

DRAFT

MINISTRY OF PORTS, SHIPPING AND WATERWAYS

NOTIFICATION

New Delhi, the _____ 2026

G.S.R. _____ (E).— “In exercise of the powers conferred by sub-section (1) and (4) of section 144 read with section 145 read with section 148; read with sub-section (2) of section 151 in conjunction with sub-section (1) and clause (a), (b) (c) and (g) of sub-section (2) of section 152 under Part VIII of the Merchant Shipping Act, 2025 (24 of 2025), the Central Government hereby makes the following rules, namely “Merchant Shipping (Survey, Audit and Certification) Rules, 2026”.

Part I – Preliminary

1. Short title and commencement.

(1) These rules may be called the **Merchant Shipping (Survey, Audit and Certification) Rules, 2026**.

(2) They shall come into force on the date of their publication in the Official Gazette.

2. Definitions.

(1) In these rules, unless the context otherwise requires, –

- (a) “Act” means the *Merchant Shipping Act, 2025 (24 of 2025)*;
- (b) “Certificate” means any statutory certificate or document issued under Section 147 of the Act;
- (c) “Certification” means the process of verification and ascertainment that an Indian vessel, company or port is in compliance with Part VIII of the Act and the rules made thereunder, including verification of the required documents, the validity of certificates, and the timely conduct of required surveys or audits by an authorized Surveyor;
- (d) “Director-General” means the Director General of Maritime Administration appointed under subsection (1) of Section 7 of the Act;
- (e) “Recognized Organization” or “RO” means a Classification Society or other body recognized by the Central Government, in accordance with the Merchant Shipping (Recognized Organization) Rules, 2026;
- (f) “Survey” means a comprehensive technical examination of a vessel’s hull, machinery, equipment and safety systems by a Surveyor appointed or authorised by the Central Government to ensure compliance with applicable requirements and to confirm the vessel’s seaworthiness;
- (g) “Surveyor” means any person appointed or authorized under the Act to carry out surveys, audits or inspections of vessels, companies or ports for the purposes of these rules, and includes the Surveyor of organization authorised by the Central Government for the purpose;

(2) Words and expressions used in these rules but not defined herein shall have the meanings respectively assigned to them in the Act or in the relevant international conventions and codes referred to in these rules.

3. Application of Rules.

(1) These rules shall apply to every Indian vessel under the Act, and to every company and port in respect of which Part VIII of the Act requires survey, audit or certification, except to the extent specifically exempted by or under the Act or these rules.

(2) These rules shall also apply to any foreign vessel and company responsible for such foreign vessel, to the extent that the Act and rules impose obligations or conditions upon such vessel, while within India or its coastal waters.

(3) The classification and type of vessels, companies, or ports to which specific requirements or exemptions apply shall be as provided in the respective Schedules annexed hereto; and the detailed requirements, conditions, or procedures applicable to such classes of vessel shall be as specified by the Director General.

Part II – Surveys, Audits and Certificates

4. Requirement of surveys and certificates:-

(1) For the purposes of sub-rule (3) of rule 3 above every vessel, company and port to which these rules apply, shall be subject to such surveys, audits or inspections, in accordance with the following list of Schedules appended to these Rules, and shall possess valid and applicable certificates or documents of compliance as required under the provisions of the Act and the Rules made thereunder;

- a) **Schedule I:** Survey and Certification of Cargo Vessels
- b) **Schedule II:** Survey and Certification of Passenger Vessels
- c) **Schedule III:** Survey and Certification of High-Speed Craft
- d) **Schedule IV:** Survey and Certification of Mobile Offshore Drilling Units
- e) **Schedule V:** Survey and Certification of Indian Coastal Vessels
- f) **Schedule VI:** Survey and Certification of Indian River-Sea Vessels
- g) **Schedule VII:** International Safety Management (ISM) Audits of Vessels and Companies
- h) **Schedule VIII:** Domestic Safety Management (DSM) Audits of Vessels and Companies
- i) **Schedule IX:** International Ship and Port Facility Security (ISPS) Audits of Vessels and Port Facilities
- j) **Schedule X:** Maritime Labour Convention (MLC) Inspections of Vessels.
- k) **Schedule XI:** Ballast Water Management Convention (BWM Convention) Certifications.
- l) **Schedule XII:** Anti-Fouling Systems Convention (AFS Convention) Certifications.
- m) **Schedule XIII :** International Code for Ships Operating in Polar Waters (Polar Code) Certifications
- n) **Schedule XIV:** Survey and Certification of Indian River Sea Passenger Vessels
- o) **Schedule XV:** International Code of Safety for Ships Carrying Industrial Personnel (IP Code) Certifications

(2) In addition to sub-rule (1), any other convention, protocol or code relating to survey, audit or certification that is ratified by India and specified by the Central Government under clause (k) of section 147 of the Act shall be complied with and the Director-General may by any general or special Order notify the requirements for bringing into effect of such instruments from time to time.

(3) The Director General may, by notification or guidelines, prescribe additional or alternative detailed survey and certification requirements for different classes of vessels, companies or ports. Such requirements may include any additional certificates to be carried under section 145 of the Act, provided they are consistent with the conventions listed in section 147 of the Act and with sub-rule (1) above.

5. Application for survey or audit and fees:-

(1) The owner, operator, master or agent of a vessel required to undergo any survey or audit for initial issuance, renewal or endorsement of a certificate under these rules shall apply to the nearest Mercantile Marine Department (MMD) or to the Recognized Organization, at least seven (7) days for the vessels and thirty (30) days for the company and port before the desired survey or audit date.

(2) The fees for surveys, audits, inspections and certifications under these rules shall be as prescribed by the Director General from time to time and the Director General may specify a schedule of fees for various surveys and certificates, and may differentiate fees based on the size, type or class of vessel or facility.

(3) In cases where a survey or audit is carried out by a Recognized Organization on behalf of the Central Government, the fees or charges for such services shall be payable directly to the Recognized Organization and may include an administration fee component payable, upon notification by the Director General.

6. Obligations of owner, operator and master:-

(1) The owner, operator and master of every vessel shall ensure that the vessel and its crew are in all respects ready for the conduct of any required survey or audit.

Explanation: For the purpose of this rule, the word "ready" shall imply readiness to the extent that:

- (a) the vessel's structure, machinery, equipment, fittings, arrangements, and systems intended to be surveyed are clean, operational, and accessible for inspection;
- (b) all documents, records, manuals and certificates relevant to the scope of the survey or audit (such as logbooks, safety management system manuals, oil record books, training records, etc.) are updated and made available to the surveyor for examination;
- (c) necessary crew members and responsible officers are available to operate equipment or perform tests as required by the surveyor, and to respond to queries during the survey or audit; and
- (d) any deficiencies or non-conformities known to the owner, operator or master that could affect the vessel's compliance have been rectified in advance, or if not rectified, have been reported to the surveyor or auditor prior to commencement of the survey.

(2) In the case of audits of companies or assessments of port facilities, the company's management shall ensure that relevant offices, records, and personnel are prepared and available for evaluation, and that any required demonstrations or drills can be carried out for the auditor(s).

(3) After any survey or audit has been completed and a certificate issued, the owner or operator shall maintain the vessel, its equipment and procedures in the condition that was found to be in compliance. No change, alteration or addition shall be made to the structure, equipment, fittings, arrangements, material, systems or operational procedures covered by the survey or audit without obtaining prior approval from the Director-General or the issuing Recognized Organization. If an alteration is necessitated by an emergency or for safety of the vessel, the owner or master shall notify the issuing authority at the earliest opportunity and ensure that necessary follow-up survey is carried out.

(4) The master of a vessel shall, upon request, produce any certificates and survey/audit reports to a surveyor or any other authorized official, including Port State Control Officers (PSCO) authorised under the Act; to demonstrate continuous compliance and every vessel shall carry on board at all times, the original or with prior permission, an authorized copy, of each certificate required for that vessel, and the company shall keep safe copies of all certificates and make them available to the Director-General or any officer authorised in this behalf, as and when required to be produced.

7. Conduct of surveys and audits:-

(1) Surveys and audits under these rules shall be carried out in accordance with the provisions of the applicable international conventions and codes, and any guidelines issued by the International Maritime Organization (IMO) or the Director-General.

(2) Surveys conducted shall be in accordance with the internationally recognized *Harmonized System of Survey and Certification (HSSC)* guidelines, as adopted by the IMO, to the extent applicable for the vessel

and certificates concerned and the respective audits for ISM Code, ISPS Code, MLC or such other instruments to which India is a party; shall be conducted in accordance with the provisions of the respective codes and national standards.

(3) Surveys for the purpose of certification shall include, initial surveys before a ship is put in service or a certificate is issued for the first time, renewal surveys at the prescribed intervals, and intermediate, annual or additional surveys as required by the relevant convention or as may be directed by the Director-General.

(4) Audits for certification shall include interim/initial audits, periodic/intermediate audits, and renewal audits as applicable and each survey or audit shall be of such scope and extent as to ensure that the vessel, company or port meets the full requirements for the specific certificate or verification.

8. Authority to conduct surveys, audits and inspections:-

(1) Surveys, audits, and inspections under the Act shall be undertaken only by

- (a) Surveyors appointed under Clause (d) of Section 8 of the Act; or
- (b) Recognized Organizations authorized under Section 9 of the Act.

(2) For the purposes of these Rules the Director General shall specify, by order, the categories of statutory functions to be exercised by each authorized person.

(3) No person other than those authorized under these rules shall conduct any survey, audit, or inspection for statutory purposes.

9. Surveyor's duties and survey reports:-

(1) The surveyor, including a surveyor of the RO acting on behalf of the Central Government shall perform his duties with diligence, integrity, and in an unbiased manner and such surveyor should ensure that the requirements of the Act, these rules, and the applicable conventions are strictly adhered to, and that no certificate is recommended or issued unless the vessel, company or port fully complies with the prescribed standards; and such surveyor shall take into account any interpretations, clarifications or equivalencies that have been authorized by the Central Government while assessing compliance.

(2) After carrying out a survey or audit, the surveyor shall prepare a survey report or audit report in the format specified by the Director-General or the Recognized Organization listing the observed non-compliances and the actions needed to remedy them and such surveys or audit reports and relevant data shall be entered into the online module or any central database specified by the Director-General, without delay.

(3) If the surveyor finds that the required standards are not met, he shall not issue or endorse the certificate and record the reasons in the survey report and such vessel or relevant entity shall not be deemed in compliance until a further survey or verification has shown that the deficiencies are rectified. Refusal to issue or renew a certificate, and the reasons thereof, shall be reported immediately to the Director-General; and such owner or operator may, if aggrieved, appeal such decision in accordance with rule 22 of these rules.

(4) Surveyors including RO surveyors are expected to follow a code of conduct and they shall not have any direct or indirect commercial interest in the vessel, company or port they survey that could influence their judgment.

(5) Any contravention by a surveyor of his duties or any report of improper conduct shall be dealt with by the Director-General in accordance with the applicable disciplinary procedures and the terms of RO authorization, as may be deemed appropriate.

10. Issuance of certificates:-

(1) Upon satisfactory completion of the applicable surveys or audits and verification of compliance, the surveyor or the Recognized Organization, if authorized for that purpose, shall issue the relevant certificate or certificates to the vessel, company or port and if not authorized to issue the certificate transmit it's report

and recommendation to the issuing authority for issuance of the certificate. Each certificate shall be prepared in the form prescribed by the relevant convention or by the Director-General.

(2) The validity of certificates issued under these rules shall be in accordance with the periods specified by the applicable international conventions or codes, unless otherwise specified.

(3) The surveyor or issuing authority may endorse a certificate to record the completion of annual or intermediate surveys/audits, and any failure to complete the required intermediate or annual verifications within the window allowed by the convention shall result in the certificate ceasing to be valid, unless an extension is granted under sub-rule (4) of rule 10.

(4) In exceptional circumstances and where permitted by the relevant convention, the Director-General may extend the validity of a certificate for a short grace period beyond its expiry date and such extension shall be granted only to allow the ship to complete its voyage to a port where the renewal survey can be conducted or in circumstances of force majeure, and unless a convention specifies otherwise, an extension shall not exceed 3 months, and any ship that is granted such extension shall not, on arrival at the port of survey, leave that port without having the required renewal survey completed and a new certificate issued.

