



TECHNICAL CIRCULAR No. 115 of 17th March 2013

To:	All Surveyors/Auditors
Applicable to flag:	All Flags
Subject:	Transfer of Security Management Systems Certification
Reference:	ISPS Code certification

Transfer of Security Management Systems Certification

This circular explains the transfer of ISPS Code certification from the losing Society (LS) to gaining Society (GS) and is applicable irrespective whether the ISPS Code Certification is mandatory or voluntary except cases involving change of company.

Note 1: "Gaining Society" means a Classification Society which receives a request for a transfer of ISPS Code certification for a ship from another classification society.

Note 2: "Losing Society" means a Classification Society from which ISPS Code certification is being transferred.

The Auditor is responsible for performance of the audit in accordance with CONARINA process instruction and associated work instructions.

When a request from a Company is received for the transfer of ISPS Code Certification of a company from CONARINA to another classification Society, CONARINA shall ensure that the following procedure is strictly followed, as applicable.

- 1) Attachment A, Process Flow Chart for Transfer of Safety and Security Management Systems Certification, describes the process for transfer of ISPS Code certification between the gaining Society and the losing Society.

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- 2) The list of contacts for Transfer of Safety and Security Management Systems Certification can be found on the IACS website <http://www.iacs.org.uk> > IACS PR-18 Contact Details (for ISM & ISPS matters).
- 1.1 On receiving a request from a Company to take over its ISPS Code certification the CONARINA Head Office shall immediately inform the Company, in writing, that an application for ISPS Code certification can only be accepted by CONARINA after receiving the following information and documentation which support that:
- i) The existing certificate has not been withdrawn or otherwise invalidated by the losing Society or the Flag.
 - ii) Any Verification initiated by the losing Society have been completed by the losing Society unless otherwise agreed between ABS and the losing society.
 - iii) Any "failures" identified by the losing Society have been closed out.
- 1.2 Upon receipt of a written request from a Company for transfer of certification, the CONARINA Head Office shall notify the losing Society of the Company's request.
- 1.3 If evidence of the certification status is not received from the losing Society within three (3) working days from notification, CONARINA may utilize the evidence and certification information provided by the Company. In such cases, a statement reminding the Company that the conditions of 1.1 are still applicable and the Company is required to provide the information upon receipt of request from CONARINA.
- 1.4 A verification is required for the issue of a new certificate.
- 1.5 The verification shall address all elements of the ISPS Code, to the extent that CONARINA is authorized by the Administration, any flag Administration requirements and any matters arising out of the last verification carried out by the losing society. Where the transfer of certification occurs within the annual, intermediate or renewal due date window, the corresponding audit may serve as the verification required in 4.1.5 above. If the certificate has been issued by the flag, the auditor may endorse the certificate on behalf of the administration if authorized to do so.
- 1.6 If the Verification is successful and a new certificate or Statement of Compliance is issued by CONARINA, depending on the extent that CONARINA is so authorized by the Administration, CONARINA shall inform the losing Society and the flag administration within one (1) month from the issuance of the certificate.
- 1.7 If the transfer occurs within the intermediate window, the new certificate or Statement of Compliance shall be issued with the same expiry date as noted on the losing society's certificate. If the transfer occurs within the renewal window (within 3 months of expiry date

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of the certificate), the new certificate or Statement of Compliance shall be issued with the same expiry date as noted on the losing society's certificate plus 5 years. If the transfer occurs outside these windows, the certificate is to be issued with an expiry date of 5 years less one day from the completion date of the transfer audit.

- 1.8 When the verification is not successful and, as a result, the transfer of certification is not accepted, CONARINA shall inform the losing Society, within two (2) working days of the date of the verification and explaining why the verification was not successful.
- 1.9 A record of these activities, including the written communications with the company and the losing society, are to be maintained by CONARINA Head Office.
- 2.1 CONARINA Head Office shall provide all relevant information in CONARINA's possession within three (3) working days, when requested to do so by the gaining Society. The documentation to be attached includes:
 - i) the last external audit report, including any identified failure or non-conformities.
 - ii) evidence that corrective action has been taken and the failure properly addressed.
 - iii) Any other information that may be relevant to the decision to accept or reject the transfer of certification.
- 2.2 Upon receipt of information that a new certificate has been issued by the gaining Society, CONARINA Head Office shall issue a Notification of Invalidation of Certification ensuring that the gaining society is included in its circulation.
- 2.3 Where the verification by the gaining society is not successful because of a failure raised by the gaining society, CONARINA Head Office shall review the findings and take action as appropriate.

