



INTERNATIONAL ASSOCIATION OF CLASSIFICATION SOCIETIES

IACS PROCEDURES

Volume 2

PROCEDURES CONCERNING REQUIREMENTS FOR MEMBERSHIP OF IACS

CONTENTS

A INTRODUCTION	4
B IACS ORGANISATION	4
B I GOVERNING DOCUMENTS	4
B I-1 THE IACS CHARTER	4
C MEMBERSHIP CRITERIA AND APPLICATION PROCEDURE	5
C I MEMBERSHIP CRITERIA: GUIDANCE AND APPLICATION PROCEDURE	7
C I-1 PRINCIPLES FOR ASSESSING AND MEETING MEMBERSHIP CRITERIA	7
C I-2 GUIDANCE FOR IACS WHEN REVIEWING MEMBERSHIP APPLICATIONS	8
C I-3 GUIDANCE FOR ORGANISATIONS MAKING AN APPLICATION FOR MEMBERSHIP	9
C I-4 DETAILED GUIDANCE FOR EACH MEMBERSHIP CRITERION	10
Criterion 1 – Evidence of being a Classification Society and demonstrated adherence to the requirements in this document	10
Criterion 2 – Compliance with QSCS	13
Criterion 3 – Class Rules	14
Criterion 4 – Survey capability	15
Criterion 5 – International coverage	17
Criterion 6 – Design assessment capability	18
Criterion 7 – In-house support	19
Criterion 8 – Technical ability to contribute to IACS	20
Criterion 9 – Actual contribution to IACS	21
Criterion 10 – Compliance with IACS Resolutions	21
Criterion 11 – GBS	22

C II	MEMBERSHIP APPLICATION ASSESSMENT	24
C II-1	REVIEW PANEL PROCEDURE FOR MEMBERSHIP APPLICATIONS - PANEL AND COUNCIL	24
C II-1.1	Review Panel.....	24
C II-1.2	Summary of Review Panel’s assessment	28
C II-1.3	Council’s review	28
D	MEMBERSHIP CRITERIA - CONTINUED VERIFICATION.....	30
D I	PROCEDURES FOR PERIODICAL VERIFICATION OF IACS MEMBERS' COMPLIANCE WITH THE MEMBERSHIP CRITERIA.....	30
D I-1	Quality Secretary and Council.....	30
D II	PROCEDURES REGARDING SUSPENSION AND WITHDRAWAL OF IACS MEMBERSHIP.....	33
E	INDEPENDENT APPEALS PROCESS	34
E I	INDEPENDENT APPEAL BOARD.....	34
E I-1	STANDARD FORM COVER LETTER FOR A NOTICE OF APPEAL	34
F	ACCOMPANYING FORMS AND LETTERS	35
F I	STANDARD FORM LETTER FOR MEMBERSHIP APPLICATION.....	35
F II	SUMMARY OF COUNCIL’S ASSESSMENT OF APPLICATION FOR IACS MEMBERSHIP	37
G ANNEX 1	– FLOWCHART OF MEMBERSHIP APPLICATION PROCESS.....	41
G ANNEX 2	– SAMPLE LIST OF SHIP TYPES	41

A INTRODUCTION

1 The purpose of the IACS Procedures is to codify the working procedures of the Association, its Council, General Policy Group, Quality Committee and working groups, together with their inter-relations and responsibilities. The Procedures also define the responsibilities of the Permanent Secretariat and define the extent and means of communications with external bodies.

Composition

2 In entirety, the IACS Procedures comprise:

Volume 1: IACS General Procedures;

Volume 2: Procedures concerning requirements for Membership of IACS (this document);

Volume 3: IACS Quality System Certification Scheme (QSCS);

Volume 4: Procedures for the maintenance of the Common Structural Rules.

3 These are evolving documents and subject to periodical review and update by the General Policy Group or Quality Committee (as appropriate) for Council approval.

B IACS ORGANISATION

B I GOVERNING DOCUMENTS

1 IACS operations are governed by the following:
The Charter and its Annexes;
IACS Procedures (as listed above).

B I-1 THE IACS CHARTER

1 The present document (Volume 2) is governed by the *Charter*, as published on the IACS website, which takes precedence over all other procedural and operational documents of IACS, in case of any perceived or actual conflict between the documents.

C MEMBERSHIP CRITERIA AND APPLICATION PROCEDURE

- 1 The purpose of setting and applying clear, transparent, robust and unambiguous Membership Criteria is to ensure both existing Members and Applicants are clear as to the standards and attributes required of them. This is necessary so IACS can continue to function at the highest levels of professional integrity.
2. Membership of IACS is granted to organisations that meet the Membership Criteria. An organisation wishing to apply for membership of IACS must submit a formal application for membership (see *F1*). On receipt of formal application for membership, the organisation submitting the application will be considered by IACS to be an Applicant. IACS will establish its Review Panel (see *C II-1.1*). Membership Criterion 1 needs to be achieved and validated before further progress towards membership can be made. An Applicant which does not meet Criterion 1 will be rejected at this stage and a further application will not be considered within one year of the date of rejection. This means that the Applicant must first be recognised by IACS as a CS as defined by IACS and meet the requirements as set out in Criterion 1. This decision is appealable, see item 11 below. Only then can it look to achieve Membership Criterion 2, namely having valid IACS Quality System Certification Scheme (QSCS) certification. To achieve this, the Accredited Certification Body (ACB) audits must be observed by the IACS Quality Secretary (QS). The ACB conducting the audits of the Applicant must appear on the list of recognised ACBs (available on the IACS website) and it must also be benchmarked satisfactorily by IACS Operations Centre (OC) in accordance with IACS Procedures. Only when these steps have been successfully undertaken can an Applicant then continue with its application to IACS for membership in line with the criteria specified in the *IACS Charter, section 3* and in accordance with the guidance and procedures set down in this document.
3. Compliance with the second Membership Criterion enables the evaluation of the quality of both the Members' and Applicant's Quality Management Systems with a view to ensuring Members and Applicant's comply with these standards and attributes. The means by which Applicant's and Members demonstrate compliance with the IACS second Membership Criterion is IACS Quality System Certification Scheme (QSCS). Each Member and Applicant must establish and implement its own internal quality management system that conforms to the requirements laid down by IACS in the Quality Management System Requirements (IQMSR available on the IACS website) and demonstrate, through independent audit conducted by an IACS recognised ACB, the society's system is operated in accordance with the relevant documents of that classification society.
4. QSCS audits of an Applicant by its ACB are subject to the same IACS observation process as those of existing Members (including cost recovery) and Applicants should make the necessary arrangements in good time. Provisional arrangements can be made prior to a formal application being submitted. Any Applicant who subsequently fails to obtain valid QSCS certification will be rejected at that stage and a further application will not be considered within one year of the date of rejection, see item 11 below.
5. The other Membership Criteria are designed to establish the technical competence and capacity to develop Class rules, to oversee their proper and effective implementation, to contribute appropriately to the work of IACS and to demonstrate independence, impartiality and transparency.
6. For ready reference, the Membership Criteria are as follows:

Criterion 1 – Evidence that the organisation is a Classification Society as defined in Annex 4 to the IACS Charter and that it meets the requirements as detailed in the guidance for this Criterion in section C I-4 of Volume 2 of the IACS Procedures.

Criterion 2 – Compliance with QSCS.

Criterion 3 – Demonstrated ability to develop, apply, maintain, regularly up-date and publish its own set of classification rules in the English language covering all aspects of the ship classification process (design appraisal, construction survey and ships-in-service periodical survey).

Criterion 4 –

4(a) Demonstrated ability to provide surveys of the ships under construction in accordance with the Applicant's rules and in accordance with IMO, ILO and flag State requirements.

4(b) Demonstrated ability to provide periodic surveys of ships in service, in accordance with the Applicant's rules and in accordance with IMO, ILO and flag State requirements.

Criterion 5 – Sufficient international coverage by exclusive surveyors relative to the size of the Applicant's support of construction programmes and classed fleet in service.

Criterion 6 – Documented experience that provides evidence of the Applicant's capability to assess designs for construction and/or major modification and/or ships in service of various types subject to any applicable IMO and ILO Convention.

Criterion 7 – Significant in-house managerial, technical, support and research staff commensurate with the size of the Applicant's classed fleet and its involvement in the classification of ships under construction.

Criterion 8 – Technical ability to contribute with its own staff to the work of IACS in developing minimum rules and requirements for the enhancement of maritime safety.

Criterion 9 – Contribution to IACS' work by the Applicant, on an ongoing basis with its own staff as described in criterion 8 above.

Criterion 10 – Compliance of classed ships with all IACS Resolutions.

Criterion 11 – Evidence that the IMO's Maritime Safety Committee has advised in writing that the Applicant's Rules and Procedures conform to the functional requirements of the International Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers (SOLAS Reg.II-1/3-10, IMO Resolution MSC.287(87)).

The headings used in this document (Volume 2) relating to the Membership Criteria are for convenience only and shall not be interpreted to limit or otherwise affect the Membership Criteria as set out in the Charter.