(5) If a certificate is lost or destroyed, the Director-General or the issuing Recognized Organization may issue a duplicate certificate marked as such, after verifying from records that the original was valid at the time of loss and such duplicate certificate shall state that it is issued in lieu of the original and shall be of the same validity as the original it replaces; and the loss of a certificate and issuance of a duplicate shall be reported to the Director-General.

(6) All certificates issued under these rules remain the property of the Central Government, and such certificates shall be surrendered to the Director-General or to any person authorized by the Director General, if so required for any valid reason.

11. Periodical surveys, endorsements and renewals:-

(1) The owner, operator and master shall ensure that all periodical surveys, including the annual, intermediate, periodic or additional surveys; as may be required under the conventions for maintaining the validity of any certificate are carried out within the stipulated time windows and the interval and window for each such survey or audit shall be as laid down in the convention, code or by the Director-General as the case may be.

(2) Prior to the expiry of any certificate, the owner shall arrange for a renewal survey or audit in accordance with rule 5 and upon satisfactory completion of a renewal survey, a new certificate shall be issued with a validity period calculated from the date of completion of the renewal survey, subject to convention limits, and if a renewal survey is completed within the period allowed before expiry (often within 3 months before expiry), the new certificate may be issued to expire five years from the date of expiry of the existing certificate, in line with HSSC guidelines, so as not to shorten the certification cycle.

(3) If a required periodic or renewal survey is not completed within its due window, the certificate may become invalid by operation of the convention, and no vessel shall proceed to sea until the survey is carried out and the certificate endorsed or re-issued.

(4) In cases where a vessel is in the final months of the validity of a certificate and the renewal survey cannot be completed due to unforeseen circumstances, such as the ship being continuously at sea or in a remote area, the owner should notify the Director-General before the expiry date, explaining the situation and proposing a plan for survey and the Director-General or authorized RO may then consider granting an extension under sub-rule (4) of rule 10 if found eligible and subject to specific instructions or authorizations as may be deemed fit by the competent authority.

(5) Where a certificate has provisions for endorsement of annual or intermediate surveys, the attending surveyor upon satisfactory completion of the survey shall endorse the certificate with the date and place of survey and sign it and the owner or master shall ensure the certificate is endorsed; and even if the survey was completed, any failure to have the certificate appropriately endorsed does not absolve the vessel from meeting the survey requirement; and sailing without an endorsed certificate past the due date is liable to be presumed as a contravention of Act rules, even if the survey was done.

12. Additional surveys and re-surveys:-

(1) If any ship sustains damage, defect, grounding or any incident that affects its structural integrity, watertight subdivision, machinery or equipment to such extent as might invalidate or impair the conditions of any certificate, the owner or operator or master shall report the matter at the earliest opportunity to the Director-General or the issuing Recognized Organization, and such vessel shall be subject to an additional survey to determine the extent of the damage or deficiency and ensure that necessary repairs or corrective measures are carried out, and such survey shall ascertain that the vessel can continue to safely operate and comply with the required standards; and the relevant certificate(s) shall be endorsed or re-issued as appropriate after the survey.

(2) If any material alteration, including structural, mechanical, electrical, or in terms of ship's outfitting or arrangements, is effected on to a vessel, which affects or is likely to affect the basis on which a certificate was issued, the owner shall notify the Director-General or the Recognized Organization before making such alteration, except in an emergency as covered under sub-rule (1) and an additional survey or audit shall be carried out to verify that the vessel after alteration remains in compliance with applicable requirements; and any failure to report significant alterations or to submit to a required re-survey may result in suspension of the relevant certificate under rule 13.

(3) If the Director-General has reason to believe, whether from reports of PSC inspections, casualties, complaints, or otherwise, that a vessel, company or port holding a certificate is not in compliance with the conditions required for that certificate, the Director-General may direct that the vessel, company or port undergo a re-survey or audit and the extent of such re-survey/audit may be partial or full as deemed necessary; and if the findings of the re-survey confirm non-compliance, the Director-General may take appropriate action including suspension or cancellation of the certificate as per rule 13.

(4) The costs for any additional survey or audit under this rule, if resulting from damage, modifications, or non-compliance attributable to the owner's or operator's responsibility, shall be borne by the owner or operator and such costs shall be payable in addition to any penalties, that may be imposed for underlying violations.

13. Suspension, cancellation or refusal of certificates:-

(1) A certificate or document issued under these rules may be suspended or cancelled by the Director-General or the issuing Recognized Organization with immediate if:

(a) the vessel, company or port to which it was issued has ceased to comply with the conditions for its validity, or if any survey reveals deficiencies of a serious nature that compromise the safety of the vessel, personnel or the environment;

(b) any unauthorized alteration has been made to the vessel, its equipment or arrangements, or to the safety management system or security plan in the case of a company or port facility, without approval as required by subrule (3) of rule 6;

(c) the owner or operator has obtained the certificate by providing false or fraudulent information or by any misrepresentation of material facts; or

(d) any other situation has arisen which, under the provisions of the Act or the applicable convention, warrants suspension or cancellation.

(2) Except in cases of urgent necessity for safety or environmental protection, no certificate shall be cancelled or suspended without giving the holder an opportunity to be heard in accordance with subsection (4) of section 144 of the Act and the Director-General or authorized official shall serve a notice to the holder stating the grounds on which suspension or cancellation is proposed and allow the holder to make representations within a reasonable period; and after considering any representation, the authority may proceed to suspend or cancel the certificate; if found justified and shall communicate the decision with reasons, accorded to it in writing.

(3) In cases of imminent danger to life, property or the marine environment, the Director-General or any surveyor or person authorized may immediately invalidate or suspend a certificate, or prohibit the vessel

from sailing, without prior notice, and the suspension shall remain in effect until the vessel or entity has rectified the nonconformities and deficiencies and is found to be in compliance with the applicable and governing laws, to the satisfaction of the Director General or such officer or person authorised in this behalf, and the holder of the certificate shall be given an opportunity to be heard at the earliest practicable time after such immediate action.

(4) Upon suspension or cancellation of any certificate, the owner, master or relevant entity shall surrender the original certificate to the issuing authority or to the Director-General forthwith and a vessel shall not be allowed to proceed to sea with suspended or cancelled certificates and any attempt to do so may lead to detention of the vessel by the proper officers.

(5) Refusal to issue or renew a certificate, or suspension or cancellation of a certificate, does not preclude separate legal action under the Act against the owner, master or company for the deficiencies or violations that led to such decision, and penalties may be imposed in accordance with the Act in addition to actions affecting the status of the certificate..

14. Recognition of certificates issued by other administrations:-

(1) A valid convention certificate or document issued in respect of a vessel by or under the authority of the government of another country which is a party to the relevant convention shall, subject to sub-rule (2) below, be recognized in India as having the same force as the corresponding certificate issued under these rules for an Indian vessel.

(2) The recognition of certificate or document as provided in sub-rule (1) above, is conditional upon the certificate being valid and in force, and the vessel being in compliance with the conditions stated in the certificate and the Director-General reserves the right under the conventions to verify the authenticity and validity of any such foreign-issued certificate and to ensure that the vessel's actual condition corresponds with the certificate.; and where there are *prima facie* grounds to infer that the condition of the vessel or its equipment does not substantially meet the standards of the certificate, the Director General, any authorised officer under the Act or any competent authority authorised under any other law in force in India; may decline to accept the certificate and may take appropriate enforcement action as prescribed under section 307 of the Act and in consistent with international law.

Explanation: Nothing in this rule shall affect the obligation of Indian vessels, companies or ports to carry certificates issued under the authority of India as required by the Act and this rule pertains only to acceptance of certificates on foreign vessels or entities as envisaged under section 148 of the Act.

Part-III: Qualification, Training and Professional Conduct of Surveyors

15. Qualification and competency:

(1) The qualifications, training, and experience required for surveyors, auditors, and inspectors shall be specified by the Director General by general or special order.

(2) The Director General may recognize the equivalent qualifications for personnel of Recognized Organizations subject to verification of competency standards.

16. Training and authorisation:

(1) All surveyors, auditors, and inspectors shall undergo training in their respective fields as may be specified by the Director General, by general or special order.

(2) The Director General shall

(a) by general or special order, issue the syllabi for the training pertaining to the survey, audit or inspection as the case may be;

(b) conduct standardisation and refresher training programmes;

(c) maintain a Central Register of Authorised Surveyors, Auditors and Inspectors; and

(d) specify renewal and validation procedures for authorisations.

(3) No person shall perform any survey, audit, or inspection unless duly authorised by the Director General and listed in the Central Register.

(4) The Director General may suspend or revoke authorisation for incompetence, negligence, or violation of the code of professional conduct.

17. Code of professional conduct:

(1) Every authorised surveyor, auditor, or inspector shall

(a) perform duties with independence, integrity, and impartiality;

(b) avoid conflicts of interest and undue influence;

(c) maintain confidentiality of all information obtained; and

(d) report truthfully and accurately.

(2) Recognized Organizations shall ensure adherence to the code by their personnel.

(3) Violation of the code shall constitute misconduct.

Part IV—Miscellaneous

18. Inspections for compliance:

(1) The Director General may appoint or authorize officers to conduct inspections of any vessel to which Part VIII of the Act and these rules apply, in order to:

(a) verify whether the vessel has violated any provision of the Act or these rules;

(b) comply with the request of a contracting party to any convention, agreement or treaty referred to in section 147, for an investigation as to violation of any provisions of such convention, agreement or treaty, by an Indian vessel; or

(c) verify compliance with any specific requirement prescribed under this rule for inspections.

(2) The manner in which such inspections are conducted shall, be governed by the Merchant Shipping (Port State Control and Flag State Implementation) Rules 2026 and in accordance with the Orders and Circulars issued by the Director General from time to time.

(3) Inspections under this rule are in addition to and without prejudice to the regular surveys and audits required for certification, and if such inspection reveals any deficiency or non-compliance, that pose an immediate risk may result in detaining the vessel or prohibiting it from sailing or from being commercially used, until rectified, consistent with subsection (3) of section 151 of the Act.

19. Reporting of inspection results:- An authorized person conducting an inspection under rule 19 shall prepare an inspection report on completion of the inspection and such report shall be made in such form and manner as may be prescribed by the Central Government and through Orders and Circulars issued by the Director General from time to time.

20. Exemptions and equivalents:-

(1) Notwithstanding anything contained in this Rules, the Central Government may, by notification subject to such conditions as it may deem fit, grant exemption from the provisions or prescribe alternative requirements in lieu thereof, and the Director General may for the purpose of implementing such exemptions, by order in writing, exempt any vessel or class of vessels, or any company or port facility, from any provision of these rules, subject to such conditions as it deems fit and such an exemption may be granted if the Director General is satisfied that:

- (a) the requirement is unreasonable or impracticable in the specific circumstances, and that the granting of the exemption does not compromise safety or environmental protection; or
- (b) the vessel, company or port has implemented alternative measures equivalent or more stringent than that of the requirement from which the exemption is sought, and upon proof that the underlying purpose of such requirement is achieved by other means.

(2) Exemptions shall be consistent with the provisions of the relevant international conventions and no exemption shall be granted if it is prohibited by the convention in question or if it would result in the vessel being non-compliant with an applicable convention when trading internationally.

(3) The Director-General may approve *equivalent* arrangements or fittings in lieu of those required by these rules, where such equivalents are permitted by the conventions and if satisfied that it is at least as effective as the requirement it replaces and such approval of equivalents shall be documented in writing, and any limitations or monitoring required for the equivalent noted.

(4) A record of all exemptions and equivalences granted under this rule shall be maintained by the Director-General and the Central Government shall, where required by a convention, communicate the details of significant exemptions or equivalents to the IMO or to other State parties as required.

21. Penalties and enforcement:-

(1) Any contravention of these rules or failure to comply with any requirement thereof shall attract penalties as specified in the Act.

