

**No.18**  
(Rev.0 July  
2009)  
(Rev.1  
Sept 2012)

# Transfer of Safety and Security Management Systems Certification

## Introduction

This Procedural Requirement governs the transfer of ISM and ISPS Code certification from one Society (the losing Society) to another Society (the gaining Society), and is applicable irrespective whether the Certification is mandatory or voluntary.

## Application

This PR shall apply to all cases of transfer of ISM and ISPS Code certification between Classification Societies who implement PR9/PR24, except as noted in section 2.0 below.

Societies shall follow this Procedural Requirement when a request from a Company is received for the transfer of ISM and / or ISPS Code Certification from one Society to another Society.

- Annex 1      Process Flow Chart for transfer of certification
- Annex 2      Link to Contact Points
- Annex 3      Transfer of Certification (Form TC)

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### Notes:

1. This Procedural Requirement applies from 1 July 2009.
2. The Rev.1 of this Procedural Requirement applies from 1 February 2013.

**No.18**

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**1.0 Definitions**

- 1.1 “Gaining Society (GS)” means a Society that receives a request for a transfer of ISM Code certification for a Company or ship; or, the transfer of ISPS Code certification for a ship from another Society.
- 1.2 “Losing Society (LS)” means a Society from which ISM Code certification or ISPS Code certification is being transferred.

**2.0 General**

- 2.1 This procedure shall not apply in cases involving a change of management company.

**3.0 Gaining Society’s Obligations and Reporting**

- 3.1 On receiving a request from a Company to take over its ISM and / or ISPS Code certification from another Society, the GS must inform the Company, in writing, that an application for such certification can only be accepted by the GS after it has received confirmation (with supporting documentation) that:
- (i) The existing certificate has not been withdrawn or otherwise invalidated by the LS or the Flag;
  - (ii) All verifications initiated by the LS have been satisfactorily completed by the LS, unless otherwise agreed between the gaining and losing Societies; and
  - (iii) Any major non-conformities have been closed out or down-graded by the LS.
- 3.2 Where a written request for transfer of certification has been received from the Company, the GS shall notify the LS of the Company’s request by using Step 1 of Form TC.
- 3.3 If evidence of the certification status listed in Step 2 of Form TC is not received from the LS within three (3) working days from notification, the GS may utilize the evidence and certification information provided by the Company. In such cases, a statement reminding the Company that the conditions of 3.1 are still applicable shall be given when the GS requests this information from the Company.
- 3.4 An audit is required for the issue of a new certificate. If the certificate has been issued by the flag, the auditor may endorse the certificate on behalf of the administration if authorised to do so.
- 3.5 The audit by the GS shall address all elements of the ISM (ISPS) Code, to the extent that the RO (RSO) is so authorized by the Administration, any flag Administration requirements and any matters arising out of the last audit carried out by the LS. Where the transfer of certification occurs within the annual, intermediate or renewal due date window, the corresponding audit may serve as the audit required in 3.4.
- 3.6 If the audit is successful and a new certificate is issued by the GS, the GS must inform the LS, within one (1) month of the date of issue, by completing Step 3 of Form TC.
- 3.7 When the audit is not successful and, as a result, the transfer of certification is not accepted, the GS shall inform the LS, within two (2) working days of the date of the

**No.18**

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audit, by completing Step 3 of Form TC and attaching the audit report in which the reason for the rejection should be fully explained.