7. A flowchart providing an overview of the membership application process and timing is at Annex 1.
8. It should be noted that the IACS Charter Annex 1, 1.1 states that the Applicant shall submit an application containing *all* relevant information, evidence and explanation, with a view to demonstrating that it fulfils the Membership Criteria. The application shall in particular include the “Documents to be submitted” for each Membership Criterion set out in section C I-4. It is recognised that Criterion 2 must be satisfied before the other criteria are assessed, and that criterion 9 will be assessed once the Applicant has been granted membership and after three years as an IACS Member.
9. It should also be noted that the QSCS as defined in the IACS Charter Annex 4, includes the Common Structural Rules for Oil Tankers and Bulk Carriers (CSR). All Members and any Applicant must adopt the CSR, without right of reservation.
10. The IACS Charter Annex 1, 1.1 introduces the formation of a Review Panel and also states that if the Review Panel finds that any relevant information, evidence or explanation needed to make a determination on the application is missing, it may ask the Applicant to provide the missing element within a reasonable deadline set by the Review Panel. Such a request may also take the form of, and be met by, a meeting between the Applicant and the Review Panel. The six-month deadline, initiated once valid QSCS Certification is obtained, for the Review Panel to make its recommendation remains – it is not extended by the need for additional information.
11. The IACS Charter, Annex 1, 1.1 (n) states “An Applicant whose application is rejected may reapply for membership not less than one year following the IACS Council’s final decision rejecting the application or, where an appeal is brought against the decision, the date of the Independent Appeal Board’s decision rejecting the appeal, whichever is the later.” Similarly, an Applicant which has withdrawn its application before Council makes its decision may reapply for membership not less than one year following the date of withdrawal.
12. A standard form letter for a Membership application is given in *F1*.

C I MEMBERSHIP CRITERIA: GUIDANCE AND APPLICATION PROCEDURE

C I-1 PRINCIPLES FOR ASSESSING AND MEETING MEMBERSHIP CRITERIA

1 This Guidance reflects IACS’ view of those items which are necessary to consider in making a transparent, objective and justifiable assessment of whether an Applicant fulfils IACS’ Membership Criteria. This document is intended to assist IACS, its Members and Applicants in applying IACS’ Membership Criteria. IACS may amend this Guidance in light of relevant regulatory developments or experience in the application of the Guidance and/or any changes in the maritime industry which are relevant to services provided by CSs.

2 Any such amendment shall pursue the objective of ensuring that the objective, transparent, non-discriminatory qualitative membership criteria are in practice applied in an appropriate, reasonable and non-discriminatory way. Any such amendment shall be published as soon as it enters into force in the same way as IACS Procedures Volume 2 is published.

3 An Applicant is to submit an application, which is to include all relevant information, evidence and explanation with a view to demonstrating that it fulfils each of the Membership Criteria. It is recognised that Criterion 2 must be satisfied before the other criteria are assessed, and that Membership Criterion 9 and Criterion 10 (if applicable) will be assessed once the Applicant has been granted membership and after three years as an IACS Member.

4 The methodology for assessment is as follows:

- a) An Applicant must meet *each* of the eleven Membership Criteria set out in the Charter and reiterated in C 6 above, albeit that:
 - i) with regard to Membership Criterion 9, contribution to IACS work by the Applicant, on an ongoing basis with its own staff as described in criterion 8 will be assessed three years from the date of grant of Membership; and
 - ii) with regard to Membership Criterion 10, should the Applicant' classed fleet include non-compliant ships, full compliance with all IACS Resolutions of all ships in the fleet is to be achieved within 3 years of the date of the Applicant becoming a Member.
- b) Subject to point c) below, in assessing whether an Applicant meets a particular Membership Criterion, IACS will take into account all relevant facts and supporting documentation as part of its overall assessment of the standards and attributes required;
- c) Each Membership Criterion will be assessed using an objective and consistent methodology;
- d) Applicants are advised that the focus for review will be on single class vessels. With respect to experience based information submitted for dual class ships, only the actual activities performed by the Applicant shall be duly documented and considered accordingly.

C I-2 GUIDANCE FOR IACS WHEN REVIEWING MEMBERSHIP APPLICATIONS

Refer to IACS Charter Annex 1 section 1.1

1 In respect of Membership Criterion 2, the Applicant will be subject to twice the number of VCAs required under the applicable provisions of IACS Procedures Volume 3. The VCAs shall be carried out on vessels that have been single class (not dual class) with the Applicant for a minimum of five years prior to the date of application and in accordance, so far as possible, with the guidance set down in these procedures. On becoming a Member, the number of VCAs will revert to the number required for existing Members.

2 In order that the QSCS certification (ISO-9001 and QSCS Statement of Compliance) can be accepted by IACS, in respect of the Applicant's application for membership, all QSCS audits, including VCAs, must be observed by IACS Quality Secretary (QS), or personnel under the direct supervision of IACS Quality Secretary and those audits must have been conducted to a standard consistent to audits of existing IACS Members, i.e. subject to the ACB performance benchmarking process. If the Applicant is awarded its QSCS certification before 01 October of any year IACS will

benchmark the ACB of the Applicant against the previous year's audits. For QSCS certification awarded on or after 01 October of any year, the ACB will be benchmarked concurrently with existing Members against that year's audits by 31 January in the following year.

3 An Applicant whose applicable rules have not yet received final confirmation by the IMO's Maritime Safety Committee for conformity with the functional requirements of the International Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers (SOLAS Reg. II-1/3-10, IMO Resolution MSC.287(87)) should be able to demonstrate that their application, including their documentation package, to the IMO is sufficiently advanced as to allow a decision by the IMO to be reached prior to a recommendation by the Review Panel to the IACS Council as to whether Membership should be granted. Any unforeseen delay in the IMO process will be dealt with on a case-by-case basis.

4 The application will be treated as confidential by IACS only if specifically requested, in writing, by the Applicant.

C I-3 GUIDANCE FOR ORGANISATIONS MAKING AN APPLICATION FOR MEMBERSHIP

The following is provided to assist organisations wishing to apply to IACS for membership in providing the necessary supporting documentation.

1 Refer to the IACS *Charter, Annex 1, 1.1*.

2 An organisation is to submit an application which is to include all relevant information, evidence and explanation with a view to demonstrating that it fulfils each of the Membership Criteria. Once an application is submitted, the organisation (Applicant), should highlight where actions are underway or are pending due to the sequencing of criteria, e.g. portions of criteria 2 and 9 – 11. The application shall, in particular, include the "Documents to be submitted" for each Membership Criterion set out in C I-4 below.

3 In the event that the Applicant is re-applying for membership after a previous rejection or withdrawal decision, it shall provide evidence of any material changes made since that rejection or withdrawal decision if less than three years have elapsed since the previous application. If more than three years have elapsed, a new application needs to be submitted.

4 The methodology for assessment is as follows:

a) An Applicant must meet *each* of the eleven Membership Criteria set out in the Charter, albeit that:

i) with regard to Membership Criterion 9, contribution to IACS work by the Applicant, on an ongoing basis with its own staff as described in criterion 8 will be assessed three years from the date of grant of Membership; and

ii) with regard to Membership Criterion 10, should the Applicant' classed fleet include non-compliant ships, full compliance with all IACS Resolutions of all ships in the fleet is to be achieved within 3 years of the date of the Applicant becoming a Member.

- b) In assessing whether an Applicant meets a particular Membership Criterion, IACS is to undertake an overall assessment of all relevant facts, including the “Documents to be submitted” obtained in relation to that Membership Criterion as listed in C I-4 below. This overall assessment will be recorded in respect of compliance with individual criterion and for the application as a whole. Compliance with both must be achieved by the Applicant. A full written justification is to be provided by IACS.
- c) In respect of Membership Criterion 2 the Applicant will be subject to a number of VCAs, equal to twice the number required under the applicable provisions of IACS Procedures Volume 3. The VCAs shall be carried out on vessels that have been single class with the Applicant for at least five years prior to the date of application. On becoming a Member the number of VCAs will revert to the number required for existing Members.
- d) In order that the QSCS certification (ISO-9001 certificate and QSCS Statement of Compliance) can be accepted by IACS, in respect of the Applicant’s application for membership, all QSCS audits, including VCAs, must be observed by IACS Quality Secretary (QS), or personnel under the direct supervision of IACS Quality Secretary and those audits must have been conducted by an IACS recognised ACB, to a standard consistent with the audits of existing IACS Members as confirmed by the annual ACB benchmarking process. If the Applicant is awarded its QSCS certification before 01 October of any year IACS is to benchmark the ACB of the Applicant against the previous year’s audits. For QSCS certification awarded on or after 01 October of any year, the ACB will be benchmarked concurrently with existing IACS Members against that year’s audits by 31 January in the following year.
- e) The Applicant is required to confirm that it has adopted the IACS Resolutions (Unified Requirements (URs), Procedural Requirements (PRs), Common Structural Rules (CSR) and Unified Interpretations (UIs)), and declare its level of adoption of the IACS Resolutions during the 5 year period immediately prior to the date of its application to IACS, together with supporting documents. This should include the dates of implementation within its fleet prior to commencement of IACS Observation of the Audits.
- f) Applicants are advised that the focus for review will be on single class vessels. With respect to experience based information submitted for dual class ships, only the actual activities performed by the Applicant shall be duly documented and considered accordingly.

C I-4 DETAILED GUIDANCE FOR EACH MEMBERSHIP CRITERION

For each criterion below, guidance on the documents to be submitted (reference prefixed by “D”) is listed followed by corresponding evaluation criteria (reference prefixed by “E”) that will be used. For example, documents to be submitted D1.1 and D1.2 will have corresponding evaluation criteria E1.1 and E1.2, respectively.

Criterion 1 – Evidence of being a Classification Society and demonstrated adherence to the requirements in this document

Evidence that the organisation is a Classification Society as defined in Annex 4 to the IACS Charter and that it meets the requirements as detailed in the guidance for this Criterion in section C I-4 of Volume 2 of the IACS Procedures.

