

## Course Approval Submittal Checklist

This guide is provided to assist you in documenting the requirements of 46 CFR Subpart D, and may help prevent processing delays caused by missing information.

Requests may be sent via:

- **E-mail:** Submittals may be e-mailed in PDF format to [NMCCourses@uscg.mil](mailto:NMCCourses@uscg.mil). E-mails should not exceed 35MB. Multiple e-mails are acceptable. If multiple e-mails are submitted, please include “X of Y” in the subject line of each e-mail, where “X” indicates the e-mail number and “Y” equals the total number of e-mails. The system will not accept compressed (ZIP) files. If you don’t receive acknowledgment of your e-mail within 5 business days, check your spam folders and, if not found, carefully check the e-mail address and your internet provider limitations, and re-send. If no confirmation of receipt is received, reach out to us at (304) 433-3720.
- **Homeport:** After receiving their first course approval, providers may submit course completion data and upload course submittals via [Homeport](#). To obtain an account and find log-in directions for first time users, see [How to Obtain a Homeport Account \(New Users\)](#) on the National Maritime Center (NMC) website. For additional information on Homeport, see the [Homeport User Guide](#).
- **Mail:** Submittals may be sent by mail (on a CD or DVD in PDF format—no USB [thumb] drives or compressed [ZIP] files will be accepted) to:

Commanding Officer (NMC-2)  
USCG National Maritime Center  
100 Forbes Drive  
Martinsburg, WV 25404

<b>Components and Contents</b> (See <a href="#">NVIC 03-14</a> for sample documents and standards)	<b>Reference(s)</b>	✓
<b><u>I. Cover Letter</u></b>	<b>46 CFR 10.402(b)(1)</b>	
1. Name of the organization.	46 CFR 10.402(b)(1)(i)	
2. Course name.	46 CFR 10.402(b)(1)(i)	
3. Locations where the course will be held.	46 CFR 10.402(b)(1)(ii)	
4. General description and overview of course: Summary description of the course content and purpose. Include course delivery and assessment method(s): (1) Classroom – Instruction conducted in person at an approved site. (2) Alternate Delivery – Instruction conducted by a live instructor using an electronic delivery platform such as Zoom, Skype, Teams, etc., for some or all students. (3) Computer based training (CBT) – Instruction delivered electronically without live instructor presentation. (4) Blended – Instruction where all students participate in the same manner using a mix of classroom, alternate delivery and/or CBT. (5) In-person Examination – Final assessment conducted by a live proctor at an approved site to include third party test sites. (6) Online Examination – Final assessment not conducted in person. This includes the use of examination and proctoring software as well as a live proctor using electronic delivery platforms such as Zoom, Skype, Teams, etc.	46 CFR 10.402(b)(1)(iii)	
5. Category of acceptance being sought: List only those appropriate to the course being submitted. (1) A portion of sea service requirements. (2) Examinations required by the CG. (3) Professional competency requirements. (4) Regulatory requirements.	46 CFR 10.402(b)(1)(iv) 46 CFR 10.402(a)(1-4)	

<b>Components and Contents</b> (See <a href="#">NVIC 03-14</a> for sample documents and standards)	<b>Reference(s)</b>	✓
6. Reference to regulatory requirements met by the training. This should be the regulatory site for the credential endorsement. 46 CFR 10.402 and 407 are not appropriate references. Example: 46 CFR 12.405 is the appropriate reference for a course intended to satisfy the examination requirements for Able Seaman.	46 CFR 10.402(b)(1)(v)	
<b><u>II. Course Framework</u></b>	<b>46 CFR 10.402(b)(2)</b>	
1. Course scope: Include all relevant CFR and STCW requirements to be met using the current edition.	46 CFR 10.402(b)(2)(i)(A)	
2. Course objective: Describe the learning objectives/desired outcomes for the course.	46 CFR 10.402(b)(2)(i)(B)	
3. Student entry standards: Include prerequisite training, endorsements, age, service, etc. Example: BT refresher or revalidation require having previously met the standards for a BT endorsement. Revalidation also requires having 1 year of service in the last 5 on vessels required to conduct ongoing drills and training.	46 CFR 10.402(b)(2)(ii)(A)	
4. Class size limitations and student/teacher ratio: Max class size is generally 24 students. Practical demonstrations are generally limited to a 6:1 student-to-teacher ratio.	46 CFR 10.402(b)(2)(ii)(B-C)	
5. Instructor Qualifications: Documentary evidence instructor/assessor has either experience, training, or evidence of instruction in effective instructional/assessment techniques. <ul style="list-style-type: none"> <li>• Copy of MMC and Mariner Reference Number (if applicable).</li> <li>• Evidence of training in effective instructional techniques may be in the form of performance evaluations of effectiveness in on-the-job organization and/or successful completion of a train the trainer course.</li> <li>• Simulator:                             <ul style="list-style-type: none"> <li>○ Documentary evidence of:                                     <ul style="list-style-type: none"> <li>▪ Practical operational experience on particular type of simulator.</li> <li>▪ Guidance on instructional techniques for simulation.</li> </ul> </li> </ul> </li> </ul>	46 CFR 10.402(b)(2)(iii)(A) NVIC 03-14 STCW A-I/6 IMO 6.09	

