

Coast Guard, DHS

§ 4.40-30

(b) The Commandant determines from the preliminary investigation whether:

(1) The casualty is a major marine casualty; or

(2) The casualty involves a public and a non-public vessel and at least one fatality or \$75,000 in property damage; or

(3) The casualty involves a Coast Guard and a non-public vessel and at least one fatality or \$75,000 in property damage; or

(4) The casualty is a major marine casualty which involves significant safety issues relating to Coast Guard safety functions, e.g., search and rescue, aids to navigation, vessel traffic systems, commercial vessel safety, etc.

(c) The Commandant notifies the Board of a casualty described in paragraph (b) of this section.

[CGD 76-149, 42 FR 61200, Dec. 1, 1977, as amended by CGD 82-034, 47 FR 45882, Oct. 14, 1982]

§ 4.40-15 Marine casualty investigation by the Board.

(a) The Board may conduct an investigation under the Act of any major marine casualty or any casualty involving public and non-public vessels. Where the Board determines it will convene a hearing in connection with such an investigation, the Board's rules of practice for transportation accident hearings in 49 CFR part 845 shall apply.

(b) The Board shall conduct an investigation under the Act when:

(1) The casualty involves a Coast Guard and a non-public vessel and at least one fatality or \$75,000 in property damage; or

(2) The Commandant and the Board agree that the Board shall conduct the investigation, and the casualty involves a public and a non-public vessel and at least one fatality or \$75,000 in property damage; or

(3) The Commandant and the Board agree that the Board shall conduct the investigation, and the casualty is a major marine casualty which involves significant safety issues relating to Coast Guard safety functions.

[CGD 82-034, 47 FR 45882, Oct. 14, 1982]

§ 4.40-20 Cause or probable cause determinations from Board investigation.

After an investigation conducted by the Board under § 4.40-15, the Board determines cause or probable cause and issues a report of that determination.

§ 4.40-25 Coast Guard marine casualty investigation for the Board.

(a) If the Board does not conduct an investigation under § 4.40-15 (a), (b) (2) or (3), the Coast Guard, at the request of the Board, may conduct an investigation under the Act unless there is an allegation of Federal Government misfeasance or nonfeasance.

(b) The Board will request the Coast Guard to conduct an investigation under paragraph (a) of this section within 48 hours of receiving notice under § 4.40-10(c).

(c) The Coast Guard will advise the Board within 24 hours of receipt of a request under paragraph (b) of this section whether the Coast Guard will conduct an investigation under the Act.

[CGD 82-034, 47 FR 45882, Oct. 14, 1982]

§ 4.40-30 Procedures for Coast Guard investigation.

(a) The Coast Guard conducts an investigation under § 4.40-25 using the procedures in 46 CFR 4.01-1 through 4.23-1.

(b) The Board may designate a person or persons to participate in every phase of an investigation, including an on scene investigation, that is conducted under the provisions of subpart 4.40-25 of this part.

(c) Consistent with Coast Guard responsibility to direct the course of the investigation, the person or persons designated by the Board under paragraph (b) of this section may:

(1) Make recommendations about the scope of the investigations.

(2) Call and examine witnesses.

(3) Submit or request additional evidence.

(d) The Commandant provides a record of the proceedings to the Board of an investigation of a major marine casualty under paragraph (a) of this section.

(e) The Board, under the Act, makes its determination of the facts, conditions, circumstances, and the cause or

§ 4.40-35

probable cause of a major marine casualty using the record of the proceedings provided by the Commandant under paragraph (d) of this section, and any additional evidence the Board may acquire under its own authority.

(f) An investigation by the Coast Guard under this section is both an investigation under the Act and under 46 U.S.C. Chapter 63.

[CGD 76-149, 42 FR 61200, Dec. 1, 1977, as amended by CGD 95-028, 62 FR 51195, Sept. 30, 1997; USCG-2004-18884, 69 FR 58341, Sept. 30, 2004]

§ 4.40-35 Records of the Coast Guard and the Board.

(a) Records of the Coast Guard made under § 4.40-30 are available to the public under 49 CFR part 7.

(b) Records of the Board made under §§ 4.40-20 and 4.40-30 are available to the public under 49 CFR part 801.

PART 5—MARINE INVESTIGATION REGULATIONS—PERSONNEL ACTION

Subpart A—Purpose

Sec.

- 5.3 Purpose of regulations.
- 5.5 Purpose of administrative actions.

Subpart B—Definitions

- 5.11 Officer in Charge, Marine Inspection.
- 5.15 Investigating Officer.
- 5.19 Administrative Law Judge.
- 5.27 Misconduct.
- 5.29 Negligence.
- 5.31 Incompetence.
- 5.33 Violation of law or regulation.
- 5.35 Conviction for a dangerous drug law violation, use of, or addiction to the use of dangerous drugs.
- 5.40 Credential and merchant mariner credential.

Subpart C—Statement of Policy and Interpretation

- 5.51 Construction of regulations.
- 5.55 Time limitations for service of a complaint.
- 5.57 Acting under authority of Coast Guard credential or endorsement.
- 5.59 Offenses for which revocation of credentials or endorsements is mandatory.
- 5.61 Acts or offenses for which revocation of credentials is sought.
- 5.65 Commandant's decisions in appeal or review cases.

46 CFR Ch. I (10-1-11 Edition)

- 5.67 Physician-patient privilege.
- 5.69 Evidence of criminal liability.
- 5.71 Maritime labor disputes.

Subpart D—Investigations

- 5.101 Conduct of investigations.
- 5.103 Powers of investigating officer.
- 5.105 Course of action available.
- 5.107 Service of complaints.

Subpart E—Deposit or Surrender of Coast Guard Credential or Endorsement

- 5.201 Voluntary deposits in event of mental or physical incompetence.
- 5.203 Voluntary surrender to avoid hearing.
- 5.205 Return or issuance of a credential or endorsement.

Subpart F—Subpoenas

- 5.301 Issuance of subpoenas.
- 5.303 Service of subpoenas on behalf of the respondent.
- 5.305 Quashing a subpoena.
- 5.307 Enforcement.
- 5.309 Proof of service

Subpart G—Witness Fees

- 5.401 Payment of witness fees and allowances.

Subpart H—Hearings

- 5.501 General.
- 5.521 Verification of credential or endorsement.
- 5.567 Order.
- 5.569 Selection of an appropriate order.

Subpart I [Reserved]

Subpart J—Appeals

- 5.701 Appeals in general.
- 5.707 Stay of effect of decision and order of Administrative Law Judge on appeal to the Commandant; temporary credential or endorsement.
- 5.713 Appeals to the National Transportation Safety Board.
- 5.715 Stay of effect of Decision of the Commandant on Appeal: Temporary credential and/or endorsement pending appeal to National Transportation Safety Board.

Subpart K—Review of Administrative Law Judge's Decisions in Cases Where Charges Have Been Found Proved

- 5.801 Commandant's review.
- 5.803 Record for decision on review.
- 5.805 Action on review.
- 5.807 Commandant's Decision on Review.