Documents to be submitted

(D1.1) A copy of the Applicant's Rules and a statement on which ship types they cover (it need not be all ship types, an example list of ship types is attached at Annex 2 to this guidance) and whether the Rules are self-developed or legally acquired. If the latter, the statement must make clear from which organisation they were acquired, when and how they are updated.

(D1.2) Confirmation that the Applicant has adopted IACS Resolutions (UR, PR, CSR and UI), and a declaration of the Applicant's level of adoption during the 5 year period immediately prior to the date of its application to IACS, of IACS Resolutions including the dates of implementation within the Applicant's fleet, prior to commencement of IACS Observation of the Audits together with supporting documents, including a list of any reservations against IACS Resolutions.

(D1.3) Statement addressing the level of compliance with the IACS Resolutions, of vessels classed during the 5 year period immediately prior to the date of the Applicant's application to IACS, during construction and periodically during a classed ship's service life.

(D1.4) A published register of classed ships.

(D1.5) Evidence that the Applicant is organized and governed in such a manner that it is not controlled by, and does not have interests in (or vice versa), ship-owners, shipbuilders or others engaged commercially in the manufacture, equipping, repair or operation of ships.

(D1.6) Evidence, over the 5 year period immediately prior to the date of the Applicant's application to IACS, that the Applicant has been continuously authorised by at least one flag Administration as defined in SOLAS Chapter XI-1, Regulation 1 and listed accordingly in the IMO database, Global Integrated Shipping Information System (GISIS).

(D1.7) Evidence that the Applicant is a Recognised Organisation listed on at least one of the most recent Paris or Tokyo MOU high performance level lists or on the most recent USCG zero-point category list.

(D1.8) Statements within its operational procedures requiring surveyors or other employees of the Applicant not to carry out classification or statutory work (or participate in the decision making related thereto) if they have business, personal or family links to the client.

Evaluation criteria

(E1.1) The Applicant must publish its own classification rules (including technical requirements) in relation to the design, construction and survey of ships. The Rules should be published in relation to the ship classification process (design, construction survey and ships-in-service periodical survey) for ship types falling under the scope of the SOLAS Convention, in respect of structural, mechanical and electrical requirements¹ and capable of unrestricted navigation. The Applicant must state whether the Rules are self-developed or legally acquired. The Applicant should explain the process by which the Rules are updated and maintained.

¹ SOLAS Reg II-1/3-1

(E1.2) The Applicant must confirm that, by the date of its application to IACS, it has adopted the IACS Resolutions. The Applicant must further provide a detailed listing showing the dates of the incorporation of all mandatory IACS Resolutions, i.e. PRs, UIs, URs and CSR into its own Rules and Procedures. Additionally, it must declare categorically that every ship in its fleet is in full compliance with all applicable IACS Resolutions, including retrospective requirements and requirements whose application pre-dates the 5 year period in D1.2 above. Alternatively, if at the time of application, it cannot be demonstrated that the ship(s) complies fully with all applicable IACS Resolutions, the ship(s) is/are to be identifiable (see D1.4 and D10.2) in the Applicant's register of ships as being non-compliant with all applicable IACS Resolutions. The identified ship(s) will then be granted a 3 year period of grace during which time the identified ship(s) must either be brought into full compliance or the classification of the ship is to be withdrawn by the Member (see also Criterion 10). For example, in the case of a bulk carrier which was 15 years of age or more on 1 January 2004, UR S31 requires compliance by the due date of the first intermediate or special survey after that date. In the context of this application the term "*first intermediate or special survey after that date*" will be interpreted as meaning the first intermediate or special survey after the date the Applicant is granted membership of IACS. The forgoing should be verified by audit by the Applicant's ACB in respect of criterion 2. Furthermore, the total number of reservations against IACS URs the Applicant declares at the time of their application should be no more than the largest number of reservations an existing individual Member has declared against IACS URs. If necessary a detailed plan to align with the IACS benchmark for Members' reservations within 3 years should accompany the application.

(E1.3) In support of the statement, the Applicant must provide evidence of work in new construction and ships in service that demonstrates compliance with the IACS Resolutions. For example, a detailed list of SOLAS convention ships constructed and delivered during the 5 year period immediately prior to the date of the Applicant's application for which the Applicant conducted, as the sole Classification Society/RO, full design assessment (plan approval) and survey during construction.

(E1.4) The Applicant is to provide a copy of the latest edition of its register of classed ships, preferably electronically, in the English language at the time of application and demonstrate that the register is maintained in real time (i.e. on a daily basis) and made publicly available.

(E1.5) The Applicant is to provide evidence that its ownership and governance is such that the Applicant is not controlled by and does not have ownership interests in, shipowners, shipbuilders or others engaged commercially in the manufacture, equipping, repair or operation of ships. In order to demonstrate independence from ship-owning, ship-building and other commercial interests which could undermine the Applicant's impartiality, the governing bodies of the Applicant will have less than 50% representation from combined shipowners, shipbuilders, and others engaged commercially in the manufacture, equipping, repair or operation of ships, and that the Applicant would not hold shareholdings of 50% or more in any such entities. See also Volume 3, Annex 2-A paragraph 4.3.3 and Annex 2-B paragraph 4.5.4.

(E1.6) Confirm that the Applicant is (and has been for the 5-year period immediately prior to the date of the Applicant's application) listed in the GISIS database as authorised by a flag Administration(s) which has affirmed compliance with IMO RO Code, with the 'Full authorisation', which means an authorisation that covers all elements of the primary Conventions (SOLAS, MARPOL-all Annexes, and ICLL).

(E1.7) Confirm the Applicant is a Recognised Organisation on at least one of the most recently published, at the time of application, annual reviews of the Paris or Tokyo PSC MOU high performance level lists or on the most recent USCG PSC zero-point category list. If not, include in the overall assessment any circumstances that might affect such performance, including inter alia the size and composition of its fleet, its average age and trading patterns. For this purpose, the organisation concerned shall be invited to submit its observations and all relevant information along with any plans to remedy this situation in future.

(E1.8) Applicant shall provide documentary evidence declaring that its staff, responsible for carrying out classification or statutory work shall not be the designer, manufacturer, supplier, installer, purchaser, owner, user or maintainer of the item subject to the service, nor the authorised representative of any of these parties. The Applicant staff shall not engage in any activities that may conflict with their independence of judgement and integrity in relation to their service activities. In particular, they shall not become directly involved in the design, manufacture, supply, installation, use or maintenance of the items covered by the service, or similar competitive items. This may take the form of signed declarations by individual surveyors, of which a representative sample should be submitted.

Criterion 2 – Compliance with QSCS

Compliance with QSCS

(NB: It should be noted that an Applicant already holding QSCS certification before making a formal application for membership to IACS will nonetheless be required to go through the process described in Criterion 2).

Documents to be submitted

(D2.1) A current, valid and benchmarked QSCS Statement of Compliance (SoC) and ISO 9001 certificate.

Evaluation criteria

(E2.1) All QSCS audits of the Applicant must be observed by IACS Quality Secretary (QS) or personnel under the direct supervision of IACS Quality Secretary and be carried out by an ACB already recognised by IACS (See IACS public website for details of IACS recognised ACBs). Twice the number of VCAs are to be conducted for the purpose of the membership application process than would be required if the Applicant were a Member. At least 5 of these VCAs must be carried out on vessels that have been single class (not dual class) with the Applicant for a minimum of the 5 year period immediately preceding the date of application, and they must be as substantive as possible in order to demonstrate the capability and competence of the Applicant. The ships selected for VCAs should, collectively, fulfil the following requirements:

- Single class by the Applicant for at least 5 years prior to the date of application;
- SOLAS compliant;
- undergoing special or intermediate survey;
- include two new constructions; and
- reflect the diversity of ship types in the classed fleet.

The QSCS certification (QSCS SoC and ISO 9001 certificate) issued to the Applicant will not be considered valid until all audits conducted, within the same calendar year, by the IACS recognised ACB have been subject to the ACB benchmarking process. If the Applicant is awarded its QSCS certification before 01 October of any year IACS will benchmark the ACB of the Applicant against the previous year's audits. For QSCS certification awarded on or after 01 October of any year, the ACB will be benchmarked concurrently with existing Members against that year's audits by 31 January in the following year.

Criterion 3 – Class Rules

Demonstrated ability to develop, apply, maintain, regularly up-date and publish its own set of classification rules in the English language covering all aspects of the ship classification process (design appraisal, construction survey and ships-in-service periodical survey)

For the purposes of Criterion 3 the following definitions apply:

- a) **Demonstrated ability:** the Applicant uses its own resources to conduct R&D, to keep pace with technological advances and emerging technologies including collaboration with Academia, and captures data from existing ships to inform future rule development;
- b) **Maintain:** the Applicant rules are continuously improved through feedback and experience gained during use of the Rules from their engineers, surveyors and stakeholders;
- c) **Apply:** the Applicant rules are applied to new construction and ships in operation (for at least one special survey period) by a network of qualified and trained exclusive surveyors.

Documents to be submitted

(D3.1) Copy of own set of self-developed or legally acquired classification rules in the English language covering all aspects of the ship classification process (design, construction survey and ships-in-service periodical survey) for any ship type falling under the scope of the SOLAS convention.

