

**§ 96.420 What authority may an organization ask for under this regulation?**

(a) An organization may request authorization to conduct safety management audits and to issue the following certificates:

- (1) Safety Management Certificate;
- (2) Document of Compliance certificate;
- (3) Interim Safety Management Certificate; and
- (4) Interim Document of Compliance certificate.

(b) [Reserved]

**§ 96.430 How does an organization submit a request to be authorized?**

(a) A recognized organization must send a written request for authorization to the Commandant (CG-521), Office of Design and Engineering Standards, 2100 2nd St. SW., Stop 7126, Washington, DC 20593-7126. The request must include the following:

- (1) A statement describing what type of authorization the organization seeks;
- (2) Documents showing that—
  - (i) The organization has an internal quality system with written policies, procedures and processes that meet the requirements in § 96.440 of this part for safety management auditing and certification; or
  - (ii) The organization has an internal quality system based on ANSI/ASQC C9001 for safety management auditing and certification; or
  - (iii) The organization has an equivalent internal quality standard system recognized by the Coast Guard to complete safety management audits and certification.

(3) A list of the organization's exclusive auditors qualified to complete safety management audits and their operational area; and

(4) A written statement that the procedures and records of the recognized organization regarding its actions involving safety management system audits and certification are available for review annually and at any time deemed necessary by the Coast Guard.

(b) If the organization is a foreign classification society that has been recognized under 46 CFR part 8, subparts A and B, and wishes to apply for

authorization under this part, it must demonstrate the reciprocity required by 46 U.S.C. 3316 for ISM Code certification. The organization must provide, with its request for authorization an affidavit from the government of the country in which the classification society is headquartered. This affidavit must provide a list of authorized delegations by the flag state of the administration of the foreign classification society's country to the American Bureau of Shipping, and indicate any conditions related to the delegated authority. If this affidavit is not received with a request for authorization from a foreign classification society, the request for authorization will be disapproved and returned by the Coast Guard.

(c) Upon the satisfactory completion of the Coast Guard's evaluation of a request for authorization, the organization will be visited for an evaluation as described in § 96.440(b) of this part.

**§ 96.440 How will the Coast Guard decide whether to approve an organization's request to be authorized?**

(a) First, the Coast Guard will evaluate the organization's request for authorization and supporting written materials, looking for evidence of the following—

- (1) The organization's clear assignment of management duties;
- (2) Ethical standards for managers and auditors;
- (3) Procedures for auditor training, qualification, certification, and re-qualification that are consistent with recognized industry standards;
- (4) Procedures for auditing safety management systems that are consistent with recognized industry standards and IMO Resolution A.788(19);
- (5) Acceptable standards for internal auditing and management review;
- (6) Record-keeping standards for safety management auditing and certification;
- (7) Methods for reporting non-conformities and recording completion of remedial actions;
- (8) Methods for certifying safety management systems;
- (9) Methods for periodic and intermediate audits of safety management systems;