(2) In addition to penalties, enforcement actions such as detention of the vessel by the proper officer, as provided in the Act, may be taken to prevent a non-compliant vessel from sailing.

(3) The imposition of a penalty or the detention of a vessel under these rules does not absolve the owner, operator or master from rectifying the non-compliance and all such deficiencies must be corrected before the vessel resumes operation; and repeated violations by the same vessel or company may lead the Director-General to enhance surveillance on that vessel or company, including more frequent inspections or withdrawal of any privileges.

(4) All fees, penalties or other charges collected under these rules shall be credited to the appropriate government account as per the financial regulations and non-payment of any due fees for surveys or certificates may be treated as a contravention of these rules after due notice, and may result in suspension of the certificate or other enforcement measures, including forfeiture of vessel or property and such other measures prescribed under other laws in force.

22. Appeal:

(1) The Chief Surveyor appointed under sub-clause (ii) of clause (d) of sub-section (1) of section 8 of the Act shall have overall responsibility for the uniform implementation of these rules throughout India and shall serve as the first appellate authority for any grievance or appeal raised by a vessel's owner or operator in respect of surveys, audits or certification carried out by or under the authority of the Indian maritime administration under these rules.

(2) Any appeal in respect of actions or decisions of a Recognized Organization duly authorized by the Government of India to act on its behalf in the survey, audit, inspection, or certification of vessels, companies or ports shall lie and be dealt with in accordance with the provisions of the Merchant Shipping (Recognized Organizations) Rules, 2026.

(3) The Director General shall be the second appellate authority for any person or entity aggrieved by an order or decision made under sub-rule (1) and shall also serve as the final adjudicating authority for all matters arising under these rules.

(4) The decision, interpretation or order of the Director General on any such appeal or matter shall be final and binding on all parties concerned, and no further appeal or review shall lie under these rules against such decision.

(5) An appeal must be filed within thirty [30] days from the date of receipt of the decision or order in question and such appeal shall be in writing and shall set out the grounds of appeal clearly; and the appellate authority may allow a longer period for filing the appeal, but not exceeding sixty [60] days from the date of issuance of the direction or Order under challenge, if it is satisfied that the appellant was prevented by sufficient cause from filing within thirty [30] days.

(6) Any person preferring the second appeal as provided under sub rule (3) above, shall file the same in writing and shall set out the grounds of second appeal clearly; and the second appellate authority may allow a longer period for filing the appeal, but not exceeding sixty [60] days from the date of issuance of the Order by the first appellate authority, if it is satisfied that the appellant was prevented by sufficient cause from filing within thirty [30] days

(7) The filing of an appeal or second appeal shall not automatically stay the operation of the order against which the appeal is made, and the appellant may separately apply to the appellate authority for a stay on the operation of the order pending the disposal of the appeal, and the authority may grant or decline such requests for issuance of stay having regard to the merits of the case and the implications for safety or environmental protection.

(8) The appellate authority as provided under sub-rule (1) or sub-rule (3) above, as the case may be; shall give the appellant an opportunity to be heard, which may be in person or as written representations, as the authority deems fit given the circumstances and urgency and the authority may also seek expert advice or constitute a committee of experts to examine the issue, as deems fit and necessary.

(9) After examining the case, the appellate authority as provided under sub-rule (1) of sub-rule (3) above, as the case may be; shall pass a reasoned order, confirming, modifying, or setting aside the original decision and such decision on appeal shall be communicated to the appellant and to the original authority, in which case

(a) if the appeal is against a suspension or cancellation of a certificate and the appeal is allowed, the certificate may be restored or reissued as the case may be, with continuity of validity as appropriate; or

(b) If the appeal is dismissed, any interim relief granted will cease and the original order will stand affirmed.

(10) The appellate authority as provided under sub-rule (1) of sub-rule (3) above, as the case may be may in its Order specify any further remedial actions that need to be taken by the parties.

23. Repeal and savings: On the date of commencement of these rules, any previous rules or regulations made under the Merchant Shipping Act, 1958 or any other law, in so far as they dealt with matters covered by these rules, shall stand repealed. Notwithstanding such repeal, any actions taken, certificates issued, or authorizations made under the previous rules shall, in so far as they are not inconsistent with the provisions of these rules, be deemed to have been done or issued under the corresponding provisions of these rules. All valid certificates and documents issued under the erstwhile rules shall continue in force until their natural expiry, and shall be deemed to be certificates issued under these rules.

Schedule-I: Survey and Certification of Cargo Vessels

1. Applicability :

The provisions relating to the survey and certification of cargo vessels shall apply in accordance with the following international conventions and instruments, namely: —

(1) International Convention for Safety of Life at Sea, 1974 (as amended):

(a) applicable to all cargo vessels of five hundred gross tonnage (500 GT) and above; and

(b) the GMDSS (Global Maritime Distress and Safety System) – Radio Communication Requirements shall apply to all cargo vessels of three hundred gross tonnage (300 GT) and above.

(2) International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978:

(a) applicable to all cargo vessels of four hundred gross tonnage (400 GT) and above; and

(b) applicable to oil tankers of one hundred and fifty gross tonnage (150 GT) and above.

(3) International Convention for the Control and Management of Ships' Ballast Water and Sediments, 2004 and the International Convention on the Control of Harmful Anti-fouling Systems on Ships:

applicable to all cargo vessels of four hundred gross tonnage (400 GT) and above.

(4) International Convention on Load Lines, 1966, as modified by the Protocol of 1988:

applicable to all vessels having a length of twenty-four metres (24 m) and above.

(5) International Convention on Tonnage Measurement of Ships, 1969:

applicable to all vessel of 24 metres of length and above, engaged on international voyages and domestic voyages.

2. Surveys for Convention and Non-Convention Vessels, as applicable:

- (1) an initial survey before the cargo vessel is put in service or before the Certificate is issued for first time;
- (2) Annual survey within three months before or after each anniversary date of the certificate;
- (3) Periodical survey within three months before or after each anniversary date of the certificate;
- (4) an intermediate survey within three months before or after the 2nd or 3rd anniversary date of the Certificate;
- (5) A renewal survey shall be carried out at intervals specified by the Director General, not exceeding five years. If the renewal survey is completed within three months before the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the existing certificate. If the renewal survey is completed after the expiry of the

existing certificate, the new certificate shall be valid for five years from the date of expiry of the previous certificate;

(6) an additional survey as occasion arises and as decided by the Director General.

3. Docking Surveys:

(1) At least two inspections of the vessel's bottom are required during the 5-year validity of the Cargo Ship Safety Construction Certificate or the Cargo Ship Safety Certificate. The time between any two inspections must not exceed 36 months (3 years). However, if the vessel is not in a port where the survey can be done when the certificate expires, the Director General may extend the certificate's validity. In such cases, the 5-year period for the inspections may also be extended to match the extended certificate validity.

(2) In-water surveys may be permitted in lieu of dry-docking for intermediate docking for all vessels except ESP vessels of more than 15 years of age, subject to the approval of the Director General and provided that the vessel comply with IMO Resolution A.1186(33) — *Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2023* — as well as the applicable requirements of the classification society or Recognised Organisation (RO) as notified by the Central Government .

4. Tail Shaft Surveys:

All cargo vessels, regardless of size and trading limits, are required to carry out surveys of their tail shafts in accordance with the provisions of the *Merchant Shipping (Cargo Ship Construction) Rules, 2026*. Since the tail shaft forms an integral part of the vessels propulsion and machinery system, it is essential to ensure its continued safety and efficiency. The maximum intervals between successive tail shaft surveys shall be in accordance with the following schedule:

Intervals of Tail-shaft surveys based on the type of the system		
S. No.	Type of propulsion system	Interval of survey
1.	Shafts with keyed propeller attachments and fitted with continuous liners or oil glands, or corrosion resistant materials and designed to reduce stress concentration and approved by the RO.	5 years
2.	Shafts having keyless-type propeller attachments made of corrosion resistant materials or fitted with oil glands, approved by the RO.	5 years

3.	Shafts having solid coupling flanges at the after end and fitted with oil glands or made of corrosion resistant materials, approved by the RO.	5 years
4.	Controllable pitch propellers for main propulsion purposes, provided the system is approved by the RO.	5 years
5.	Directional propellers, Podded propulsion units, Water jet units, provided the system is approved by the RO.	5 years
6.	All other tail shafts of the propulsion systems not mentioned above, unless specifically approved by the RO for extended intervals of surveys.	2.5 years

The interval for tail shaft surveys specified in the aforesaid table serves as a broad guideline. Owners or managers may alternatively comply with the International Association of Classification Societies (IACS) Unified Requirement (UR) Z.21, as revised, for the survey, certification, and extension of tail shaft surveys; Provided that for a reduced scope tail shaft survey (every 5 years), the withdrawal of the tail shaft may be exempted if the pre-requisites are met satisfactorily. Vessels with approved Tail Shaft Condition Monitoring (TSCM) systems may be granted extended intervals up to 10 years, subject to compliance with RO-approved monitoring procedures.

5. Boiler Surveys:

Boilers are required to be surveyed periodically in compliance with SOLAS requirements and the classification society or RO rules. A minimum of two internal examinations during each five-year special survey cycle; and the interval between any two such internal examinations shall not exceed 36 months. One of the internal examination in conjunction with Initial or renewal Safety Construction Survey and the other with Intermediate Safety Construction Survey. The external/visual examinations annually in conjunction with annual / intermediate / renewal / initial survey.

6. Statutory Surveys and Certification:

- (1) The surveys specified at para 2 of this schedule shall be conducted in compliance with the respective convention and these MS Rules as applicable for issuance and maintenance of the following statutory certificates issued as under:
 - (a) International Load Line Certificate;
 - (b) Cargo Ship Safety Certificate;
 - (c) Cargo Ship Safety Construction Certificate;
 - (d) Cargo Ship Safety Equipment Certificate;
 - (e) Cargo Ship Safety Radio Certificate;
 - (f) Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk;
 - (g) Certificate of Fitness for the Carriage of Liquefied Gases in Bulk;

- (h) International Oil Pollution Prevention Certificate;
- (i) International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk;
- (j) International Sewage Pollution Prevention Certificate;
- (k) International Air Pollution Prevention Certificate;
- (l) International Energy Efficiency Certificate;
- (m) International Tonnage Certificate.

(2) The surveys referred at para 2 of this Schedule shall be carried out for the purpose of issuing the following certificates and for ensuring their continued validity during the operation of convention and non-convention vessels which complies with applicable requirements of Merchant Shipping Rules but do not fully comply with the requirements of SOLAS 1974:

- (a) Indian Cargo Ship Safety Construction Certificate;
- (b) Indian Cargo Ship Safety Equipment Certificate; and
- (c) Indian Cargo Ship Safety Radio Certificate.

(3) The surveys referred to in para 2 of this Schedule shall be carried out for the purpose of issuing the following certificates for both Convention vessels and non-Convention vessels intended to operate within the Coastal Waters of India:

- (a) Indian Oil Pollution Prevention Certificate;
- (b) Indian Pollution Prevention Certificate for the Carriage of Noxious Liquid Substance in Bulk;
- (c) Indian Sewage Pollution Prevention Certificate;
- (d) Indian Air Pollution Prevention Certificate; and
- (e) Indian Loadline Certificate.

7. Approval of Plans, Drawings, Manuals & Booklets for issuance of Statutory Certificates:

(1) Any plan, drawing, manual or booklet towards the issuance of statutory certification of an existing vessel undergoing change of flag to Indian registry, shall be deemed to have been approved by the Director General if such document has been duly approved by any RO notified by the Central Government, on behalf of any other Flag State Administration. Provided that no further approval from the Director General or any other RO is required in these cases, provided no substantial deviation from the applicable national or international instruments, affecting the safety of lives or protection of the environment is reported during the statutory inspection and certification services rendered by the concerned RO. The Registering authority shall appropriately record the reason as above, for deeming any plan, drawing, manual or booklets

as 'approved' by the Director General. The Owners shall ensure such drawings / booklets/ manuals are legible and in English language and contain all the information required as per relevant instrument.