(D3.2) Copy of the process to take account of independent, external stakeholder input and advice with respect to the Applicant's classification Rules and rule development process. Where the Rules of another Society have been adopted, documentation acknowledges that Society and confirms the Society's agreement to the use of its Rules by the Applicant and explains the process by which the Rules are updated and maintained.

(D3.3) Copy of plan approval procedures covering the design evaluation of ships.

(D3.4) Copy of survey procedures covering the construction of ships.

(D3.5) Copy of survey procedures covering ships in service.

(D3.6) Evidence that the rules and survey procedures are regularly updated taking account of feedback from survey of ships in service and applicable requirements as necessary.

(D3.7) Evidence that the Applicant has its own, active research and development group contributing to rule development and updating of rules.

Evaluation criteria

(E3.1) Ships are defined as any ships subject to SOLAS safety certification and capable of unrestricted navigation. SOLAS Chapter I Regulation 3 (a) provides that, unless expressly provided otherwise, SOLAS does not apply to certain ship types, including the following:

Volume 2: PROCEDURES CONCERNING REQUIREMENTS FOR MEMBERSHIP OF IACS

Issue 2 – Corr.1 Nov 2017

- (i) Ships of war and troopships;
- (ii) Cargo ships of less than 500 gross tonnage;
- (iii) Ships not propelled by mechanical means;
- (iv) Wooden ships of primitive build;
- (v) Pleasure yachts not engaged in trade;
- (vi) Fishing vessels.

(E3.2) Considered as part of overall assessment, to be demonstrated as per the definitions a), b) and c) above and with reference to ISO 9001.

(E3.3) Considered as part of overall assessment, including details of any reservations against technical UR A through W is provided along with a detailed plan to remove those reservations within three years from the date of application. Any such reservations will contribute to the maximum allowable number identified in Criterion 1 above.

(E3.4) Considered as part of overall assessment, including details of any reservations against the construction portions of the survey UR Z series provided along with a detailed plan to remove those reservations within three years from the date of application. Any such reservations will contribute to the maximum allowable number identified in Criterion 1 above.

(E3.5) Considered as part of overall assessment, including details of any reservations against the ships in-service portions of the survey UR Z series provided along with a detailed plan to remove those reservations within three years from the date of application. Any such reservations will contribute to the maximum allowable number identified in Criterion 1 above.

(E3.6) Considered as part of overall assessment using, *inter alia*, the definitions a), b) and c) described above.

(E3.7) Considered as part of overall assessment using, *inter alia*, the definitions a), b) and c) described above.

Criterion 4 – Survey capability

4(a) Demonstrated ability to provide surveys of the ships under construction in accordance with the Applicant's rules and in accordance with IMO, ILO and flag State requirements

4(b) Demonstrated ability to provide periodic surveys of ships in service, in accordance with the Applicant's rules and in accordance with IMO, ILO and flag State requirements

Documents to be submitted

(D4.a1) List of statutory authorizations for ships under new construction held by the Applicant is to be submitted such as:

- SOLAS
- Loadline and 1988 Protocol

- MARPOL
- Ballast Water Management
- AFS
- Tonnage 1969
- ColRegs
- MLC 2006

(D4.a2) Records indicating that the Applicant's exclusive surveyors have performed new construction surveys to the IMO and ILO Conventions and Applicant rules for which they are authorised for a period of up to 10 years immediately prior to the date of the Applicant's application.

(D4.a3) Records of the implementation of new construction survey procedures according to the Applicant's rules.

(D4.a4) Training and qualification records and authorisations of their exclusive surveyors for ship types and conventions specified in D4.a1 and D4.b1 for a period of up to 10 years immediately prior to the date of the Applicant's application.

(D4.a5) Records of the survey requirements according to its rules for classed newbuilds for a period of up to 10 years immediately prior to the date of the Applicant's application.

(D4.a6) Records detailing the experience of the relevant Applicant's staff.

(D4.a7) Qualifications of the Applicant's staff responsible for surveys during construction have been maintained and updated.

(D4.a8) Details of technology used by the new construction surveyors for the purpose of verifying vessel compliance with relevant requirements.

(D4.a9) Any other objective elements demonstrating the Applicant's capabilities under this criterion.

(D4.b1) List of statutory authorizations for ships in service held by the Applicant is to be submitted such as;

- SOLAS
- Loadline and 1988 Protocol
- MARPOL
- Ballast Water Management
- AFS
- Tonnage 1969
- ColRegs
- MLC 2006

(D4.b2) Records indicating that the Applicant's exclusive surveyors have performed ships in service surveys to the IMO and ILO Conventions and classification rules for which they are authorised for a continuous period of 10 years prior to the date of the Applicant's application.

(D4.b3) Records of the implementation of ships in service survey procedures according to the Applicant's rules.

(D4.b4) Training and qualification records and authorisations of their exclusive surveyors for ship types and conventions specified in D4.a1 and D4.b1 for a continuous period of 10 years prior to the date of the Applicant's application.

(D4.b5) Records of the survey requirements according to its rules for ships in service for a continuous period of 10 years prior to the date of the Applicant's application.

(D4.b6) Records detailing the experience of the relevant Applicant's staff.

(D4.b7) Qualifications of the Applicant's staff responsible for ships in service surveys have been maintained and updated.

(D4.b8) Details of technology used by ships in service surveyors for the purpose of verifying vessel compliance with relevant requirements.

(D4.b9) Any other objective elements demonstrating the Applicant's capabilities under this criterion.

Evaluation criteria

(E4.a&b1 to 9) Considered as part of overall assessment. Confirmation of the scope and details of the submitted documentation is sufficient.

Criterion 5 – International coverage

Sufficient International Coverage by Exclusive Surveyors relative to the size of the Applicant's support of construction programmes and Classed Fleet in service

Documents to be submitted

(D5.1) Ratio of classed ships plus ships under construction to exclusive field surveyors

Note - For the purposes of this ratio, "ships" are self-propelled vessels above 100 GT and ships under construction are ships which have had their keel laid or are at a similar stage of construction according to SOLAS and which have not yet been delivered. Dual classed ships should be counted at 100% in calculating these ratios.

(D5.2) Evidence that the Applicant can provide surveys to meet the trading patterns of its classed fleet.

Evaluation criteria

(E5.1) Ratio is to be less than 12:1. If this is not achieved but the Applicant can commit and provides a detailed plan, inclusive of timescale that does not go beyond 3 years from the date of application, to satisfying the ratio and providing sufficient international coverage, this will be taken into account in the overall assessment.

(E5.2) In respect to the required international network, the following should be considered:

- Capability of assigning in every place of work, when and as needed, means and staff commensurate with the tasks to be carried out;
- A worldwide coverage by its exclusive surveyors or, in exceptional and duly justified cases, through exclusive surveyors of another CS;
- Direct lines of responsibility and control established between the central and the regional offices (if any) and between the Applicant and its surveyors.

Criterion 6 – Design assessment capability

Documented experience that provides evidence of the Applicant's capability to assess designs for construction and/or major modification and/or ships in service of various types subject to any applicable IMO and ILO Convention.

Documents to be submitted

(D6.1) Records for a period of up to 10 years prior to the date of the Applicant's application demonstrating that the Applicant's in-house plan approval staff have undertaken plan approval in accordance with the IMO and ILO Conventions for which the Applicant is authorised and its own classification rules.

(D6.2) Training and qualification records and authorisations of their in-house plan approval staff for ship types and IMO and ILO Conventions specified in D4.a1 and D4.b1 for a period of up to 10 years prior to the date of the Applicant's application.

(D6.3) Records of the number of design reviews according to the Applicant's own rules, or by flag equivalence, for recently classed new constructions, existing ships and major modifications for a period of up to 10 years prior to the date of the Applicant's application are to be submitted.

(D6.4) Overview of Applicant's list of software systems used when verifying compliance with applicable Applicant rules and applicable statutory requirements. Submit a list of software and the general development processes, including the process used for confirming the accuracy of the software results against the rule formulation requirements.

(D6.5) Evidence of how plan approval comments are fed into the survey process and verified for compliance and closure.

Evaluation criteria

(E6.1 to 6.3) The assessment of the points above shall take into account compliance with the Applicant's rules and the ways in which the qualifications of the organisation's staff responsible for assessing the design and construction of new ships and ships in service have been maintained and updated along with any other objective elements demonstrating the organisation's capabilities under this criterion.

(E6.4) An Applicant should have the capability to calculate whether the design meets its rules and statutory requirements. It is expected that the Applicant holds proprietary licensed software to verify shipbuilders' calculations and issue the appropriate class and statutory certification. The process of confirming the accuracy of the software is to be considered robust.

(E6.5) As part of the overall assessment.

Criterion 7 – In-house support

Significant in-house managerial, technical, support and research staff commensurate with the size of the Applicant's classed fleet and its involvement in the classification of ships under construction

Documents to be submitted

(D7.1) Ratio of classed ships plus ships under construction to in-house managerial, technical, support and research staff (i.e. all staff excluding exclusive surveyors) is to be submitted.

(D7.2) Records of plan approval staff trained and certified to approve construction designs covered by the Applicant's rules and procedures and the IMO and ILO Conventions for which it is authorised, in each of the following disciplines:

- Hull structure
- Machinery systems (including propulsion)
- Electrical & Instrumentation (including control systems)
- Subdivision and stability
- Load line
- Tonnage
- Structural fire protection
- Safety equipment
- Navigational equipment
- Pollution prevention (including AFS and BWM)
- MLC

(D7.3) Ratio of number of non-sister ship designs under review to total number of design approval surveyors/engineers.