<b>Components and Contents</b> (See <a href="#">NVIC 03-14</a> for sample documents and standards)	<b>Reference(s)</b>	✓
<ul style="list-style-type: none"> <li>A list of previously approved instructors (except for Medical) for the specific course/school may satisfy this requirement. Medical requires documentation of current certification.</li> </ul>		
6. Instructor/assessor qualified in the task for which the training is being conducted and has relevant experience. Documentation evidence should only include relevant experience/information. Where sea service is pertinent, include vessel names, tonnage/horsepower, position served, and dates. Ensure the documentation addresses the standards listed in NVIC 03-14. Holding an endorsement is not in itself evidence of experience acting under that endorsement. Submission of extraneous material and instructors who clearly do not meet the standards delays the evaluation process unnecessarily. If you believe a submission is equivalent to the standards, provide a detailed explanation.	46 CFR 10.402(b)(2)(iii)(B)	
7. Instructor/assessor has attained a level of experience and qualification equal or superior to the relevant level of knowledge, skills, and abilities described in the performance objective. See Item 6.	46 CFR 10.402(b)(2)(iii)(C)	
8. Proctor has been trained in examination administration and specific e-room administration requirements of the school.		
9. Site information including: <ul style="list-style-type: none"> <li>Description of the facility, measurements of the instructional space, diagram of intended layout, photographs showing multiple views of the space, and description of the instruction or assessment being performed:                             <ul style="list-style-type: none"> <li>A list of previously approved sites for the specific course/school/function may satisfy this requirement, provided there have been no changes.</li> <li>Include a list of previously approved sites which are no longer used.</li> <li>Generally allot 24 square feet per student and 36 for the instructor station. Courses requiring chart plots, CPR mannequins, or other equipment may necessitate different space allocation.</li> </ul> </li> </ul>	46 CFR 10.402(b)(2)(iv)(A)	

<b>Components and Contents</b> (See <a href="#">NVIC 03-14</a> for sample documents and standards)	<b>Reference(s)</b>	✓
<ul style="list-style-type: none"> <li>○ Practical sites such as pools and fire fields require additional information such as photos of fire fighting equipment and turn out gear, and pool depths and size.</li> <li>○ Requests for practical sites aboard vessels should include vessel particulars, photos, and written permission of the owner.</li> </ul>		
<p>10. Description of materials used for development, instruction, and performance measurement: Equipment, teaching aids, textbooks and presentations, reference bibliography. Simulators are teaching/training aids. Self-developed student and instructor manuals should not be the sole references used for development. Bibliographies should follow common standards for content and format. Numerous examples can be found on the web. Where simulators are used, explain in detail how the simulator will be used in meeting the learning objectives, and provide pictures, screenshots, data sheets, and/or any other practical representation of the simulator capability.</p> <p><i>NOTE: References should be current editions and/or reflect current practices and requirements.</i></p>	46 CFR 10.402(b)(2)(v)(A-D) NVIC 03-14	
<p>11. Course Completion Requirements. Be specific. Include attendance/make-up policies. Students must attend all portions of the curriculum. Grading and retest policies, including whether quizzes, homework, and/or practical exercises will factor into the successful completion. All STCW competencies must be successfully assessed.</p>	46 CFR 10.402 NVIC 03-14	
<p>12. Retest and Reassessment Policy. Sufficient number of examination modules must be included to meet the allowed examination retakes without duplication. Practical reassessments should not be identical to the original.</p>	46 CFR 10.402(b)(7)(i) NVIC 03-14	
<p><b>The Outline, Detailed Teaching Syllabus, and Lesson Plans are intended to build on each other and should not be duplicative or combined. The most detailed information should be in the lesson plans.</b></p>		
<p><b><u>III. Course Outline</u></b></p>	<b>46 CFR 10.402(b)(3)</b>	
<p>1. Course Subjects and Topics.</p>	46 CFR 10.402(b)(3)(i)	