(2) RO undertaking statutory surveys for a vessel's change of flag to the Indian registry shall confirm that all relevant plans, drawings, booklets, and manuals are duly approved by an RO notified by the Central Government. These documents shall in generally comply with the applicable Rules enacted, international conventions, codes, and any guidelines or notices issued by the International Maritime Organization (IMO) and the Director General in this regard.

Such compliance shall be ensured prior to the issuance of the respective statutory certificates. Any non-compliance or deficiency identified must be communicated in writing for prompt rectification, and in no case shall the rectification period exceed three months.

(3) In the event of a change of flag, the procedure outlined above shall be followed for the approval of plans, drawings, manuals, and booklets related to load lines. Upon satisfactory completion of the required surveys, the exclusive RO notified by the Central Government shall issue the full-term Load Line Certificate.

(4) For initial assignment of load line of newly constructed vessels, the exclusive RO notified by the Central Government shall approve all the plans, drawings, booklets, manuals etc. as required and applicable, and carry out the initial surveys and upon satisfactory compliance with all applicable requirements shall issue full term load line certificate.

(5) Any plan, drawing, manual or booklet related to a newly constructed vessel must be approved by an RO that has been notified by the Director General through an Executive Order, specifically for the purpose of statutory certification services. Each approved document must clearly display the name, designation, signature, and date of the authorized person who has certified it. If any of these details are missing or illegible, the local representative of the concerned RO shall be responsible for certifying the authenticity and veracity of such documents.

(6) In the event of a change of flag, the RO undertaking the statutory surveys shall issue a Provisional International Tonnage Certificate (ITC) valid for six (6) months, based on the ITC issued under the previous flag. The RO shall forward this provisional certificate, along with the tonnage computations carried out by any RO notified by the Central Government, to the Registrar of the vessel for issuance of a permanent ITC. However, if the tonnage computations are not carried out by an RO and not in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Rules enacted under the Act;

Director General may order that a fresh tonnage measurement in accordance with the Rules and to be carried out by RO. The revised tonnage computations must be submitted to the Registrar of the vessel within the validity period of the Provisional ITC for the purpose of issuing the permanent ITC.

(7) For a *new construction vessel*, the jurisdictional Mercantile Marine Department (MMD) or the RO notified by the Central Government, shall carry out the tonnage measurement and computations in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Merchant Shipping (MS) Rules and the Act. Upon completion, the tonnage details shall be submitted to the Registrar of the vessel for the issuance of the Permanent International Tonnage Certificate (ITC).

8. Exemptions:

(1) When acquiring vessels that are not newly built, any exemptions granted by the previous Flag State Administration in accordance with the relevant international conventions shall remain valid for a period of three months, or until the original expiration date of such exemptions under the previous flag, whichever occurs earlier and the RO shall issue exemption accordingly with an intimation to the Director General. If an extension of the validity of such exemptions is required beyond this period, the company shall apply to the Director General within the current validity period. The application must be accompanied by the recommendations of the RO and include the applicable fee as prescribed by the Director General. For the continued validity of existing exemptions granted by the previous flag and in accordance with the relevant international conventions, the RO shall forward the details to the Director General for concurrence, enabling the Director General or RO to issue the exemptions under Indian flag.

(2) For newly built vessels, any exemption to be granted in accordance with the relevant international conventions for the issuance of statutory certificates shall require the owners or managers of such vessels to submit an application to the Director General. The application shall be accompanied by the RO recommendations and the applicable fee as prescribed by the Director General. Such requests will be considered in line with the provisions of the relevant international conventions.

9. Conducting Surveys:

(1) All vessel owners or managers shall submit applications for all applicable statutory surveys to the jurisdictional MMD or the RO notified by the Central Government, well within the designated window period. This is to ensure timely planning, execution of surveys, and issuance of statutory certificates.

(2) The renewal Load line survey and issuance of full term Load Line Certificate shall be undertaken by an exclusive RO notified by the Central Government. The annual Load line survey can be undertaken by any one of the ROs of the Central Government. On satisfactory completion of annual Load line survey, the RO may endorse the load line certificate towards completion of annual Load line survey. Further, the concerned RO should ensure that the reports of the annual Load line surveys are expeditiously forwarded to an RO notified by the Director General through an Executive Order for updating the records of Load line surveys.

10. Supplementary Surveys by the Administration:

(1) IMO Resolution A.739 (18) read with the applicable RO Code requires a Flag State Administration to establish, implement, and maintain an oversight programme over ROs. This oversight programme shall include supplementary surveys (undertaken by the Administration itself) to ensure that vessels entitled to fly its flag actually comply with the requirements of applicable IMO instruments and vessels also comply with national requirements (which may extend or supplement the IMO mandatory requirements).

(2) The intermediate surveys of Safety Equipment (SEQ) of all Indian vessel while in India shall be undertaken exclusively by the surveyors of the MMDs provided that the survey and certification of the vessel are carried out exclusively by the RO, unless the concerned Principal Officer considers it necessary to delegate this survey an RO in lieu thereof, on a case to case basis, on account of specific exigencies. Considering that such surveys fall only once in the five year survey cycle of the vessel and has the flexibility to align either with the 2nd or 3rd Annual Surveys, the vessel owners/managers shall be advised to plan the surveys well in advance and approach the nearest MMDs accordingly. Further, the attending MMD Surveyors, along with the survey referred above, may undertake Flag State Inspection (FSI) of the vessel, mandatorily.

(3) Surveys can be undertaken by any of the ROs authorized for the purpose while the vessel is trading exclusively in foreign waters during the window period for the above referred surveys, unless the Director General advises otherwise in specific cases.

(4) All other statutory surveys shall be undertaken by any of the RO notified by the Central Government, at the choice of the concerned vessel owner. Provided that, the renewal surveys of the Safety Construction (SAFCON), Safety Radio (SRT) and MARPOL Annex-I (IOPP) of Indian vessel while being undertaken in India shall have the compulsory participation of a surveyor from the MMDs. The respective RO undertaking the above surveys in India shall intimate the jurisdictional MMD well in advance, to facilitate participation of the surveyor from the Director General in such surveys, subject to case by case waiver by the concerned Principal officer on account of specific exigencies.

(5) The owners shall arrange the necessary logistic support to the attending surveyors, but no additional fee is to be paid, except the visit fees of the surveyors deployed for inspecting the vessel. The surveyors from the MMDs, subsequent to attending of such surveys shall make necessary endorsement in the relevant 'survey report' to enable the renewal of the respective certificate by the concerned RO, without any further approval of the Director General.

11. Over-due Statutory Surveys:

The owners or managers of a cargo vessel shall apply to the jurisdictional MMD or a RO to conduct the required surveys within the designated window period. However, if the owners or managers intend to commence and complete the surveys outside the specified window period, or if the surveys are overdue, shall obtain prior concurrence from the Director General for conducting such overdue surveys beyond the allowed timeframe.

12. Extension of Dry docking, Tail Shaft, mandatory Statutory Surveys and Certificates:

(1) No statutory certificate shall be extended beyond its validity for the purpose of commercial operation. However, if a vessel is not in the port where the survey is to be conducted at the time the certificate expires, the Director General may extend the validity of the certificate for a maximum period of three months. This extension is granted only to allow the vessel to complete its voyage to the port where the survey will be carried out.

(2) In exceptional circumstances, the extension of the renewal or docking survey shall be granted only in accordance with the provisions of the SOLAS, Load Line, MARPOL or any other applicable Convention, as well as the applicable MS Rules (including for non-convention vessels). Such applications shall be submitted by the top management under the ISM Code or by the Designated Person Ashore (DPA) of the company.

(3) The Director General may not grant surveys extension for commercial reasons or due to insufficient advance planning. To request an extension, vessel owners must provide clear documentary evidence demonstrating diligent and timely planning efforts. Generic correspondence, such as routine dry-dock booking letters, will not suffice. If the Director General is satisfied that the owners took all necessary steps to secure a dry-dock but were unable to do so for reasons beyond their control, a one-month extension may be considered.

This is subject to:

- (a) Satisfactory afloat surveys by the Classification Society, and
- (b) Class certification of the vessel's seaworthiness for the extension period.
- (c) In exceptional cases, an additional 1–2 months may be granted following:
 - (i) An underwater CCTV survey in the presence of Class or RO,

- (ii) Review of progress of other afloat surveys, and
- (iii) Evidence of continued efforts to obtain dry-docking, either in India or abroad.

(4) Approval of an extension is not guaranteed, and the Director General reserves the right to deny requests if planning is deemed inadequate or if the vessel's condition is unsatisfactory.

(5) In order to facilitate the expeditious processing of survey extensions, cargo vessel (excluding offshore supply vessels) that are not more than 20 years of age, and offshore supply vessels (OSVs) that are not more than 15 years of age, shall be eligible for this process, subject to the following conditions:

- (a) The vessel must not have any pending or overdue class/statutory surveys and no outstanding class recommendations or conditions affecting certification.
- (b) The vessel's performance and maintenance history during the current certification period must be satisfactory.
- (c) The vessel must not have undergone any significant modification or damage repair that would require additional survey.
- (d) The vessel must have no more than three CoCs, and none of those CoCs should have been previously extended.
- (e) There should be no major NCs in the last three consecutive Safety Management Certificate (SMC) audits of the vessel and Document of Compliance (DOC) audits of the company.
- (f) The company should not have requested extensions for Port State Control (PSC) or Flag State Inspection (FSI) deficiencies and the vessel is not detained under any Memorandum of Understanding (MoU) or during an FSI in the current certification period.
- (g) The vessel must not have been involved in any marine casualty.
- (h) The maximum permissible period between two dockings (36 months) must not be exceeded.

The owners or managers of such vessels shall submit an application, along with all supporting documents that comply with the above-mentioned requirements, to a RO notified by the Director General through an executive order. The RO shall consider the extension of surveys — including the docking survey and tail shaft survey — for a period of one month and forward its report to the Director General for consideration of a further extension of up to two months, but not exceeding a total of three months from the date of expiry of the existing full-term certificates. However, the extension of surveys

beyond one month, the vessel required to undergo under water inspection of hull and its appendages, propeller and rudder by a satisfactory CCTV inspection by the RO.

13. List of certificates and applicable surveys for Cargo vessel:

Name of the Convention	Name of the Certificate	Maximum validity	Type of Survey				Remarks
			Initial	Annual / Periodical	Intermediate	Renewal	
Tonnage Measurement Convention, 1969	International Tonnage Convention	None	Yes	No	No	No	24 meters length and above
Load Line Convention	International Load Line Certificate	5 Years	Yes	Yes	No	Yes	24 meters length and above
SOLAS, 1974	Cargo Ship Safety Certificate	5 Years	Yes	Yes	Yes	Yes	500 GT and above
SOLAS, 1974	Cargo Ship Safety Construction Certificate	5 Years	Yes	Yes	Yes	Yes	500 GT and above
SOLAS, 1974	Cargo Ship Safety Equipment Certificate	5 Years	Yes	Yes	Yes	Yes	500 GT and above
SOLAS, 1974	Cargo Ship Safety Radio Certificate	5 Years	Yes	Yes (Periodical)	No	Yes	300 GT and above
IBC Code	Certificate of Fitness for the Carriage of	5 Years	Yes	Yes	Yes	Yes	500 GT and above

	Dangerous Chemicals in Bulk						
IGC Code	Certificate of Fitness for the Carriage of Liquefied Gases in Bulk	5 Years	Yes	Yes	Yes	Yes	500 GT and above
MARPOL 73/78	International Oil Pollution Prevention Certificate	5 Years	Yes	Yes	Yes	Yes	400 GT and above & 150 GT and above for oil tankers.
MARPOL 73/78	International Sewage Pollution Prevention Certificate	5 Years	Yes	No	No	Yes	400 GT and above or certifying to carry more than 15 persons
MARPOL 73/78	International Air Pollution Prevention Certificate	5 Years	Yes	Yes	Yes	Yes	400 GT and above
MARPOL 73/78	International Energy Efficiency Certificate	None	Yes	No	No	No	400 GT and above
AFS Convention	International Anti-Fouling System Certificate	None	Yes	No	No	No	400 GT and above

Ballast Water Management Convention	International Ballast Water Management Certificate	5 Years	Yes	Yes	Yes	Yes	400 GT and above
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14. Suspension or Withdrawal of the Statutory Certificates:

The Director General may suspend or withdraw the statutory certificates issued to any cargo vessels, under the following circumstances, namely but not limited to:

- (a) Failure to maintain vessel or equipment in accordance with the certificate.
- (b) Failure to comply with conditions specified in the statutory certificates issued under various IMO Conventions applicable to Cargo vessel.
- (c) Inoperative critical safety systems (e.g., fire protection, lifeboats, and navigation systems).
- (d) Serious deficiencies affecting the safety, pollution prevention or structural integrity found during flag or port state inspections.
- (e) Illegal discharge of oil, sewage, garbage, or other pollutants.
- (f) Malfunction or bypassing of pollution prevention equipment (e.g., Oily Water Separator).
- (g) Non-compliance with the Garbage Management Plan, Oil Record Book, or IAPP/IOPP Certificates.
- (h) Overloading or structural modifications affecting buoyancy or stability.
- (i) Failure to maintain water-tight integrity.