Note: For the purposes of the ratios set out in D7.1 and D7.3, "ships" are self-propelled vessels above 100GT and ships under construction are ships which have had their keel laid or are at a similar stage of construction according to SOLAS and which have not yet been delivered. Dual Classed ships should be counted at 100% in calculating these ratios.

Evaluation criteria

(E7.1) The ratio is to be less than 10:1. If this is not achieved but the Applicant can commit and provides a detailed plan, inclusive of timescale that does not go beyond 3 years from the date of application to satisfying the ratio and providing sufficient international coverage, this will be taken into account in the overall assessment. Note: This does not require that all research and development must be done by in-house staff but rather that the Applicant has a core of in-house research staff to define and manage the society's research programme.

(E7.2) Considered as part of the overall assessment.

(E7.3) Ratio is to be less than 10:1. If this is not achieved but the Applicant can commit and provides a detailed plan, inclusive of timescale that does not go beyond 3 years from the date of application to satisfying the ratio and providing sufficient international coverage, this will be taken into account in the overall assessment.

Criterion 8 – Technical ability to contribute to IACS

Technical ability to contribute with its own staff to the work of IACS in developing minimum rules and requirements for the enhancement of maritime safety

Documents to be submitted

(D8.1) Evidence of in-house technical staff with the necessary experience and responsibility within the Applicant that could be nominated to represent the Applicant on IACS Council, GPG, QC, Panels, and Expert Groups.

(D8.2) Evidence that the Applicant has a research & development capability to contribute to the work programme of IACS.

Evaluation criteria

(E8.1) Considered as part of overall assessment. It should be recognised that the knowledge and abilities required will vary over time according to IACS work programme (e.g. Cyber, Computational Fluid Dynamics) which is forward looking and increasingly innovative. As such there needs to be a clear and ongoing assessment by the Applicant of its future needs and commitment to update in-house expertise to keep pace with technological developments.

(E8.2) The Applicant should advise the percentage of its annual turnover dedicated to research and development. Within three years of joining IACS, this figure should fall within the range of existing IACS Members.

Criterion 9 – Actual contribution to IACS

Contribution to IACS' work by the Applicant, on an ongoing basis with its own staff as described in Criterion 8 above

Documents to be submitted

(D9.1) The Applicant will be required to compile a file, during its first three years after it is recognized as a Member, detailing its contribution to the work of IACS committees, panels, expert groups, etc. clearly showing their attendance and contribution to the work of such groups, including supporting IACS in its work at IMO's working, drafting and correspondence groups and other external bodies IACS is involved with such as ISO. This is to be by reference to any proposals, papers and email communications submitted to the Chairs of the respective IACS body. This will be compared with IACS own internal benchmarking of all Members' adherence to the commitment of equal participation.

Evaluation criteria

(E9.1) Details of the new Member's representatives' contributions to the work of the Panels and GPG as reported by Panel and GPG Chairmen and resources offered to support IACS efforts at IMO will be compared to the file compiled and submitted by the new Member itself. This is to be subject to a first assessment, three years from the time the Applicant is acknowledged as a Member.

Criterion 10 – Compliance with IACS Resolutions

Compliance of classed ships with all IACS Resolutions (i.e. PRs, URs including CSR, UIs)

Documents to be submitted

(D10.1) A list including details of any ships not in full compliance with all applicable and relevant IACS Resolutions, including those with retrospective application in the Applicant's classed fleet at the time of application (defined as "non-compliant" ships).

(D10.2) Detailed description of how non-compliant ships will be clearly identifiable to external parties on the Applicant's register.

(D10.3) Detailed plan whereby, should membership be achieved, all non-compliant ships are either to be subject to the provisions in IACS PR1D or class is to be withdrawn. Full compliance with all IACS Resolutions of all ships in the fleet is to be achieved within three years from the date of the Applicant becoming a Member.

Evaluation criteria

(E10.1) Review as part of the overall assessment. See also criterion D1.2 & E1.2 and sections C I-1.4(c) and C I-3.3(e).

(E10.2) Review as part of the overall assessment. The Applicant should describe how ships that do not comply with IACS applicable Resolutions at the time of application will be identified in their register of ships. For example, this could be by assigning a notation indicating that the ship is not in compliance with all applicable IACS Resolutions intended to apply to that type and age of ship.

(E10.3) Review as part of the overall assessment. The Applicant should include with its application a detailed plan indicating the programme to bring all ships in its registered fleet into full compliance with all IACS Resolutions based on the application date of the Resolution, by subjecting them to the requirements of PR1D or alternatively, withdrawing class. During the (maximum) three year transition period the Applicant's ACB should audit and verify that all ships identified in accordance with E10.2 have been satisfactorily subjected to the requirements of PR1D by the Applicant (who by this stage will be an IACS Member), as if the new Member is accepting an existing non-IACS ship into its class.

Criterion 11 – GBS

Evidence that the IMO's Maritime Safety Committee has advised in writing that the Applicant's Rules and Procedures conform to the functional requirements of the International Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers (SOLAS Reg.II-1/3-10, IMO Resolution MSC.287(87))

Documents to be submitted

(D11.1) Listing in MSC.1/Circ.1518 (as may be amended)

Evaluation criteria

(E11.1a) Annex 1 of the circular entitled "Promulgation of rules for the design and construction of bulk carriers and oil tankers of an organization, which is recognized by Administrations in accordance with the provisions of SOLAS regulation XI-1/1, confirmed by the Maritime Safety Committee to be in conformity with the goals and functional requirements of the Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers" list all classification societies currently in compliance. The Applicant should be on this list.

(E11.1b) An Applicant that is currently in the process of having its rules verified by the IMO for conformity with GBS may apply to IACS for membership so long as it has already submitted its GBS Documentation Package to the IMO and it is anticipated that the IMO process will be completed before a final decision on their IACS membership application is expected of Council.

(E11.1c) If the IMO process does not conform to the expected time scales, the deadlines by which IACS is required to make a decision on membership may be extended accordingly in order to allow the Applicant's application to remain active while the IMO reaches its decision. Similarly, should an Applicant need additional time to prepare their response to any nonconformities for consideration by the IACS Review Panel, this may also provide for an extension to the IACS decision deadline.

(E11.1d) An Applicant that has been advised in writing that the Applicant's Rules and Procedures conform to the functional requirements of the International Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers but whose initial approval by IMO is subject to rectifying any nonconformities identified by the IMO must prepare a detailed plan for clearing those nonconformities for consideration by the Review Panel. IACS reserves the right to review the number and severity of any and all nonconformities raised by the IMO GBS audit team and to agree a realistic

timeframe with the Applicant by which it would be reasonable to expect the Applicant to close the nonconformities to the satisfaction of the IMO GBS audit team. If all other Membership Criteria are met², either:

- i) the Applicant' application may be held in abeyance for a period no longer than 20 months at the end of which a decision on whether or not to grant membership will be made by the Council, on recommendation of the Review Panel, within a 3 month period from the date of expiration of the period of abeyance; or
- ii) the Review Panel may consider rectification of the nonconformities to be straightforward and so may make an immediate recommendation to the Council for the grant of membership to the Applicant at this time (i.e. not to exercise its right to hold the application in abeyance while the nonconformities are addressed).

Nothing in this paragraph applies to nonconformities raised during the IMO audits for the purposes of the maintenance of verification.

(E11.1e) An Applicant that applies to IACS for membership in parallel with an ongoing application to IMO for verification of conformity of their rules to GBS and who subsequently fails to achieve conformity at IMO, will have their IACS membership application rejected and is not permitted to reapply for IACS membership for 12 months and until they have achieved conformity with GBS at the IMO.

² With the exception of Criterion 9 and (where applicable) Criterion 10: See C I-1 point 4 and C I-3 point 3 above.

C II MEMBERSHIP APPLICATION ASSESSMENT

1 Refer to the IACS *Charter, Annex 1, 1.1.*

C II-1 REVIEW PANEL PROCEDURE FOR MEMBERSHIP APPLICATIONS - PANEL AND COUNCIL

Prior to any formal application to IACS, any prospective members are strongly encouraged to contact the IACS Secretary General to discuss their future application so that the timings for related activities such as the Audit schedule and the GBS application process at IMO can be reviewed and advice given on the most efficient manner of proceeding.