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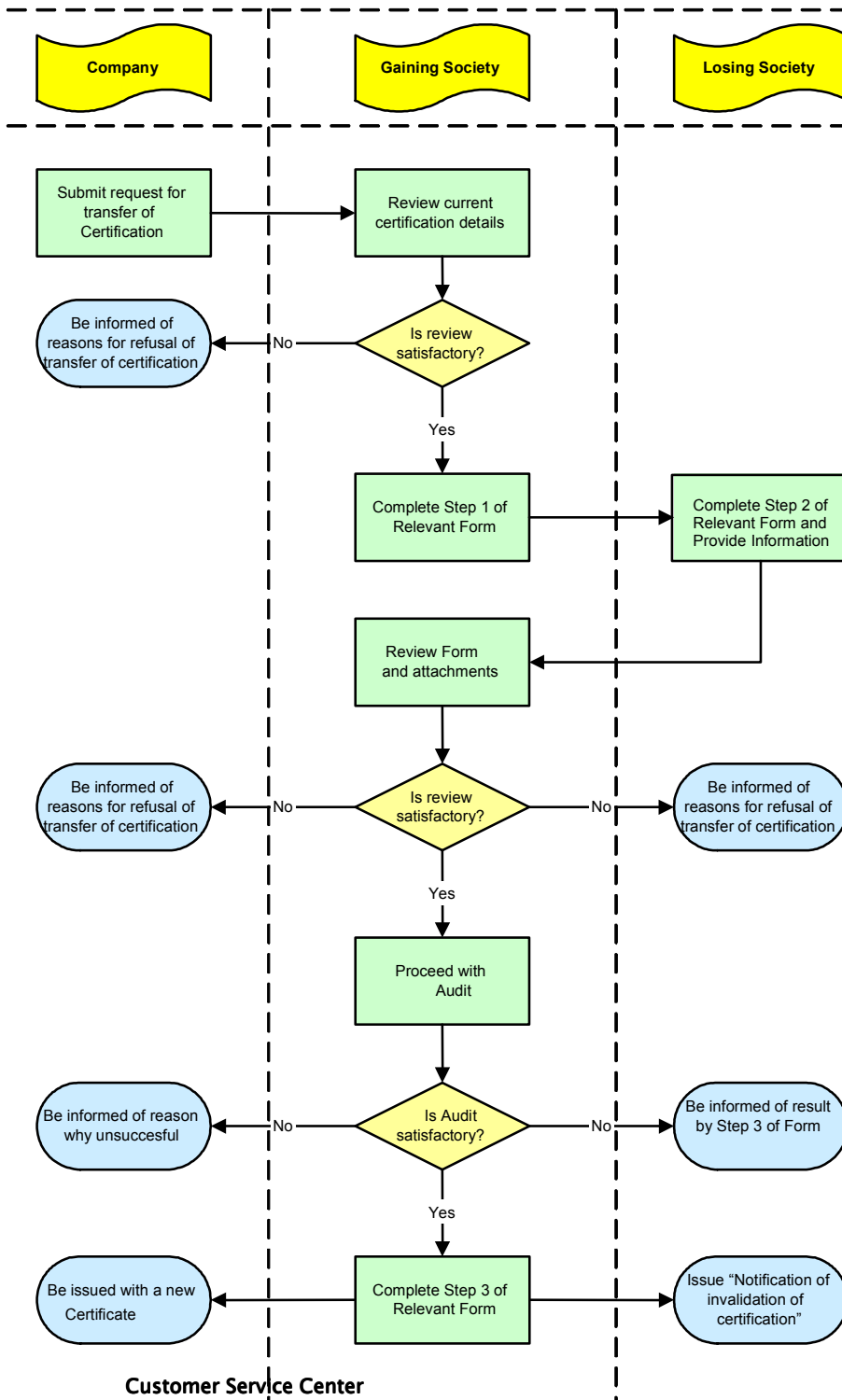
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Process Flow Chart for Transfer of Certification of Management Systems

(This flow chart is arranged from the viewpoint of the gaining Society)

REFERENCES:

- ISPS Code certification
- CONARINA Procedures

ATTACHMENTS: No.

Kindest Regards,
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Naval Architect – Conarina Technical Head Office

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