15. Formats of Certificates and Forms:

- (1) All Convention Certificates must be issued in the format specified by the organization.
- (2) All other certificates and forms must be issued in the format prescribed by the respective rules or as specified in this Schedule.

INDIAN CARGO SHIP SAFETY EQUIPMENT CERTIFICATE



[This Certificate shall be supplemented by a Record of Equipment (Form E)]

Issued under the provisions of the Merchant Shipping Act, 2025
under the authority of the Government of India

PARTICULARS OF VESSEL

Name of Ship	Distinctive No. or Call Letters	Port of Registry	Gross Tonnage	Dead Weight of Ship (metric tons) ¹⁾	IMO Number

Type of Vessel:

Oil Tanker Chemical Tanker Gas Carrier Any other Cargo Ship

Date on which keel was laid or vessel was at a similar stage of construction or, where applicable, date on which work for a conversion or an alteration or modification of a major character was commenced on.....

THIS IS TO CERTIFY

1. That the vessel has been surveyed in accordance with the requirements of MS (Fire Appliance) Rules, 2026, MS (Life Saving Appliance) Rules, 2026, MS (Prevention of Collision at Sea) Rules, 2026 and the Merchant Shipping (Safety of Navigation) Rules, 2026.
2. That the survey showed that the condition of the Safety Equipment as defined in the above rules was satisfactory and the vessel complied with the relevant requirement of Merchant Shipping Act, 2025.
3. That in implementing Rule 147, of the MS Act 2025, the Government has instituted mandatory Annual/Periodical Surveys.
4. That an Exemption Certificate has/has not²⁾ been issued.*

Dated:

This Certificate is valid until subject to the periodical surveys in accordance with MS (Cargo Ship Construction) Rules, 2026 and MS (Survey, Audit and Certification) Rules, 2026.

Completion date of the survey on which this certificate is based:

Issued at on

(Issuing Authority)

- 1) For Oil Tankers, Chemical Tankers and Gas Carriers only.
- 2) Delete as appropriate.

Certificate No.

MANDATORY ANNUAL SURVEYS

Due Date:

Range: +/- 03 months

THIS IS TO CERTIFY that the vessel has been surveyed in accordance with the rules framed under the Merchant Shipping Act, 2025.

1st Mandatory Annual Survey

Date:.....

Place:.....

Surveyor

2nd Mandatory Annual Survey

Date:.....

Place:.....

Surveyor

3rd Mandatory Annual Survey

Date:.....

Place:.....

Surveyor

4th Mandatory Annual Survey

Date:.....

Place:.....

Surveyor

Certificate No.:

RECORD OF EQUIPMENT FOR THE INDIAN CARGO SHIP SAFETY EQUIPMENT CERTIFICATE

[FORM E]

This record shall be permanently attached to the Indian Cargo Ship Safety Equipment Certificate

RECORD OF EQUIPMENT

1. PARTICULARS OF VESSEL

Name of the Vessel : _____

Distinctive number of letters : _____

2. DETAILS OF LIFE-SAVING APPLIANCES

1. Total number of persons for which life-saving appliances are provided	10 (TEN)		
	Port Side	Starboard Side	Freefall
2. Total number of life-boats			
2.1. Total number of persons accommodated by them			
2.2. Number of totally enclosed lifeboats			
2.3. Number of lifeboats with a self-contained air support system			
2.4. Number of fire-protected lifeboats			
2.5. Other lifeboats			
2.5.1. Number			
2.5.2. Type			
2.6. Number of freefall lifeboats			
2.6.1. Totally enclosed			
2.6.2. Self-contained			
2.6.3. Fire protected			
3. Number of motor lifeboats (included in the total lifeboats as shown above)			
3.1. Number of lifeboats fitted with searchlights			
4. Number of Rescue boats			
4.1. Number of boats which are included in the total lifeboats show above			
5. Liferafts			
5.1. Those for which approved launching appliances are required			
5.1.1. Number of liferafts			
5.1.2. Number of persons accommodated by them.			
5.2. Those for which approved launching appliances are not required			
5.2.1. Number of liferafts			
5.2.2. Number of persons accommodated by them			
5.3. Number of liferafts			
6. Number of lifebuoys			
7. Number of lifejackets			
8. Immersion suits			
8.1. Total Number			

8.2. Number of suits complying with the requirement for lifejackets 9. Radio installations used in life-saving appliances 9.1. Number of search and rescue locating devices 9.1.1. Radar search and rescue transponders (SART) 9.1.2. AIS search and rescue transmitters (AIS-SART) 9.2. Number of two-way VHF radiotelephone apparatus			
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Remarks: Requirements have been obtained as prescribed in MS Rules framed under MS Act, 2025.

Other comments:

Issued aton

Valid until.....

Issuing Authority



INDIAN CARGO SHIP SAFETY CONSTRUCTION CERTIFICATE

Issued under the Provisions of the
Merchant Shipping (Cargo Ship Construction and Survey) Rules, 2026

Name of Ship	Distinctive No. or Letters	Port of Registry	Gross Tonnage	Dead Weight of Ship (Metric Tons) ¹⁾	IMO Number

Type of Ship

Oil Tanker Chemical Tanker Gas Carrier Bulk Carrier Any other
Cargo Ship

Date on which keel was laid or vessel was at a similar stage of construction or, where applicable, date on which work for a conversion or and alteration or modification of a major character was commenced on

THIS IS TO CERTIFY

1. That the vessel has been surveyed in accordance with the requirements of Rule 147 of the Merchant Shipping Act, 2025.
2. That the survey showed that the condition of the structure, machinery and equipment as defined in the above regulation was satisfactory and the vessel complied with the relevant requirements of Merchant Shipping (Cargo Ship Construction and Survey) Rules, 2026.
3. That in implementing Rule 147, the Government has instituted mandatory annual surveys.
4. That the last two inspections of the outside of the vessels bottom took place on and
5. That an Exemption Certificate has/has not³been issued.

This Certificate is valid until subject to periodical surveys in accordance with the MS (Survey, Audit and Certification) Rules, 2026.

Completion date of the survey on which this certificate is based:

Issued at Date :

Issuing Authority

1. For Oil Tankers, Chemical Tankers and Gas Carriers only.
2. Entries in boxes shall be made by inserting either (X) for the answers "Yes" and "Applicable" or dash (-) for the answers "No" and "Not Applicable" as appropriate.
3. Delete as appropriate.

Certificate No.

MANDATORY ANNUAL SURVEYS

Due Date:

Range: +/- 03 months

THIS IS TO CERTIFY that the vessel has been surveyed in accordance with rule 147 of Merchant Shipping Act, 2025.

1st Mandatory Annual Survey

Date:.....

Place:.....

Surveyor

2nd Mandatory Annual Survey

Date:.....

Place:.....

Surveyor

3rd Mandatory Annual Survey

Date:.....

Place:.....

Surveyor

4th Mandatory Annual Survey

Date:.....

Place:.....

Surveyor

INTERMEDIATE SURVEY FOR TANKERS OF TEN YEARS OF AGE AND OVER

Due Date:

Range: 2 year 06 months +/- 06 months

THIS IS TO CERTIFY that an intermediate survey required by Rule --- of Merchant Shipping (Cargo Ship Construction and Survey) Rules, 2026, this vessel was found to comply with the relevant provisions of the Rules.

Intermediate Survey

Date:.....

Place:.....

Surveyor

4. An Intermediate Survey may take place in conjunction with the Second or Third Mandatory Annual Survey.

INDIAN CARGO SHIP SAFETY RADIO CERTIFICATE



[This Certificate shall be supplemented by a Record of Equipment Radio Facilities (Form R-1)]

Issued under the provisions of the Merchant Shipping Act 2025, as amended.

Name of Vessel	Distinctive No. or Letters	Port of Registry	Gross Tonnage	Sea Area in which vessel is certified to operate	IMO Number	Date on which keel was laid

THIS IS TO CERTIFY

1. That the vessel has been surveyed in accordance with the requirement of Rule 147 of the act and the rules made there under.
2. That the survey showed that :
 - 2.1. the vessel compiled with the requirements of the MS (Distress and Safety Radio Communication) Rules, 2026.
 - 2.2. the functioning of the radio installations used in life-saving appliances complied with the requirements of the Act and the rules made there under.
3. That an Exemption has/has not been issued in accordance with the requirements of regulation 147 of the Act and the rules made there under.*

This Certificate is valid until subject to periodical surveys in accordance with the MS (Survey, Audit and Certification) Rules, 2026.

Completion date of the survey on which this certificate is based:

Issued at Date :

Issuing Authority

* If any exemption has been issued such document will be affixed to the Certificate.

Certificate No.

ENDORSEMENT FOR PERIODICAL SURVEYS

THIS IS TO CERTIFY that, at a survey required by provisions of MS ACT 2025.

Periodical Survey : ± 3 MONTHS

Signed:

Place:

Date:.....

Periodical Survey :

Signed:

Place:

Date:.....

Periodical Survey :

Signed:

Place:

Date:.....

Periodical Survey :

Signed:

Place:

Date:.....

Certificate No.:

RECORD OF EQUIPMENT FOR THE INIDAN CARGO SHIP RADIO CERTIFICATE

[FORM R-I]

This record shall be permanently attached to the Indian Cargo Ship Radio Certificate

1. PARTICULARS OF VESSEL

Name of the Vessel :
Official Number and Call Sign:

2. DETAILS OF RADIO FACILITIES

Item	Requirement	Actual Provisions
<p>1. Primary Systems</p> <p> 1.1. VHF Radio installations:</p> <p> 1.1.1. DSC encoder</p> <p> 1.1.2. DSC watch receiver</p> <p> 1.1.3. Radiotelephony</p> <p> 1.2. MF radio installation:</p> <p> 1.2.1. DSC encoder</p> <p> 1.2.2. DSC watch receiver</p> <p> 1.2.3. Radiotelephony</p> <p> 1.3. MF:HF radio installation:</p> <p> 1.3.1. DSC encoder</p> <p> 1.3.2. DSC watch receiver</p> <p> 1.3.3. Radiotelephony</p> <p> 1.3.4. Direct-printing telegraphy</p> <p> 1.4. INMARSAT ship earth station</p> <p>2. Secondary means of alerting</p> <p>3. Facilities for reception of maritime safety information</p> <p> 3.1. NAAVTEX receiver</p> <p> 3.2. EGC receiver</p> <p> 3.3. HF direct-printing radiotelegraph receiver</p> <p>4. Satellite EPIRB</p> <p> 4.1. COSPAS-SARSAT</p> <p> 4.2. INMARSAT</p> <p>5. VHF EPIRB</p> <p>6. Vessel radar transponder</p>		

Remarks: Requirements have been obtained as prescribed in MS (Distress and Safety Radio Communication) Rules, 2026.

Other comments:

Issued aton

Valid until.....