<b>Components and Contents</b> (See <a href="#">NVIC 03-14</a> for sample documents and standards)	<b>Reference(s)</b>	✓
2. Course schedule including duration and order of lessons. Include specific days and times and account for scheduled breaks/meals. Where multiple schedules may be employed, provide samples for each, or provide sufficient written documentation such that a reasonable person would understand when/how you intend to present the course. Training days should generally not exceed 8 contact hours.	46 CFR 10.402(b)(3)(ii)	
3. Is each lesson a classroom lecture, practical demonstration, simulator exercise, examination, or another method? Include the time allotted for each lesson/topic.	46 CFR 10.402(b)(3)(ii)(A-E)	
<b><u>IV. Detailed Teaching Syllabus</u></b>	<b>46 CFR 10.402(b)(4)</b>	
1. Written in learning objective format (describes what the student must do to demonstrate that specific knowledge). The expected learning outcome is that the trainee will be able to XXXX. This should be followed by some sort of action statement such as splice three-strand line, sound a tank, etc.	46 CFR 10.402(b)(4)	
2. Learning objectives must be related to the subjects/topics listed in the outline.	46 CFR 10.402(b)(4)(i)	
3. The specific references (listed in the framework) from which the instruction was developed.	46 CFR 10.402(b)(4)(ii)	
4. Reference materials (listed in the framework) used for instruction and performance management.	46 CFR 10.402(b)(4)(iii)	
<b><u>V. Lesson Plans</u></b>	<b>46 CFR 10.402(b)(5)</b>	
1. Main element learning objective to the subtopic level based on the elements needed to achieve the learning objective outlined in the detailed teaching syllabus.	46 CFR 10.402(b)(5)(i)	
2. Student assignments such as homework, practical exercises, etc.	46 CFR 10.402(b)(5)(ii)	

<b>Components and Contents</b> (See <a href="#">NVIC 03-14</a> for sample documents and standards)	<b>Reference(s)</b>	✓
<p>3. Training outcomes are measured and contain these three elements:</p> <ul style="list-style-type: none"> <li>(1) Expected student performance</li> <li>(2) Condition</li> <li>(3) Criterion.</li> </ul> <p>Combined, the subtopic training outcomes should be designed to achieve the main element learning objective for each topic, which when combined demonstrate the trainee has achieved the learning objectives listed in the detailed teaching syllabus.</p>	46 CFR 10.402(b)(5)(iii)	
<p><b><u>VI. Instructor Notes</u></b></p> <p>This is your chance to tell the instructor what, when, where, and how you want the course material delivered. Go beyond the basic CFR requirement. When/how to set up simulation, what simulator scenarios are to be used, what training aids are needed and where are they stored, etc. Particularly for high-risk training, who to notify in the event of weather, accident or injury, etc.</p>	<b>46 CFR 10.402(b)(6)</b>	
<p>1. Specific instructional methodologies used in lesson.</p>	46 CFR 10.402(b)(6)(i)	
<p>2. Instructional materials including instructional directions containing the following: pre-instructional activities, content presentation, student participation, assessment process, homework, and reading assignments.</p>	46 CFR 10.402(b)(6)(ii)(A-E)	
<p><b><u>VII. Evaluations</u></b></p>	<b>46 CFR 10.402(b)(7)</b>	
<p>1. Methods used to measure students' knowledge, performance, or level of achievement: Homework, quizzes, exams, laboratory projects, competency assessments, remediation, testing strategies, etc.</p> <p>Each course should have a comprehensive examination administered at the completion of training appropriate to the scope of the approved curriculum. Examination questions should be different from those used during the course or provided in student handouts.</p>	46 CFR 10.402(b)(7)(i)(A-G) 46 CFR 10.403 (a)(4)	

<b>Components and Contents</b> (See <a href="#">NVIC 03-14</a> for sample documents and standards)	<b>Reference(s)</b>	✓
2. Assessment instruments (tools used to determine whether the student has achieved the desired knowledge, understanding, or proficiency). <ul style="list-style-type: none"> <li>Where simulation is used, include simulator setup, specific scenarios, and performance criteria for successful completion. All STCW competencies must be individually assessed using the CG published performance conditions, behavior, and standards or approved alternatives. See <a href="#">CG NVICs</a>.</li> <li>For written examinations, include any reference material the student may access.</li> </ul>	46 CFR 10.402(b)(7)(ii) 46 CFR 11.301(a)(3) 46 CFR 12.601(b)(3)	
3. Any methodology used in measuring the effectiveness of the training or instructor including instructor evaluations, course evaluations, surveys, and/or other feedback.	46 CFR 10.402(b)(7)(iii)(A-C)	
<b><u>VIII. Sample Course Completion Certificate</u></b> Samples should match that intended to be provided to a trainee including all seals, watermarks, borders, etc.	<b>46 CFR 10.402(b)(8)</b>	
1. Course provider number.	46 CFR 10.402(b)(8)(i)	
2. Course number.	46 CFR 10.402(b)(8)(ii)	
3. Date of completion.	NVIC 03-14	
4. Location.	NVIC 03-14	
5. Training provider signature.	NVIC 03-14	
6. Terms of Approval <b>may</b> be added to the certificate but must match the final course approval language. Many certificates are found to be non-compliant. Ensure you update the certificate once you receive the final approval documentation.	46 CFR 10.402(b)(8)(iii)	