**4.0 Losing Society's Obligations and Reporting**

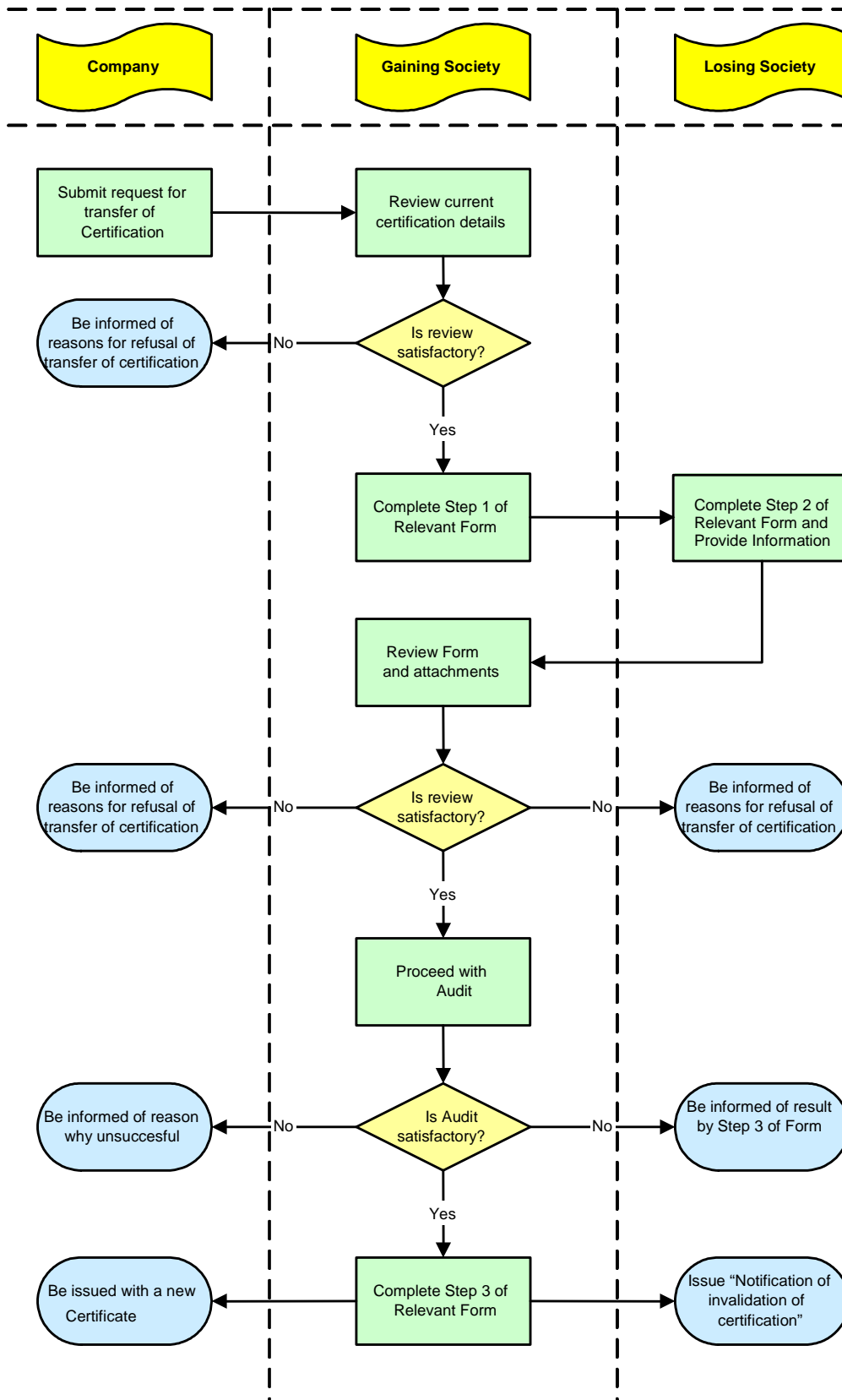
- 4.1 The LS shall co-operate by providing the information specified in Step 2 of Form TC within three (3) working days of the receipt of the completed Step 1. The documentation to be attached to the form by the LS includes:
- (i) The last external audit report, including any non-conformities and failures identified;
  - (ii) In the case of ISM non-conformities this should include the corrective action plan and the time period(s) proposed for implementation;
  - (iii) In the case of ISPS failures, evidence that corrective action has been proposed and the failure has been properly addressed; and
  - (iv) Any other information that may be relevant to the decision to accept or reject the transfer of certification.
- 4.2 Upon receipt of information that a new certificate has been issued by the GS, the LS shall issue a "Notification of Invalidation of Certification" in accordance with PR 9 or PR 24 as applicable, ensuring that the GS is included in its circulation.
- 4.3 Upon receipt of information that the audit is not successful because of an unresolved major non-conformity and / or failure raised by the GS, the LS shall review the findings and take action as appropriate.

**5.0 Other Requirements**

Any administrative differences arising in relation to the implementation of this PR that cannot be settled privately between the gaining and losing Societies are to be solved under the IACS Procedures, Volume 3, Annex 4 "IACS Procedure for handling a complaint" "Complaints against QSCS Certificate Holders".

**No.18** Annex 1: Process Flow Chart for transfer of certification

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## **No.18** Annex 2: Link to Contact Points

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The contact details can now be found on the IACS website [www.iacs.org.uk](http://www.iacs.org.uk), located under Procedural requirements:

- IACS PR-18 Contact Details (for ISM & ISPS matters)

**No.18** Annex 3: Transfer of Certification (Form TC)

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**SPECIFY TRANSFER OF CERTIFICATION:**DOC SMC ISSC **COMMON PARTICULARS:**

Losing Society / Fax / e-mail \_\_\_\_\_

Gaining Society / Fax / e-mail \_\_\_\_\_

Company Name: \_\_\_\_\_ Name of Ship: \_\_\_\_\_

Company Address: \_\_\_\_\_ IMO Number: \_\_\_\_\_

\_\_\_\_\_ Company No: \_\_\_\_\_

**PROCEDURE:**

| STEP 1   | to be completed by the GAINING SOCIETY and sent to LOSING SOCIETY |   |   |   |   |   |     |      |
|--|---|---|---|---|---|---|-----|------|
| Relevant Information   | DOC   |   |   |   |   |   | SMC | ISSC |
|  | 1   | 2 | 3 | 4 | 5 | 6 |     |      |
| Flag   |   |   |   |   |   |   |     |      |
| Ship Type(s)<br>(PS, PHS, CHC,<br>BC, OT, CT,<br>GC, MODU,<br>OCS) |   |   |   |   |   |   |     |      |
| Responsible Person   |   |   |   |   |   |   |     |      |
| Position   |   |   |   |   |   |   |     |      |
| Date completed and sent  |   |   |   |   |   |   |     |      |

| STEP 2   | to be completed by the LOSING SOCIETY and sent to GAINING SOCIETY |  |
|--|---|--|
| Attached documentation:  |   |  |
| Audit report   | <input type="checkbox"/>  |  |
| Copy of certificate  | <input type="checkbox"/>  |  |
| Details of agreed corrective action plan and time frame  | <input type="checkbox"/>  |  |
| Any other attachment, including outstanding verification to be completed by losing society (specify) | <input type="checkbox"/>  |  |
| Responsible Person   |   |  |
| Position   |   |  |
| Date completed and sent  |   |  |

| STEP 3                   | to be completed by the GAINING SOCIETY and sent to LOSING SOCIETY |   |
|--------------------------|---|---|
| Verification successful? | <input type="checkbox"/> Yes                                      | <input type="checkbox"/> No (attach audit report) |
| Responsible Person       |   |   |
| Position                 |   |   |
| Date completed and sent  |   |   |

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