Issuing Authority

Schedule-II: Survey and Certification of Passenger Ships

1. Applicability:

The Provisions of this Schedule shall apply to the following Classes of Passenger Ships, categorized in accordance with the nature and extent of their voyages:

- (1) Class I - Passenger Ships engaged on international voyages other than ships of Class III.
- (2) Class II - Passenger Ships engaged on short international voyages other than ships of Class IV.
- (3) Class III - Special Trade Passenger Ships engaged on international voyages.
- (4) Class IV - Special Trade Passenger Ships engaged on short international voyages.
- (5) Class V - Special Trade Passenger Ships (other than ships of Class VI and VII) engaged on voyages other than international voyages.
- (6) Class VI - Special Trade Passenger Ships engaged on voyages in the coasting trade of India during the course of which they do not go more than 20 miles from the nearest land. Provided that such ships shall not cease to be ships of Class VI merely by reason of the fact that they cross during their voyage the Gulf of Kutch, Cambay or Mannar.

2. Surveys:

2.1. SOLAS for both Passenger and Special Trade Passenger Ships Surveys:

- (1) an initial survey before the passenger Ship is put in service or before the Certificate is issued for the first time;
- (2) a renewal survey at intervals specified by the Director General but not exceeding 12 months except where the renewal Survey is completed within three months before the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of the renewal survey to a date not exceeding 12 months from the date of expiry of the existing certificate or the renewal survey is completed after the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of renewal survey to a date not exceeding 12 months from the date of expiry of the previous certificate, and;
- (3) an additional survey as occasion arises and as decided by the Director General

- 2.2. The Surveys referred above shall be carried out as follows for issuance of International Passenger Ship Safety Certificate or Special Trade Indian Passenger Ship Safety Certificate (Certificate-A and Certificate of Survey) as the case may be:

- (1) the initial survey shall include a complete inspection of the Ship's structure, machinery and equipment, including the outside of the ship's bottom and the inside and outside of the boilers. This survey shall be such as to ensure that the arrangements, materials and scantlings of the structure, boilers and other pressure ships and their appurtenances, main and auxiliary machinery, electrical installation, radio installations including those used in life-saving appliances, fire protection, fire safety systems and appliances, life-saving appliances and arrangements, ship-borne navigational equipment, nautical publications, means of embarkation for pilots and other equipment fully comply with the requirements of the present regulations, and of the laws, orders and regulations promulgated as a result thereof by the Director General for ships of the service for which it is intended. The survey shall also be such as to ensure that the workmanship of all parts of the Ship and its equipment is in all respects satisfactory, and that the Ship is provided with the lights, shapes, means of making sound signals and distress signals as required by the provisions of the present regulations and the International Regulations for Preventing Collisions at Sea in force;
- (2) the renewal survey shall include an inspection of the structure, boilers and other pressure ships, machinery and equipment, including the outside of the ship's bottom. The survey shall be such as to ensure that the Ship, as regards the structure, boilers and other pressure ships and their appurtenances, main and auxiliary machinery, electrical installation, radio installations including those used in life-saving appliances, fire protection, fire safety systems and appliances, life-saving appliances and arrangements, ship-borne navigational equipment, nautical publications, means of embarkation for pilots and other equipment is in satisfactory condition and is fit for the service for which it is intended, and that it complies with the requirements of the present regulations and of the laws, orders and regulations promulgated as a result thereof by the Director General. The lights, shapes, means of making sound signals and distress signals carried by the ship shall also be subject to the abovementioned survey for the purpose of ensuring that they comply with the requirements of the present regulations and of the International Regulation for Preventing Collisions at Sea in force;
- (3) an additional survey either general or partial, according to the circumstances, shall be made after a repair resulting from investigations prescribed in regulation 11, or whenever any important repairs or renewals are made. The survey shall be such as to ensure that the necessary repairs or renewals have been effectively made, that the material and workmanship of such repairs or renewals are in all respects satisfactory, and that the ship complies in all respects with the provisions of the present regulation and of the International Regulations for Preventing Collisions at Sea in force, and of the laws, orders and regulations promulgated as a result thereof by the Director General;

2.3. Running in Surveys:

- (1) In accordance with Rule 274 of the Merchant Shipping (Construction and Survey of Passenger Ships) Rules, 2026, the hull and machinery of any Ship shall be surveyed on the "running survey" principle,

and shall be opened up and surveyed within the period of 05 years, so that full survey of the ship is completed within the period required by these rules. For this purpose, a proper schedule of running surveys needs to be drawn up by the ship-owner and approved by the Director General.

- (2) The Classification Society or Recognized Organization (RO), who shall also draw-up similar schedule for the periodical survey as referred above to avoid duplication of surveys, of these items under the 'Continuous Survey of Hull & Machineries' (CSH & M) scheme in a five year cycle.
- (3) For the purpose of issuance of certificate "A" or the 'Certificate of Survey' for a passenger Ship, the owners shall submit the survey plan drawn up as above to the concerned Mercantile Marine Department (MMD) at the commencement of the respective annual cycle, who will- then specify the items which may require personal attendance of the MMD surveyor. The owner shall facilitate the attendance of the surveyor(s) of the MMD in such cases. However, all other items surveyed and authenticated by the surveyors of the respective RO shall be credited for the purpose of the 'running survey' as per Rule 274 of the Merchant Shipping (Construction and Survey of Passenger Ships) Rules, 2026, provided the Principal Officer is satisfied with the same. The overall responsibility for confirming the effective implementation of the "running survey" regime, however, lies with the concerned Principal Officer who issues the applicable Passenger Ship Safety Certificate '/A' certificate to the ship.

2.4. Tail Shaft and Boiler Surveys:

(1) Tail Shaft Survey:

All cargo ships, regardless of size and trading limits, are required to carry out surveys of their tail shafts in accordance with the provisions of the *Merchant Shipping (Cargo Ship Construction) Rules, 202(5)*. Since the tail shaft forms an integral part of the ships propulsion and machinery system, it is essential to ensure its continued safety and efficiency. The maximum intervals between successive tail shaft surveys shall be in accordance with the following schedule:

Intervals of Tail-shaft surveys based on the type of the system		
S. No	Type of propulsion system	Interval of survey
1.	Shafts with keyed propeller attachments and fitted with continuous liners or oil glands, or corrosion resistant materials and designed to reduce stress concentration and approved by the RO.	5 years
2.	Shafts having keyless-type propeller attachments made of corrosion resistant materials or fitted with oil glands, approved by the RO.	5 years

3.	Shafts having solid coupling flanges at the after end and fitted with oil glands or made of corrosion resistant materials, approved by the RO.	5 years
4.	Controllable pitch propellers for main propulsion purposes, provided the system is approved by the RO.	5 years
5.	Directional propellers, Podded propulsion units, Water jet units, provided the system is approved by the RO.	5 years
6.	All other tail shafts of the propulsion systems not mentioned above, unless specifically approved by the RO for extended intervals of surveys.	2.5 years

The interval for tail shaft surveys specified in the aforesaid table serves as a broad guideline. Owners or managers may alternatively comply with the International Association of Classification Societies (IACS) Unified Requirement (UR) Z.21, as revised, for the survey, certification, and extension of tail shaft surveys. Provided that a reduced scope tail shaft survey (every 5 years), the withdrawal of the tail shaft may be exempted if the pre-requisites are met satisfactorily. Ships with approved Tail Shaft Condition Monitoring (TSCM) systems may be granted extended intervals up to 10 years, subject to compliance with RO-approved monitoring procedures.

2.5. Frequency of dry-docking surveys

- (1) Any passenger ship, other than ro-ro passenger Ship, of less than 15 years of age, shall undergo a minimum of one of the inspections of the outside of the ship's bottom during any five-year period in dry-dock. In all such cases, the maximum interval between any two dry-dock bottom inspections shall not exceed 60 months.
- (2) Any passenger ship, other than ro-ro passenger Ship, of above 15 years of age but less than 30 years of age, shall undergo a not less than minimum of two of the inspections of the outside of the ship's bottom during any five-year period in dry-dock. In all such cases, the maximum interval between any two dry-dock bottom inspections should not exceed 36 months.
- (3) Any passenger Ship, other than ro-ro passenger ship, which is above 30 years of age, shall undergo the inspection of the outside of the ship's bottom in dry-dock during every alternate Annual Passenger-ship Survey (APS).
- (4) Where inspections of the Ship's bottom required for the renewal survey are not conducted in dry-dock such inspection may be carried out with the ship afloat through an effective CCTV underwater examination. In all such cases, along with CCTV under-water inspection, a General Inspection (GI) of the ship, with particular emphasis on the structural fitness of the ship, covering the accessible internal areas as far as practically possible, shall be conducted by the RO and MMD.

- (5) All bottom inspection, regardless of the method, shall be carried out within the allowable. Window period for the Passenger Ship Safety Certificate or Certificate "A" renewal survey (i.e., within the 3 months window before the expiry date of the certificate), as the case may be.
- (6) Notwithstanding the foregoing provisions, a bottom inspection in dry-dock shall, in all cases, be carried out within the fifteen-month period between the fourth annual survey and the renewal survey of the International Load Line Certificate

2.6. **Conditions for In-water Survey in lieu of Dry-dock:**

- (1) In-water survey in lieu of dry-docking is permitted only for Ships which fully meet the conditions of MSC.1/Circ.1348 and assigned with suitable In-water survey (IWS) notation or equivalent, by the concerned RO.
- (2) Inspections of the outside of the Ship's bottom conducted afloat should only be carried out through an under-water surveying agency approved for the purpose by the respective RO and when the conditions are satisfactory and proper equipment and suitably qualified staff is available.
- (3) The concerned RO shall review the ship survey records to confirm that the current condition of hull and machinery and the hull protection system is suitable to accomplish the IWS in accordance with the recommendations specified in MSC.1/Circ.1348. There shall not be any overdue Condition of Class, Recommendation, or similar note relating to a defect in any part of the Ship's structure or the Ship's bottom, particularly those below the water line.
- (4) In all such cases, where the owner opts for In-water survey in lieu of dry-docking, the Master of the ship and DPA of the company shall confirm in writing that the ship has not sustained any grounding or contact damage and that nothing unusual has been observed to suspect that any part of the ship's bottom or protuberances has been damaged or breached in any manner, since the previous bottom inspection.
- (5) A basic requirement for consideration to allow in-water survey in-lieu of dry-dock is that a comprehensive maintenance regime based upon a five-year cycle as mentioned under sub-para (6) is effectively implemented by the company for the relevant items. In particular, the relevant maintenance considerations as indicated in para. 5 of MSC.1/Circ.1348 must be taken into account by the owner, the RO, and the Director General as the case may be.
- (6) In all such cases, the design life of components, manufacturer's recommended maintenance, company's implemented ship's maintenance system and classification society survey requirements should not be in conflict with the bottom inspection of passenger ships when the inspection is intended to be carried out through IWS in-lieu of dry-dock.

(7) The in-water inspection is to be performed under the direct supervision and to the satisfaction of the attending RO surveyor(s) and shall include video recording of the Ship's hull by the diver.

(8) The Principal Officer (PO), MMD who is intending to issue the Passenger Ship Safety Certificate or Certificate "A", to the ship shall over-see the in-water survey through nominated surveyor (s) and may accept the same in-lieu of dry-dock surveys for the purpose of issuance of the respective certificate(s), subject to his satisfaction with regard to the in-water survey effectiveness and its results.

2.7. **Validity of Special Trade Indian Passenger Ship Certificates:**

(1) Certificate "A" & Certificate of Survey for Indian passenger Ships shall have maximum validity of 12 months from the anniversary date, which shall be aligned with the anniversary date of the International Load Line certificate. In cases where the dry-docking or In-water survey of the ship is not falling due during the window period of the certificate, the certificate may still be renewed for maximum period of twelve months, aligning with the anniversary date of the International Load Line certificate, provided that all the items of the hull and machinery under the respective cycle of 'running survey' as per rule **274** of the MS (Construction and Survey of Passenger ships) Rules 2026, except those requiring dry-docking, has been satisfactorily surveyed prior to the issuance of the certificate. The certificate shall have a clear mention of the next due date of the dry-dock / In-water survey and shall cease to be valid if a survey in dry-dock or in-water survey in-lieu of such dry-docking, is not completed within the maximum intervals referred under paragraph 2.5 above.