C II-1.1 Review Panel

IACS Charter, Annex 1	Review Panel Procedure
<p>1.1(b) An organisation that is applying for membership shall provide to the IACS Secretary General documentation evidencing that it meets, or will meet, each of the IACS Membership Criteria as set down in this Charter and expanded upon in Volume 2 of the IACS Procedures. The application should contain all relevant information, evidence and explanation, with a view to demonstrating that it fulfils the Membership Criteria. The application shall in particular include documents set out under the headings "Documents to be submitted" for each Membership Criterion set out in IACS Procedures Volume 2 "<i>Procedures concerning requirements for Membership of IACS</i>".</p> <p>1.1(c) If the IACS Secretary General considers that a membership application has been received with supporting documentation for each of the criteria he shall immediately inform Council and make a recommendation as to whether a Review Panel should be established. At this stage, the organisation is considered an Applicant.</p>	<p>The Secretary General is to forward the application material to Council, without making any assessment of its content, save to confirm that documentation is provided for each Membership Criteria.</p>
<p>1.1(d) Unless the IACS Secretary General considers the applying organisation is manifestly ineligible for IACS membership under IACS' membership criteria and procedures, Council shall appoint a Review Panel to assist with the review of the Applicant application for membership. The Review Panel shall be assisted by the IACS Secretary General and Quality Secretary. The Review Panel shall be composed of three IACS Council members. A decision of the Review Panel shall be adopted when the majority of the three members votes in its favour. Should</p>	<p>Council will agree upon the composition of the Review Panel once an application for Membership has been received. The Review Panel shall be notified by the Chairman of Council</p> <p>The Review Panel members shall decide between themselves who shall act as coordinator.</p>

<p>there be more than one application under consideration Council should consider whether to appoint separate Review Panels for each application. The Review Panel chosen by Council for each Applicant should remain in place until that application process is complete.</p>	<p>The review of any application which has been referred to the Review Panel shall be completed by the Review Panel as constituted at that time. Thus, two or more applications may be being dealt with at the same time but by Review Panels with a different composition.</p>
<p>1.1(e) If the Applicant considers any of the information in its application to be confidential, it should advise the Review Panel in writing and provide a non-confidential summary to the Quality Secretary, together with the full confidential version of the application. In order to verify the accuracy of the non-confidential summary provided by the Applicant, the Quality Secretary only shall, upon signature of an appropriate confidentiality agreement with the Applicant, have access to the full confidential version of the application. The application shall then be considered in its non-confidential form.</p>	<p>The Quality Secretary is to forward the application material to Council, without making any assessment of its content, save to confirm to the Review Panel that the non-confidential summary (1.1(e)) is accurate.</p>
<p>1.1(f)</p> <p>The Review Panel is to review the application and, if it finds that any relevant information, evidence or explanation needed to make a determination on the application is missing, it may ask the Applicant to provide the missing element within a reasonable deadline set by the Review Panel.</p>	<p>If appropriate, additional information / explanation may be provided by way of a meeting (either physical or virtual)</p>
<p>1.1 (g) Within 3 months of receipt of the application, the Review Panel shall assess whether the Applicant complies with Membership Criterion 1. Subject to the Applicant complying, the QS will be authorised by the Review Panel to observe the Audits necessary to recognise the QSCS Certification that may be awarded by the Accredited Certification Body.</p>	<p>The Review Panel should satisfy itself that Membership Criterion 1 has been met.</p> <p>The Applicant should be advised by the Quality Secretary of its conformity to IACS membership criteria 1, in order that they can instruct an IACS recognised ACB to begin the necessary Audits as described in Volume 3 of the IACS Procedures.</p> <p>The Quality Secretary should be notified that he, or persons under his direct supervision, is now authorised and required to observe the audits being conducted on the Applicant.</p>
<p>1.1(h) Once the Applicant has been awarded valid QSCS certification, recognised and benchmarked by IACS, Membership Criterion 2 will have been met and the Review Panel will move to assessing the remainder of the Membership Criteria</p>	<p>Once all audits have been observed by the Quality Secretary and QSCS Certification issued by the ACB, the Quality</p>

<p>with a recommendation as to whether the Applicant should be granted membership to be made by the Review Panel to Council within 6 months of valid QSCS certification being obtained by the Applicant.</p>	<p>Secretary will need to benchmark the performance of the ACB prior to the certification being recognised as valid by IACS.</p> <p>If the Applicant is awarded its QSCS certification before 01 October of any year IACS will benchmark the ACB of the Applicant against the previous year's audits. For QSCS certification awarded on or after 01 October of any year, the ACB will be benchmarked concurrently with existing Members against that year's audits by 31 January in the following year. Within 6 months of valid QSCS certification being obtained by the Applicant, the Review Panel shall prepare a fully documented assessment report which shall be attached to its recommendation to Council. It shall specify for each item in the Guidance the results of its review and how it has been taken into consideration in the overall assessment.</p> <p>The coordinator of the Review Panel shall submit its recommendation to Council, with a copy to the Applicant.</p>
<p>1.1(I) Any Applicant that is applying for IACS Membership in parallel with an application to the IMO for confirmation that its rules conform to the functional requirements of the International Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers (SOLAS Reg.II-1/3-10, IMO Resolution MSC.287(87)), may seek to have the deadlines relating to the IACS membership application process extended to enable IACS to take the IMO's decision into account. Such a request should be communicated by the Applicant to the Review Panel that may make reference to this in its recommendation to Council.</p>	<p>The Review Panel should establish why the IMO process has not adhered to the expected time scales. If this is through no fault of the Applicant, the Review Panel may recommend to Council that the deadline for a decision on Membership be extended by the minimum time necessary to take a decision following the completion of the IMO process.</p> <p>Similarly, should an Applicant need additional time to prepare their detailed plan for clearing any nonconformities identified by the IMO for subsequent consideration by the IACS Review Panel, this may also allow for an extension to the IACS decision deadline.</p> <p>The Review Panel should consider any additional information from the Applicant relating to the IMO's findings within 1 month.</p>

1.1 (m) An Applicant that has been advised in writing that the Applicant's Rules and Procedures conform to the functional requirements of the International Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers but whose initial approval by IMO is subject to rectifying any nonconformities identified by the IMO must prepare a detailed plan for clearing those nonconformities for consideration by the Review Panel. IACS reserves the right to review the number and severity of any and all nonconformities raised by the IMO GBS audit team and to agree a realistic timeframe with the Applicant by which it would be reasonable to expect the Applicant to close the nonconformities to the satisfaction of the IMO GBS audit team. If all other Membership Criteria are met³, *either*

- (i) the application may be held in abeyance for a period no longer than 20 months at the end of which a decision on whether or not to grant membership will be made by the Council, on recommendation of the Review Panel, within a 3 month period from the date of expiration of the period of abeyance; *or*
- (ii) the Review Panel may consider rectification of the nonconformities to be straightforward and so may make an immediate recommendation to the Council for the grant of membership to the Application at this time (ie not to exercise its right to hold the application in abeyance while the nonconformities are addressed).

Nothing in this paragraph applies to nonconformities raised during IMO audits for the purposes of the maintenance of verification.

If all other Membership Criteria are met⁴, *either*

- i) the application may be held in abeyance for a period no longer than 20 months at the end of which a decision on whether or not to grant membership will be made by the Council, on recommendation of the Review Panel, within a 3 month period from the date of expiration of the period of abeyance; *or*
- ii) the Review Panel may consider rectification of the nonconformities to be straightforward and so may make an immediate recommendation to the Council for the grant of membership to the Application at this time (ie not to exercise its right to hold the application in abeyance while the nonconformities are addressed).

Notwithstanding any other hearing(s) an Applicant may also request a hearing on this specific decision.

³ With the exception of Criterion 9 and (where applicable) Criterion 10: see Procedures Volume 2, C I-1 point 4 and C I-3 point 3.

⁴ With the exception of Criterion 9 and (where applicable) Criterion 10: See C I-1 point 4 and C I-3 point 3 above.

C II-1.2 Summary of Review Panel's assessment

- 1 The Review Panel should summarise its assessment of the application in the form given in *Annex, F2*
- 2 The completed form is to be kept **strictly private and confidential between the Applicant and IACS Council and the Review Panel.**

C II-1.3 Council's review

IACS Charter, Annex 1	Council Procedure
<p>1.1(j) Upon receipt of the Review Panel's recommendation and its file of information provided by the Applicant, the IACS Council shall inform the Applicant that it is entitled to a hearing by the IACS Council before the IACS Council takes its decision. The IACS Council is to determine whether the documentation is complete and may ask the Applicant to provide further information within a reasonable deadline set by the IACS Council;</p>	<p>Upon receipt of the Review Panel's recommendation and its file of information provided by the Applicant, the Chairman of Council shall inform the Applicant that it is entitled to a hearing by the IACS Council before the IACS Council takes its decision. It should be made clear to the Applicant that such a hearing is voluntary and choosing not to have a hearing will not be considered negatively. In instances where the recommendation of the Review Panel is positive the need for a hearing is likely to be slight.</p> <p>It is preferable that any hearing takes place at a regularly scheduled Council meeting, but in order to meet the 3 months deadline set in 1.1(k), it may be necessary to convene a special meeting for the purpose, the costs of which shall be borne by the Applicant in accordance with 1.1(p).</p> <p>The IACS Council should agree if the documentation package submitted is complete and, if so, proceed with its review. If not complete, the Applicant should be asked to provide further information.</p>
<p>1.1 (k) Within 3 months of receipt of the Review Panel's recommendation, the IACS Council is to decide whether to accept or reject the application. The IACS Council may reject an application on the basis that the Applicant does not satisfy the Membership Criteria and/or that the Applicant has failed to provide sufficient evidence within the reasonable deadline laid down by the IACS Council to demonstrate that it satisfies the Membership Criteria. The Applicant is to be promptly</p>	<p>The Council is to consider the application by correspondence and may make a decision either by correspondence or by meeting as thought fit.</p> <p>The Secretary General is promptly to draft the communication to the Applicant for approval by Council on a short deadline. Once approved the Chairman should inform the Applicant accordingly.</p> <p>Council must provide reasons with the decision.</p>

<p>notified of the IACS Council's decision and reasoning in writing.</p>	
<p>1.1 (l) Any Applicant that is applying for IACS Membership in parallel with an application to the IMO for confirmation that its rules conform to the functional requirements of the International Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers (SOLAS Reg.II-1/3-10, IMO Resolution MSC.287(87)), may seek to have the deadlines relating to the IACS membership application process extended to enable IACS to take the IMO's decision into account. Such a request should be communicated by the Applicant to the Review Panel that may make reference to this in its recommendation to Council.</p>	<p>Any extension to the decision deadlines recommended by the Review Panel is to be considered by Council.</p> <p>If approved, the Applicant should be informed accordingly and the Review Panel tasked with assessing the response of the Applicant to the IMO findings.</p> <p>If all other Membership Criteria are met⁵, <i>either</i></p> <ul style="list-style-type: none"> i) the application may be held in abeyance for a period no longer than 20 months at the end of which a decision on whether or not to grant membership will be made by the Council, on recommendation of the Review Panel, within a 3 month period from the date of expiration of the period of abeyance; or ii) the Review Panel may consider rectification of the nonconformities to be straightforward and so may make an immediate recommendation to the Council for the grant of membership to the Applicant at this time (ie not to exercise its right to hold the application in abeyance while the nonconformities are addressed). <p>Notwithstanding any other hearing(s) an Applicant may also request a hearing on this specific decision.</p>

⁵ With the exception of Criterion 9 and (where applicable) Criterion 10: See C I-1 point 4 and C I-3 point 3 above.

