuant to Section 6.5 of the Implementing Rules and Regulations of RA 10635 or its amendment/unless otherwise amended.

## **Article XI APPEAL PROCEDURES**

**Section 1. Filing of Appeal.** The MHEIs may file an appeal to the Office of the STCW Executive Director for any finding not resolved between the institution and the monitoring team within ten (10) days from the closing meeting. Failure to appeal within said period shall be deemed an admission of the findings. The appeal shall only be entertained based on the following grounds:





- a. If the findings were based on errors of law, or on misapplication of the policies, rules and regulations of the MARINA and CHED; and
- b. If the findings were based on serious errors in the findings of facts.

Such appeal must be in four (4) legible copies, to be supported by an affidavit bearing a statement of facts and evidence that refutes the findings.

Thereafter, the appeal shall be referred to the Technical Panel for Maritime Education, through the OPSD-DPIC, for action.

**Section 2. Resolution of Appeal.** The TPME shall act on the appeal within a period of 30 days from receipt thereof.

**Section 3. CEB Decision on the Appeal.** The recommendations of the TPME on the appeal shall be forwarded to the CEB for final decision.

## **Article XII MISCELLANEOUS PROVISIONS**

**Section 1.** The Joint CHED and MARINA monitoring shall be conducted on-site, unless the same is not feasible as in the occurrence of national emergencies. As such, monitoring may be conducted remotely/virtually or hybrid (combination of remote and on-site) to ensure continuity of the activity.

For this purpose, and to cope with the new normal brought about by the COVID-19 pandemic or similar events in the future, all MHEIs authorized to offer BSMT and/or BSMarE or other maritime program/s which may be approved in the future, are hereby required to retain and maintain, for at least three (3) years, documented information which include documents, photos, audio and video recording and any other similar information to demonstrate the delivery and conduct of approved classrooms/laboratory activities and that the learners perform the course outcomes.

**Section 2.** Pursuant to the continuing efforts of MARINA and/or CHED towards digitization, all MHEIs shall be required to comply, implement, participate and cooperate with pertinent and relevant information systems or programs towards the realization of this goal.

For this purpose, the MHEIs are required to comply and submit to MARINA the pertinent information required in the implementation of the MARINA Integrated Seafarers Management Online (MISMO) System and/or Surveillance, Accreditation, Monitoring Information System (SAM-IS), or its equivalent or subsequent amendment, subject to compliance with the policies, rules and regulations that may be issued by the CHED and/or MARINA.





## ARTICLE XIII

**Section 1. Repealing Clause.** All issuances, relevant policies, standards and guidelines which are inconsistent with the provisions of this Joint Memorandum Circular are hereby repealed, amended, modified or superseded in accordance with the intent of this Circular.

**Section 2. Separability Clause.** If any part or provision of this Joint Memorandum Circular shall be held unconstitutional or invalid, other provisions hereof which are not affected thereby shall continue to be in full force and effect.

**Section 3. Effectivity Clause.** This Joint Memorandum Circular shall take effect fifteen (15) days after its publication in the Official Gazette or in a newspaper of general circulation.

Quezon City, Philippines, March 7, 2022.

Approved:

For the Commission:



**J. PROSPERO E. DE VERA III, DPA**  
Chairman  
Commission on Higher Education

For the Maritime Administration:



**VADM ROBERT A EMPEDRAD AFP (RET)**  
Administrator  
Maritime Industry Authority

### *Attachments:*

*Annex A: Monitoring Plan Form*

*Annex B: Monitoring Finding and Corrective Action Report Form*

*Annex C: Summary of Findings*

*Annex D: Feedback Form*

*Annex E: Outcomes-Based Monitoring Instrument*

*Annex E1: Program and Course Design, Review and Approval;*

*Annex E2: Required Resources;*

*Annex E3: Standards, Teaching Methods and Media of Delivery;*

*Annex E4: Examination and Assessment System;*

*Annex E5: Facilities and Equipment for Education and Training;*

*Annex E6: Onboard Training;*

*Annex E7: Student Admission and Retention;*

*Annex E8: Quality Standards System; and*

*Annex E9: Research and Extension*