(2) Further, the Certificate "A" & Certificate of Survey for Indian Special Trade Passenger (STP) Ships operating exclusively in the coast of India may be issued for a maximum period of twelve months from the date of last inspection of the hull and fittings of such ship in a dry-dock (date of un-docking survey), under special circumstances, by the concerned Principal Officer. The special circumstances in this case are where the Ship has been laid-up or has been out of service for a considerable period because of a major repair or modification, but does not include any previous extension granted to the certificate. However, no extension to the Certificate 'A' or Certificate of Survey for STP ships, further to the twelve months from the date of undocking survey, shall be permitted in such cases and the validity of the certificate shall be brought in alignment with the 'anniversary date' of the Load line certificate by the next scheduled Annual Passenger Ship Survey (APS).

2.8. **Other Statutory Surveys as applicable:**

The survey and certification of Passenger ships and Special Trade Passenger Ships under other IMO conventions, such as MARPOL, ITC-69, Load Line Convention, the BWM Convention, the AFS Convention and any other conventions as applicable, must be carried as detailed:

(1) an initial survey before the cargo ship is put in service or before the Certificate is issued for first time;

- (2) an annual survey within three months before or after each anniversary date of the certificate as applicable and indicated in the table of para 8;
- (3) an intermediate survey within three months before or after the 2nd or 3rd anniversary date of the Certificate as applicable and indicated in the table of para 8;
- (4) a renewal survey at intervals specified by the Director General but not exceeding 5 years except where the renewal Survey is completed within three months before the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of the renewal survey to a date not exceeding 5 years from the date of expiry of the existing certificate or the renewal survey is completed after the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of renewal survey to a date not exceeding 5 years from the date of expiry of the previous certificate, and;
- (5) an additional survey as occasion arises and as decided by the Director General.

- 2.9. The anniversary date of all statutory certificates of a Passenger Ship or Special Trade Passenger Ship, except certificate "B", hereinafter, should be aligned with the 'anniversary date' of the International Load Line Certificate as the case may be.
- 2.10. All passenger ship owners or managers must submit applications for the applicable statutory surveys to the jurisdictional PO, MMD well within the prescribed window period. This is essential to enable timely planning and execution of the surveys, as well as the issuance of statutory certificates unless the responsibility for these surveys has been specifically delegated to a RO. However, for Load Line surveys and certification, owners are required to directly approach the exclusive RO notified by the Central Government

- 3. **Over-due Statutory Surveys:** Owners or managers of passenger Ships shall apply to the Director General or a RO notified by the Central Government to conduct statutory surveys within the designated window period. If they intend to carry out or complete these surveys outside the window period—or if the surveys are already overdue—shall obtain prior approval from the Director General before proceeding.

4. **Extension of Statutory Certificates:**

- (1) No statutory certificate to be extended beyond its validity for the purpose of the commercial operation. However, a Passenger Ship at the time when a certificate expires is not in a port in which it is to be surveyed, the Director General may extend the period of validity of the certificate for a maximum period of 3 months only for the purpose of allowing the passenger ship to complete its voyage to the port in which it is to be surveyed.

(2) The Director General, may grant an extension of the statutory surveys of any special trade passenger Ship in the public interest, upon the request of the ship owner or manager. Such an extension shall only be considered after due verification, review, and assessment of the ship's condition through a survey, the scope of which shall be determined by the Director General. The survey must be carried out by a surveyor from the Administration or an RO notified by the Director General. Provided that, the statutory certificate shall not be extended beyond a maximum period of three (3) months under any circumstances.

5. Approval of Plans. Drawings. Manuals & Booklets for issuance of Statutory Certificates:

- (1) Any plan, drawing, manual or booklet towards the issuance of statutory certification of an existing ship undergoing change of flag to India registry, shall be accepted provisionally by the Director General, if the same is duly approved in accordance with the applicable convention on behalf of any other Administration by any RO as notified by the Central Government for considering issuance of short term certificates for 3 months by the jurisdictional MMD or RO. The owners or managers of such ships must submit all the required plans to a RO notified by the Director General through an Executive Order within the validity of short term certificates for review and submitting the plans to Director General for review and approval of the same and for issuance full term certificates by the jurisdictional MMD or RO. Owners shall ensure such drawings / booklets/ manuals are legible and in English language and contain all the information required as per relevant instruments.
- (2) In the event of a change of flag, the procedure outlined above shall be followed for the approval of plans, drawings, manuals, and booklets related to load lines. Upon satisfactory completion of the required surveys, the exclusive RO notified by the Central Government shall issue the full-term Load Line Certificate.
- (3) For initial assignment of load line for new construction ships, the exclusive RO notified by the Central Government shall approve all the plans, drawings, booklets, manuals etc. as required and applicable, and carry out the initial surveys towards issuance of full term load line certificate.
- (4) Any plan, drawing, or booklet related to a newly constructed ship must be reviewed by a RO that has been notified by the Director General through an Executive Order in accordance with applicable MS Rules and Conventions, specifically for the purpose of statutory certification services and forwarding the plans to Director General for review and approval.
- (5) In the event of a change of flag, the jurisdictional MMD or RO undertaking the statutory surveys shall issue a Provisional International Tonnage Certificate (ITC) valid for six (6) months, based on the ITC issued under the previous flag. The jurisdictional MMD or RO shall forward this provisional certificate, along with the tonnage computations carried out by any RO notified by

the Central Government, to the Registrar of the ship for issuance of a permanent ITC. However, the tonnage computations were not carried out by an RO notified by the Central Government and not in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Merchant Shipping (MS) Rules, the jurisdictional MMD or RO notified by the Director General through an Executive Order shall undertake a fresh tonnage measurement in accordance with the MS Rules. The revised tonnage computations must be submitted to the Registrar of the ship within the validity period of the Provisional ITC for the purpose of issuing the permanent ITC.

- (6) For a new construction ship, the jurisdictional MMD or the RO, as notified by the Director General through an Executive Order, shall carry out the tonnage measurement and computations in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Merchant Shipping (MS) Rules. Upon completion, the tonnage details shall be submitted to the Registrar of the ship for the issuance of the Permanent International Tonnage Certificate (ITC).

6. **Exemptions:**

For any existing or newly built passenger ship or special trade passenger ship, any exemption to be granted in accordance with the relevant international conventions or under the provisions of MS Rules for the issuance of statutory certificates shall require the owners or managers of such ships to submit an application to the Director General. The application shall be accompanied by the jurisdictional MMD or RO's recommendations and the applicable fee as prescribed by the Director General. Such requests will be considered in line with the provisions of the relevant international conventions.

7. **B-Certificate Inspections:**

- (1) All Special Trade Passenger Ship owners or managers operating ships with a certified capacity of 400 passengers or more and the voyage duration more than 12 hours shall offer their ships for B-Certificate inspection to the jurisdictional MMD. This inspection is intended to verify compliance with the provisions of Section 123 of the Merchant Shipping Act, 2025, and the associated rules framed thereunder. The B-Certificate shall be issued in the prescribed format (Form No. IV) and must be obtained prior to the ship's departure from the port.
- (2) All Special Trade Passenger Ship's owners or managers operating ships with a certified capacity of less than 400 passengers and the voyage duration more than 12 hours shall ensure that the Master of the ship submits a declaration to the jurisdictional MMD, confirming compliance with the requirements under Section 123 of the Merchant Shipping Act, 2025, and the associated Rules framed thereunder, prior to the ship's departure from port. The declaration shall be submitted in the prescribed format (Form No. VI).

8. List of certificates and applicable surveys for passenger ship:

Name of the Convention	Name of the Certificate	Maximum validity	Type of Survey				Remarks
			Initial	Annual / Periodical	Intermediate	Renewal	
Tonnage Measurement Convention, 1969	International Tonnage Convention	None	Yes	No	No	No	24 meters length and above
Load Line Convention	International Load Line Certificate	5 Years	Yes	Yes	No	Yes	24 meters length and above
SOLAS, 1974	International Passenger Ship Safety Certificate	12 months	Yes	No	No	Yes	All foreign going Passenger ships
	Special Trade Indian Passenger Safety Certificate (A-Certificate & Certificate of Survey)	12 months	Yes	No	No	Yes	All Special Trade Indian Passenger ships
MARPOL 73/78	International Oil Pollution Prevention Certificate	5 Years	Yes	Yes	Yes	Yes	400 GT and above
MARPOL 73/78	International Sewage Pollution Prevention Certificate	5 Years	Yes	No	No	Yes	400 GT and above or certifying to carry more than 15 persons

MARPOL 73/78	International Air Pollution Prevention Certificate	5 Years	Yes	Yes	Yes	Yes	400 GT and above
MARPO73/78	International Energy Efficiency Certificate	None	Yes	No	No	No	400 GT and above
AFS Convention	International Anti-Fouling System Certificate	Till renewal or replacement of antifouling system	Yes	No	No	No	400 GT and above
Ballast Water Management Convention	International Ballast Water Management Certificate	5 Years	Yes	Yes	Yes	Yes	400 GT and above

9. Suspension or Withdrawal of the Statutory Certificates:

The Director General may suspend or withdraw the statutory certificates issued to any Passenger Ship or Special Trade Passenger Ship, under the following circumstances, namely but not limited to

- (a) Failure to maintain ship or equipment in accordance with the certificate.
- (b) Failure to comply with conditions specified in the statutory certificates issued under various IMO Conventions and MS Rules framed under MA Act, 2025 applicable to Passenger Ships.
- (c) Inoperative critical safety systems (e.g., fire protection, lifeboats, and navigation systems).
- (d) Serious deficiencies found during flag or port state inspections.
- (e) Illegal discharge of oil, sewage, garbage, or other pollutants.
- (f) Malfunction or bypassing of pollution prevention equipment (e.g., Oily Water Separator).
- (g) Non-compliance with the Garbage Management Plan, Oil Record Book, or IAPP/IOPP Certificates.
- (h) Overloading or structural modifications affecting buoyancy or stability.
- (i) Failure to maintain water-tight integrity.

10. Formats of Certificates and Forms:

- (1) All Convention Certificates must be issued in the format specified by the organization.

(2) All other certificates and forms must be issued in the format prescribed by the respective rules or as specified in this Schedule.

Form-I



Certificate No. : xxxxxxxxxxxx

CERTIFICATE "A"

(Issued under the Merchant Shipping Act, 2025)

I, the undersigned duly appointed and authorised to grant certificates under Section 123 of Part VI of M.S. Act of 2025 hereby certify that the under mentioned ship being special trade passenger ship within the meaning of M.S. Act of 2025 and now riding at anchor at properly equipped, fitted and ventilated, and that's carrying the number of Trade passengers shown below.

Name and official number	Port of Registry	Tonnage		Single, twin, triple or quadruple screw, Registered Horse power	Registered Length of ship
		Gross	Net		
xxxxxxxxxxxx	xxxxxx	xxxx	xxxx	xxxxxxxxxx	
Name and address of owner of agent	xxxxxxxxxxxxxxxxxxxxxxxxxxxxxx			Class of ship under Life Saving Appliances Rules	xx

LIFE SAVING APPLIANCES

Sr. No.	Description		Number	Number attached to davits	Cubic contents in feet	Number of persons they will accommodate	Number of sets of davit
1	xxxxxxxxxx		x	x	xx	x	x
Number of Life Jackets							
Adults		Children	Infants		(over weight)		Number of Life Buoys
xx		xx	xx		xx		xx

HOSPITAL

Sr. No.	Permanent on upper deck			Temporary on upper deck	
	Number of Bunks	Superficial deck area	Cubic feet of air space reserved	Number of superficial feet reserved	
				Long Voyages	Short voyages
1	x	x	x	x	x

EQUIPMENTS

Sr. No.	Number of compasses on board	Date of last adjustment	Description and state of distilling apparatus	Number of gallons of pure cold water that it is capable of producing in 24 hours
1	x	xx-xx-xxxx	xx	x

SPACE AVAILABLE FOR UNBERTHED PASSENGERS

Sr. No.	Space available for Native passengers	Total Squa re Meter s	Number of Native passengers				
			Short Voyages less than 120 hours		Fair season		Festiv al Or specia l voyag es
			Less than 24 hours	Not less than 72 hours			
1	XXXXX	XX	XX	XX	X	X	X
2	XXXXX	XX	XX	XX	X	X	X
3	XXXXX	XX	XX	XX	X	X	X
4	XXXXX	XX	XX	XX	X	X	X

Issued at xxxxxxxx dated xx-xx-xxxx

ACERTXXXXXXX

Principal Officer,
Mercantile Marine Department

.....

