

**§ 10.401**

which must include the following features:

(A) The training must be provisionally certified, on the basis of an initial independent evaluation conducted under a Coast Guard-accepted QSS, as being capable of meeting its objective.

(B) The training must be periodically monitored in accordance with the schedule stipulated under the Coast Guard-accepted QSS.

(C) Each person conducting the initial evaluation or the subsequent periodic monitoring of the training shall be knowledgeable about the subjects being evaluated or monitored and about the national and international requirements that apply to the training, and shall not himself or herself be involved in the training and assessment of students.

(D) Each person evaluating or monitoring the training shall have access to all appropriate documents and facilities, and shall have opportunities both to observe all appropriate activities and to conduct confidential interviews when necessary.

(E) Arrangements must be such as to ensure that no person evaluating or monitoring the training is penalized or rewarded, directly or indirectly, by the sponsor of the training for making any particular observations or for reaching any particular conclusions.

(11) Each person conducting the initial evaluation under paragraph (a)(10)(ii)(A) of this section or the periodic monitoring of the training under paragraph (a)(10)(ii)(B) of this section shall communicate his or her conclusions to the Commanding Officer, National Maritime Center, NMC-42, 100 Forbes Drive, Martinsburg WV 25404, within 1 month of the completion of the evaluation or the monitoring.

(12) Each offeror of the training shall let the Coast Guard or someone authorized by the Coast Guard observe the records of a student's performance and records otherwise relating to paragraphs (a)(1) through (10) of this section.

(b) The Coast Guard will maintain a list of training each of whose offerors submits a certificate, initially not less than 45 calendar days before offering training under this section, and annually thereafter, signed by the offeror or

its authorized representatives, stating that the training fully complies with requirements of this section, and identifying the Coast Guard-accepted QSS being used for independent monitoring. Training programs on this list will offer the training necessary for licenses and STCW endorsements under this part. The Coast Guard will update this list periodically and make it available to members of the public on request.

(c) If the Coast Guard determines, on the basis of observations or conclusions either of its own or of someone authorized by it to monitor the training, that particular training does not satisfy one or more of the conditions described in paragraph (a) of this section—

(1) The Coast Guard will so notify the offeror of the training by letter, enclosing a report of the observations and conclusions;

(2) The offeror may, within a period specified in the notice, either appeal the observations or conclusions to the Commandant (G-MOC) or bring the training into compliance; and

(3) If the appeal is denied—or the deficiency is not corrected in the allotted time, or within any additional period judged by the Coast Guard to be appropriate, considering progress toward compliance—the Coast Guard will remove the training from the list maintained under paragraph (b) of this section until it can verify full compliance; and it may deny applications for licenses for STCW endorsement based in whole or in part on training not on the list, until additional training or assessment is documented.

[CGD 95-062, 62 FR 34531, June 26, 1997, as amended by USCG-1998-4442, 63 FR 52189, Sept. 30, 1998; USCG-2004-18884, 69 FR 58342, Sept. 30, 2004; USCG-2007-29018, 72 FR 53964, Sept. 21, 2007; USCG-2008-0906, 73 FR 56508, Sept. 29, 2008]

**Subpart D—Professional Requirements for Deck Officers' Licenses**

**§ 10.401 Ocean and near coastal licenses.**

(a) Any license issued for service as master or mate on ocean waters qualifies the licensee to serve in the same grade on any waters, subject to the

## Coast Guard, DHS

## § 10.402

limitations of the license, without additional endorsement.

(b) A license issued for service as master or mate on near coastal waters qualifies the licensee to serve in the same grade on near coastal, Great Lakes, and inland waters, subject to the limitations of the license, without additional endorsement.

(c) Near coastal licenses of any gross tons require the same number of years of service as the ocean unlimited licenses. The primary differences in these licenses are the nature of the service and the professional examination as explained in subpart I of this part.

(d) A licensee having a master or mate near coastal license obtained with ocean service may have the license endorsed for ocean service by completing the appropriate examination deficiencies, provided that the additional service requirements of paragraph (e) of this section do not apply.

(e) Master or third mate near coastal unlimited licenses may be obtained by completing the prescribed examination in subpart I of this part and satisfying the requirements of paragraph (g) while holding a license as unlimited master or mate, respectively, upon Great Lakes and inland waters. To have a near coastal unlimited license obtained in this manner endorsed for ocean service, the licensee must obtain 12 months of service as a deck watch officer or higher on ocean waters on vessels of 1600 gross tons or over, in addition to completing the examination topics.

(f) Masters and mates licenses for service on vessels of over 200 gross tons may be endorsed for sail or auxiliary sail as appropriate. The applicant must present the equivalent total qualifying service required for conventional licenses including at least one year of deck experience on that specific type of vessel. For example, for a license as master of vessels of not more than 1600 gross tons endorsed for auxiliary sail, the applicant must meet the total experience requirements for the conventional license, including time as mate, and the proper tonnage experience, including at least one year of deck service on appropriately sized auxiliary sail vessels. For license endorsement

for service on vessels of 200 gross tons or less see individual license requirements.

(g) In order to obtain a master or mate license with a tonnage limit above 200 gross tons, or a license for 200 gross tons or less with an ocean route, whether an original, raise in grade, or increase in the scope of license authority to a higher tonnage category, the applicant must successfully complete the following training and examination requirements:

(1) Approved firefighting course;  
(2) Approved radar observer course;  
and,

(3) Qualification as an able seaman unlimited or able seaman limited (able seaman special or able seaman offshore supply vessels satisfy the able seaman requirement for licenses permitting service on vessels of 1600 gross tons and less).

(h) Each applicant for a deck license which authorizes service on vessels above 1600 gross tons on ocean or near coastal waters, whether original or raise of grade, must pass a practical signaling examination (flashing light). A license applicant who fails in practical signaling, but passes every other part of the examination, may be issued a license with a 1600 gross ton limitation. The tonnage limitation can be removed upon successful completion of the signaling examination.

[CGD 81-059, 52 FR 38623, Oct. 16, 1987, as amended at 54 FR 135, Jan. 4, 1989]

### **§ 10.402 Tonnage requirements for ocean or near coastal licenses for vessels of over 1600 gross tons.**

(a) To qualify for an ocean or near coastal license for vessels of any gross tons, all the required experience must be obtained on vessels of over 200 gross tons. At least one-half of the required experience must be obtained on vessels of over 1600 gross tons.

(b) If the applicant for an original or raise of grade of a license as master or mate does not have the service on vessels over 1600 gross tons required by paragraph (a) of this section, or is qualifying for third mate under the provisions of paragraph §10.407(c) of this subpart, a tonnage limitation is