D MEMBERSHIP CRITERIA - CONTINUED VERIFICATION

D I PROCEDURES FOR PERIODICAL VERIFICATION OF IACS MEMBERS' COMPLIANCE WITH THE MEMBERSHIP CRITERIA

1 The criteria for membership of IACS are given in the IACS *Charter*, 3.1. Refer also to the IACS *Charter*, Annex 1, 1.2.

2 The principles for assessing and meeting Membership Criteria in section C I of this document (IACS Procedures Volume 2) and in particular, references to declarations, confirmations, statements and/or provisions of records or evidence relating to a particular period of time prior to an application for membership to IACS apply *mutatis mutandis* to existing members for the purposes of their continued verification of compliance with the membership criteria. In particular, where reference is made to a time or time-period defined by reference to the time-of application for membership, it should, in the context of a member's periodical verification of compliance with the criteria, be understood as referring to the time of that verification.

D I-1 Quality Secretary and Council

IACS Charter, Annex 1	Procedure
<p>1.2 Verification Process</p> <p>IACS shall verify all IACS Members' compliance with the Membership Criteria on a concurrent basis once every three years (the "Periodic Review Date").</p> <p>1.2 (a)</p> <p>For existing IACS Members, the first Periodic Review Date was between 1 January and 1 July 2011. For any new IACS Member, the first periodic review shall be the first Periodic Review Date immediately following its admission to membership, unless the Date is less than 6 months from the date of the new IACS Member's admission to IACS.</p>	

<p>1.2 (b)</p> <p>On the occasion of its first periodic verification, each IACS Member is to submit to the IACS Council, through the Quality Secretary, a compliance statement containing all relevant information, evidence and explanation, with a view to demonstrating that it fulfils the Membership Criteria. The compliance statement shall in particular include information responding to each “Document to be submitted” set out in Volume 2 of the IACS Procedures (C 1-4).</p> <p>1.2 (c)</p> <p>For subsequent periodic reviews, a statement of any changes that have occurred in relation to the demonstrated compliance with Membership Criteria since the last periodic review will be sufficient. If the information provided at the previous periodic review has changed but without affecting the demonstrated compliance, no statement of such changes is required.</p>	<p>The Quality Secretary is to notify the Member that the information has been received and then to verify that the compliance statement contains all relevant information, evidence and explanation, with a view to demonstrating that it fulfils the Membership Criteria. Reference is to be made to Volume 2 of the IACS Procedures (C 1-4).</p> <p>If complete, the Quality Secretary is to forward to the Chairman of Council for Council review.</p> <p>If incomplete, the Quality Secretary is to request the Member to provide the outstanding application material.</p>
<p>1.2 (d)</p> <p>If the IACS Member considers that any of the information in its compliance statement is confidential, it should so advise the IACS Council in writing and provide a non-confidential summary to the Quality Secretary, together with the full confidential version of the compliance statement. In order to verify the accuracy of the non-confidential summary provided by the IACS Member, the Quality Secretary only shall, upon signature of an appropriate confidentiality agreement with the IACS Member, have access to the full confidential version of the compliance statement. The compliance statement shall then be considered by the IACS Council in its non-confidential form.</p>	<p>The Quality Secretary is to advise Council that the non-confidential compliance statement has been verified against the full confidential version.</p>

<p>1.2 (e)</p> <p>The IACS Council is to review the compliance statement and, if it finds that any relevant information, evidence or explanation needed to make a determination of continuing compliance is missing, it shall ask the IACS Member to provide the missing element within a reasonable deadline set by the IACS Council.</p>	
<p>1.2 (f)</p> <p>Each IACS Member has the right to a hearing by the IACS Council before the IACS Council takes its decision.</p>	<p>The IACS Member is to request a hearing in front of Council in writing to the Chairman of Council.</p>
<p>1.2 (g)</p> <p>Once the IACS Council is satisfied that it has received all relevant information from the IACS Member, it shall so inform the IACS Member and within 3 months therefrom the IACS Council is to decide whether to:</p> <ul style="list-style-type: none"> • confirm continued membership, or • initiate the suspension process in accordance with the procedure laid down in the IACS Charter, Annex 1, Section 1.3. 	<p>The Chairman of Council is to advise the Member in writing that all relevant information has been received.</p> <p>In the event that a vote is required to be taken, the normal voting rules of Council apply; that is, three-quarter majority of Members entitled to vote.</p>
<p>1.2 (h)</p> <p>The IACS Member is to be notified of the IACS Council's decision in writing.</p>	<p>The IACS Member is to be advised in writing of the Council's decision by the Chairman of Council. This to be within 3 months of the date that the Chairman of Council advised the Member that all relevant information had been received.</p>
<p>1.2 (last paragraph)</p> <p>Each IACS Member is required to report to the IACS Council immediately that it ceases to have valid QSCS certification as required by Membership Criterion 2 in the IACS Charter. In such a case, IACS Council is to initiate an immediate inquiry. Where IACS</p>	

Council determines that the IACS Member does not comply with Criterion 2, it shall immediately initiate the suspension process laid in the IACS Charter, Annex 1, Section 1.3.	
--	--

D II PROCEDURES REGARDING SUSPENSION AND WITHDRAWAL OF IACS MEMBERSHIP

1 Refer to the Charter, Annex 1, 1.3.

2 Refer also to the Charter, Section 3.6(a), which sets out the obligations of IACS Members to contribute to IACS on an equal financial basis with other IACS Members. The dues payable by IACS Members shall be calculated by the Secretary General, and notices of the dues payable, "payment notices", shall be issued to each Member in both hard and soft copies. If an IACS Member shall fail to pay the dues payable by it in full within 30 days of the Secretary General issuing a payment notice, the Secretary General shall send a payment reminder forthwith by courier and electronically, requiring payment in full by the Member in question within 60 days of the date of the payment reminder. If the Member shall fail to comply fully with the payment reminder, the IACS Council shall initiate the suspension and withdrawal process in accordance with the Charter, Annex 1, 1.3 and the procedures set out there in shall apply mutatis mutandis. The rights to appeal in the Charter, Annex 1, 1.5 shall apply in the same way as with any other suspension or withdrawal decision.

E INDEPENDENT APPEALS PROCESS

1 Refer to the *Charter, Annex 1, 1.5* regarding the Independent Appeals Process and the *Charter, Annex 2, Appeal Board Rules of Procedure*, in relation to IACS Council decisions to reject, suspend or withdraw membership.

E I INDEPENDENT APPEAL BOARD

1 The Appeal Board will be called the "IACS Independent Appeal Board" with acronym "IAB".

2 Contact details are given in the 'form letter' referenced below.

E I-1 STANDARD FORM COVER LETTER FOR A NOTICE OF APPEAL

1 A standard form cover letter for a notice of appeal is given in Annex, *F3*.

F ACCOMPANYING FORMS AND LETTERS

F I STANDARD FORM LETTER FOR MEMBERSHIP APPLICATION

To: Secretary General
International Association of Classification Societies

From: *[name of Applicant]*

Your ref: [xxxxxxx]

Date: [xx/xx/xxxx]

Subject: Application for Membership of the International Association of Classification Societies

We *[name of Applicant]* hereby apply for IACS membership. Accompanying this letter is the necessary supporting documentation to demonstrate that we meet all the IACS membership criteria. IACS is requested to review the attached documentation and confirm that *[name of Applicant]* meets Membership Criterion 1.

Subject to IACS confirmation, to be received within three months, that we are a Classification Society as defined by IACS, we will then provide IACS Quality Secretary with a confirmed audit schedule to be observed by the IACS Quality Secretary with a view to obtaining valid QSCS certification.

The *[name of Applicant]* agrees to bear IACS' costs associated with this application, including those associated with observing the QSCS audits, irrespective of the final outcome of the application, and accepts the Charter and Procedures of IACS, including those relating to membership applications and appeals.

It is understood that, following the issuance and satisfactory benchmarking of QSCS certification, IACS will proceed to reviewing the complete set of documentation demonstrating compliance with the other membership criteria. *[name of Applicant]* will receive a decision within 9 months of the ACB being confirmed as meeting the IACS Benchmarking process (subject to any extensions resulting from evaluation of Membership Criterion 11).

We accept that our application will be considered by IACS on the basis of the information submitted and any further information requested by IACS and provided by *[name of Applicant]* in accordance with a reasonable timetable set by IACS.

[name of Applicant] also requests that this application be treated as a request to become a member of IACS Ltd.

If IACS requires any clarifications or further information, or if IACS considers that a meeting would be desirable, please contact the designated person below.

[Name of Designated Person]

[Position of Designated Person]

Contact details:

Telephone Number:

Email Number

F II SUMMARY OF COUNCIL'S ASSESSMENT OF APPLICATION FOR IACS MEMBERSHIP

General Information:

The following form is provided to assist IACS in monitoring an Applicant's progress in submitting the requisite documentation and information for the review of their membership application.

Applicant	
Date of receipt of membership application	
Composition of IACS Review Panel	
Date of confirmation against Criterion 1	
Date audit schedule received	
Date of issue of QSCS certification by the ACB	
Date of ACB compliance with IACS benchmarking	
Date of completion of Review Panel's assessment and recommendation to Council	
Review Panel's recommendation to Council (positive/negative)	
Deadline for Council's decision on the Review Panel's recommendation	
Date QS countersigns new Member's QSCS Statement of Compliance (if membership successful)	

REVIEW PANEL'S RECOMMENDATION TO COUNCIL [Including reasons for the overall recommendation]

Signed

Date

F III STANDARD FORM COVER LETTER FOR A NOTICE OF APPEAL

To: The Independent Appeal Board
International Association of Classification Societies
36 Broadway
London SW1H 0BH
United Kingdom

email: iab@iacs.org.uk

Cc: The-Secretary General
International Association of Classification Societies
36 Broadway
London SW1H 0BH
United Kingdom

email: permsec@iacs.org.uk

From: [Name and address of the Appellant]

Date:

Subject: Submission of Notice of Appeal

[*Name of the Appellant*] encloses a Notice of Appeal in accordance with the Independent Appeal Board (IAB) Rules of Procedure (Annex 2 to the Charter of IACS).

[*Name of the Appellant*] accepts the appeal procedures contained in the Charter and Procedures of IACS and agrees that none of the members of the IAB, individually or collectively, nor the Secretary of the IAB or any other person that has been appointed to perform the functions of Secretary of the IAB, shall be liable to any party howsoever for any act or omission in connection with any appeal conducted by reference to the Charter and Procedures of IACS, save where the act or omission is shown by that party to constitute conscious and deliberate wrongdoing committed by the body or person alleged to be liable by that party.

[*The Appellant should indicate if any of the information submitted with the Notice of Appeal should be treated as confidential with regards to IACS, its Members and any third parties. The terms of confidentiality will be at the discretion of the IAB.*]

Concurrently with sending the Notice of Appeal, the Appellant has made a payment of GBP [*GBP 25,000 for appealing decisions bound to membership refusal or withdrawal, or GBP 10,000 for appealing other decisions, as applicable*] to account number XXXXXX held by XXXXXX Bank, as a deposit pending any orders made by the IAB as to payment of costs and expenses of the Appeal Board, in accordance with Rule 12 of the IAB Rules of Procedure (Annex 2 to the IACS Charter). Proof of payment is enclosed with this letter.

Signed

Name:

Position:

For and on behalf of [*Name of the Appellant*]:

Encs.

G ANNEX 1 – FLOWCHART OF MEMBERSHIP APPLICATION PROCESS

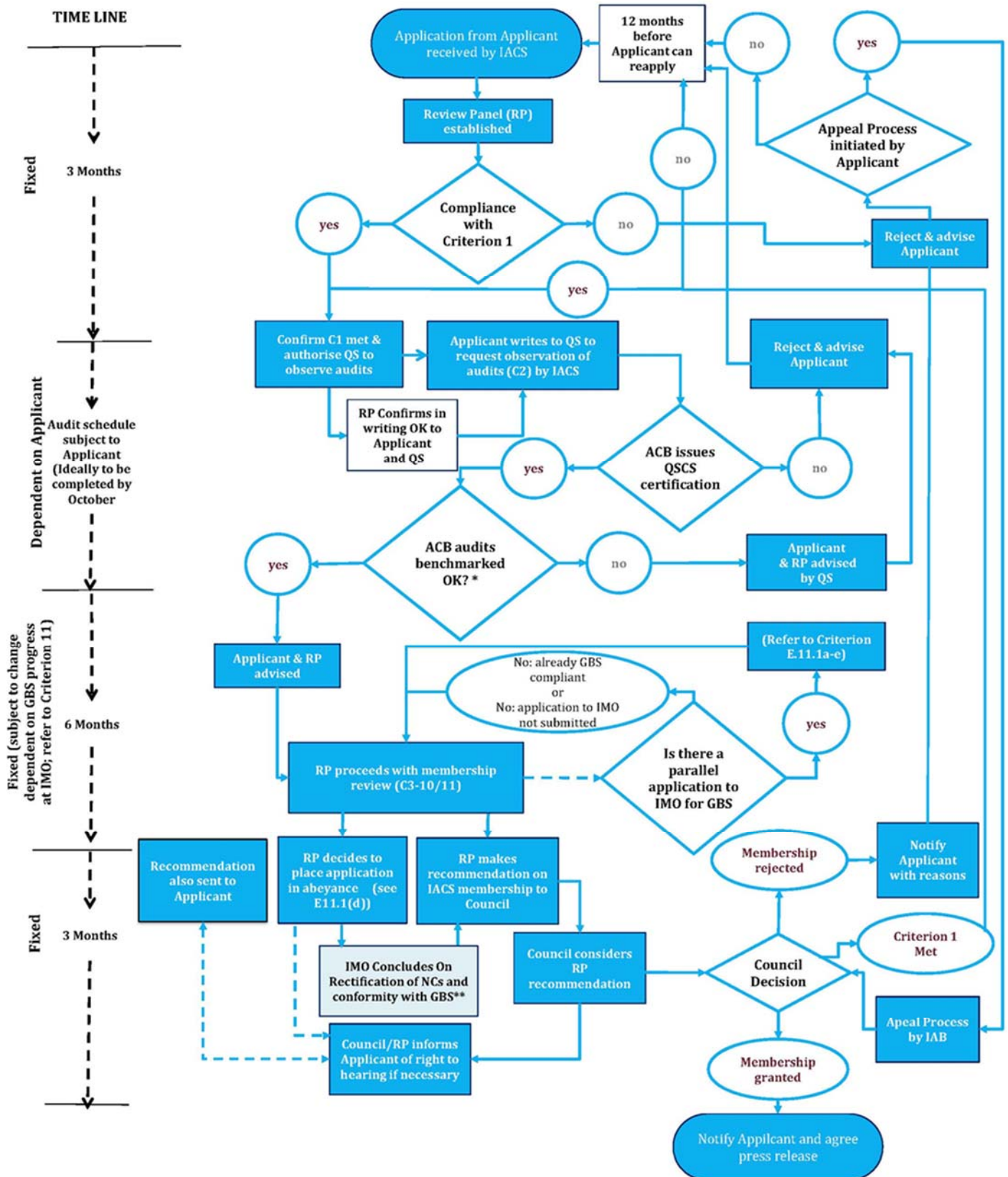
This flowchart provides a general overview of the process and timetable for the application of membership to IACS. It is not meant to be an exhaustive summary of the membership application process. In the case of any perceived or actual conflict between the flowchart and sections A to C, and E of this document (Volume 2), the text in sections A to C, and E of this document takes precedence.

* If the Applicant is awarded its QSCS certification before 01 October of any year IACS will benchmark the ACB of the Applicant against the previous year's audits. For QSCS Certification awarded on or after 01 October of any year, the ACB will be benchmarked concurrently with existing Members against that year's audits by 31 January in the following year.

** The Applicant's application may be held in abeyance for a period no longer than 20 months at the end of which a decision on whether or not to grant membership will be made by the Council, on recommendation of the Review Panel, within a 3 month period from the date of expiration of the period of abeyance

ANNEX 1 – FLOWCHART OF MEMBERSHIP APPLICATION PROCESS

Potential Applicant communicates with IACS prior to starting process to discuss timings of ACB audits and GBS submission



G ANNEX 2 – SAMPLE LIST OF SHIP TYPES

Cargo types	Ship types
LIQUID GAS CARGOES	LNG Carrier; LPG Carrier.
OIL; CHEMICAL; OTHER LIQUID CARGOES	Crude oil carrier; Oil product carrier (FP<=60c); Oil product carrier (FP>60c); Chemical Tanker; Chemical Tanker (non-flammable cargoes); NLS tanker; Tanker - innocuous cargoes.
OIL OR DRY BULK CARGOES	OBO carrier (crude oil); OBO carrier (oil products); Ore/oil carrier (crude oil); Ore/oil carrier (oil products).
DRY BULK CARGOES	Bulk carrier; Ore carrier; Cement carrier; Coal carrier.
GENERAL CARGOES	General cargo ship; Refrigerated cargo ship; Deck cargo ship; Offshore supply ship; Heavy lift ship; Barge carrier; Livestock carrier; Container ship; Refrigerated container ship; RoRo cargo ship; RoRo cargo ferry;

	Vehicles carrier.
PASSENGERS; PASSENGER CARGOES	Passenger ship, >36 passengers; Passenger/gen cargo ship, >36 passengers; Passenger/RoRo ship, >36 passengers; Passenger ship, <=36 passengers; Passenger/gen cargo ship, <=36 passengers; Passenger/RoRo ship, <=36 passengers;
MISCELLANEOUS SELF-PROPELLED	Diving support ship; Drilling ship; Research ship; Cable ship; Tug (ocean-going); Crane ship; Dredger; Icebreaker.

Revision History

Corrigenda 1 – Nov 2017

Subject no: 16237_ICf

Amendment to clause E1.6 of, Criterion 1, Section C I-4.