This certificate remains in force **xx-xx-xxxx**

NOTES: -

1. If any of the space measured for passengers is occupied by cargo cattle or stores the number of passengers for which the spaces occupied was measured is to be deducted from the number stated above.
2. If the number of un berthed passengers/pilgrims carried exceeds the number stated in this Certificate the Master and Owner shall for every un berthed passenger/pilgrim over and above that number be each liable to a fine which may extend to twenty rupees and the Master shall further be liable to imprisonment for a term which may extend to one week, in respect of each such un berthed passenger.
3. A copy of this Certificate shall be kept posted up in a conspicuous part of the ship throughout the voyage so as to be visible to persons on board.
4. In the case of pilgrim ships item, which are not applicable, should be struck out.

Form-II

Certificate No. :
ACERTXXXXXXX



**RECORD OF EQUIPMENTS FOR THE
PASSENGER SHIP SAFETY CERTIFICATES
(FORM P)**

This record shall be permanently attached to the Passenger Ship Safety Certificate or Certificate 'A' or Certificate of Survey

**RECORD OF EQUIPMENT FOR COMPLIANCE WITH THE INTERNATIONAL CONVENTION
FOR THE SAFETY OF LIFE AT SEA, 1974 AS MODIFIED BY THE PROTOCOL OF 1988
RELATING THERETO**

1. Particulars of ship

Name of ship : xxxxxx

X

Distinctive number or letters :

xxxxx

IMO No. : xxxxx

Number of passengers for which certified : xxxx

Minimum number of persons with required qualifications to operate the radio :xxx

2. Details of life-saving appliances

1. Total number of persons for which life-saving appliance are provided	xxx	
	Port side	Starboard side
2. Total no of lifeboats	XX	XX
2.1 Total number of persons accommodated by them	XX	XX
2.2 Number of partially enclosed lifeboats (regulation III/21andLSACide,section4.6)	XX	XX
2.3 Number of totally enclosed lifeboats (regulation III/21andLSACide,section4.6)	XX	XX
2.4 Other lifeboats	XX	XX
2.4.1 Number	XX	XX
2.4.2 Type	XX	XX
3. Number of motor lifeboats included in the total lifeboats shown above	XX	
3.1 Number of lifeboats fitted with searchlights	XX	
4. Number of rescue boats	XX	
4.1. Number of boats which are included in the total lifeboats shown above	XX	

5. Life rafts	xx
5.1. Those for which approved launching appliances are required	xx
5.1.1 Number of life rafts	xx
5.1.2 Number of Persons accommodated by them	xx
5.2 Those for which approved launching appliances are not required.	xx
5.2.1 Number of life rafts	xx
5.2.2 Number of persons accommodated by them	xx
6. Buoyant apparatus	xx
6.1 Number of apparatus	xx
6.2 Number of persons capable of being supported	xx
7. Number of lifebuoys	xx
8. Number of lifejackets	xx
9. Immersion suits	xx
9.1. Number of motor lifeboats included in the total lifeboats shown above	xx
9.2 Number of suits complying with the requirements for Life jackets	xx
10. Number of thermal protective aids	xx
11. Radio installations used in life-saving appliances	xx
11.1 Number of radar transponders	xx
11.2 Number of two-way VHF radiotelephone apparatus	xx

Excluding those required by the LSA Code, paragraphs 4.1.5.1.24, 4.4.8.31 and 5.1.2.2.13.

3. Details of radio facilities

Item	Actual provision
1. Primary Systems	xx
1.1 VHF Radio Installations	xx
1.1.1 DSC Encoder	xx
1.1.2 DSC watch receiver	xx
1.1.3 Radiotelephony	xx
1.2 MF Radio installation	xx
1.2.1 DSC Encoder	xx
1.2.2 DSC watch receiver	xx
1.2.3 Radio telephony	xx
1.3 MF, HF radio installation	xx
1.3.1 DSC Encoder	xx
1.3.2 DSC watch receiver	xx
1.3.3 Radio telephony	xx
1.3.4 Direct – printing telegraphy	xx
1.4 INMARSAT ship earth station	xx
2. Secondary means of alerting	xx

3. Facilities for reception of maritime safety information	xx
3.1 NAVTEX receiver	xx
3.2 EGC receiver	xx
3.3 HF direct – printing radio telegraph receiver	xx
4. Satellite EPIRB	xx
4.1 COSPAS – SARSAT	xx
4.2 INMARSAT	xx
5. VHF EPIRB	xx
6. Ship's Rader transponder	xx

4. Methods used to ensure availability of radio facilities

(Regulation IV/15.6 and 15.7)

Duplication of equipment :xx

Shore based maintenance :xx

At-sea maintenance capability

5. Details of navigation systems and equipment

Item	Actual provision
1.1 Standard Magnetic Compass	xx
1.2 Spare Magnetic Compass	xx
1.3 Gyro-compass	xx
1.4 Gyro-compass heading repeater	xx
1.5 Gyro-compass bearing repeater	xx
1.6 Heading or track control system	xx
1.7 Pylorus or compass bearing devices	xx
1.8 Means of correcting heading and bearing	xx
1.9 Transmitting heading device (THD)	xx
2.1 Nautical charts	xx
2.2 Back-up arrangements for ECDIS	xx
2.3 Nautical Publications	xx
2.4 Back-up arrangements for electronic nautical publications	xx
3.1 Receiver for a global navigation satellite system	xx
3.2 GHz radar	xx
3.3 Second radar 9 GHz	xx
3.4 Automatic radar plotting aid (ARPA)	xx
3.5 Automatic tracking aid	xx
3.6 Second automatic tracking aid	xx
3.7 Electronic plotting aid	xx
4. Automatic identification system (AIS)	xx
5. Voyage data recorder SVDR	xx
6.1 Speed and distance measuring device (through the water)	xx
6.2 Speed and distance measuring (over the ground in the forward and athwart ship direction)	xx
7. Echo-sounding device	xx

8.1 Rudder, propeller, thrust, pitch and operational mode indicator	xx
8.2 L. R. I. T	xx
9.Sound reception system	xx
10.Telephone to emergency steering position	xx
11. Day light signaling lamp	xx
12. Radar reflector	xx
13. International Code of Signals	xx
14. Bridge Navigational Watch ALARM System (BNWAS)	xx
15. AERO V.H.F	xx

THIS IS TO CERTIFY that this Record is correct in all respects.

Issued at xxxxxxx dated xxxxxxx

Principal Officer
Mercantile Marine Department

.....

Note:

1. This form P is to be kept attached with Certificate of Survey/Certificate – A
2. Alternative means of meeting this requirement are permitted under regulation V/19. In case of other means they shall be specified.

Form-III



Certificate No.
:ACERTXXXXXX

CERTIFICATE OF SURVEY
(Issued under the Merchant Shipping Act. 2025)

For a foreign-going/an Indian Home Trade Passenger Ship

MOTORSHIP XXXXXX

XXXXXXXXX **OPERATOR**

Port of Registry	Official Number	IMO No.	Tonnage		
			Gross	Net	Class
XXXXXX	XXXX	XXXXXXX	XXX	XXX	XX

RADIO TELEGRAPHY / TELEPHONY REQUIREMENTS

No. of operators as per SMD	Requirements of Regulations	Actual Provision
XX	XX	XXXXXXX

SUB-DIVISION LOADLINES

Sub-Division load lines Assigned and marked on the Ship's side at amidships	Freeboard	To apply when the following alternative spaces are adapted for the carriage of passengers
XX	XX	XX

NUMBER OF PASSENGERS AND CREW

No. of passengers				Crew	Total passen gers and crew
First Class	Second Class	Bunk Class	Un berthed Passengers		
X	XX	XX	XX	XX	XX

NOTES:

1. Two children between one and twelve years of age are to be reckoned as one Passenger.
2. All Cabin passengers are to have the use of sufficient promenade space on deck.
3. If any of the space measured for passengers is occupied by cargo, cattle or stores, the number of passengers for which the space so occupied was measured is to be deducted from the numbers stated above.
4. On any voyage on which this ship may be cleared as an Unberthed Passenger Ship or as a Pilgrim Ship the number of passenger are governed by the certificate granted for voyage, and not by this Certificate.

LIFE-SAVING APPLIANCES

Life Saving Appliances sufficient	xx
-----------------------------------	----

for	
Life Boats capable of accommodating	xx
Rescue Boat	xx
Inflatable Life rafts (P)	xx
Inflatable Life rafts (S)	xx
Life-buoys	xx
Life-jackets	xx
Immersion suits	xx
EPIRB	xx
SART	xx

THIS IS TO CERTIFY that the provisions of the Merchant Shipping Act.1958 relating to the survey of passengers ships have been complied with and that the above –mentioned ship is fit to ply as a Foreign going ship/an Indian home Trade ship with number of passengers stated above

This certificate unless previously cancelled or suspended remains in force until the xx-xx-xxxx. If the ship is then out of a port of survey, she must be surveyed and have a new Certificate before she begins to ply with passengers after her next subsequent return to a port of survey.

Signed by the order of the Government of India on XX-XX-XXXX

Principal Officer
Mercantile Marine Department

.....

1. Either the Certificate or the duplicate thereof furnished by the Government of India is to be put up in a conspicuous place on board the ship as to be legible to all persons on board and to be kept so put up and legible while the Certificate remains in force and the ship is in use, otherwise the owner and master shall each be liable to a fine which may extend to one hundred rupees.
2. If the number of passengers carried exceeds the number allowed by this Certificate the owner and master will each be liable to the penalties prescribed by the law.
3. In any case of the accident occasioning loss of life or any damage affecting the seaworthiness or efficiency of the ship either in the hull or in the hull or in the part of the machinery, a report by letter signed by the owner or master is to be forwarded to the Principal Officer, Mercantile Marine Department Chennai District within 24 hours after arriving in port or as soon thereafter as possible.
4. The president may require the ship to be re-surveyed to such extent as he may think fit if he has reason to believe that since the making of the last Declaration of survey and any alteration has been made in the ship's hull, equipment or machinery which affects the efficiency thereof or her sea worthiness, or that her hull, equipment or machinery have sustained any injury or are otherwise insufficient, and if such requirement is not complied with he may cancel this certificate.

N.B.: Any communication address relative to this ship should state the name, port of registry, and official number of the ship and the number of this Certificate.

Form-IV

MMD's Copy
Ship's Copy



Issued by the Govt. of India

“B” CERTIFICATE

Name of the Ship :

Official Number :

Date of Issue :

Port of Registry :

Port of Departure :

Port of Call :

Voyage No. :

“A” Certificate is valid till

MASTER

Name of the Ship and Official Number	Date of Expiry of Certificate of Survey	Clause of Ship under Life Saving Appliances Rules

Main Draft of Water and Free-board	For'd :	Mean :
	Aft :	Free-board :

Port of Departure	Port of Call	Destination

MASTER AND OFFICERS

Number of Compass	Number of Chronometer	Number of Sextants (or) Quadrants	Number of Manometer

Number of Anchors	Quality of Fresh Water Tanks	Quantity of Fresh Water

LIFE SAVING APPLIANCES

Appliance	Number	Capacity
LIFE BOATS		Persons
LIFE BUOYS		Persons
LIFE JACKETS (ADULT)		Persons
LIFE JACKETS (CHILD)		Persons
INFLATABLE LIFE- RAFT		Persons
LIFE JACKET (INFANT)		Persons
LIFE JACKET (Over Size)		Persons

PASSENGERS (EQUAL TO ADULTS COMPUTED BY PART VIII M.S. ACT, 2025)

As per PAX manifest

CLASS (CABIN OR BUNK)	ADULTS		CHILDREN		INFANT	
	12 Yrs & above		Between 1 to 12 yrs			
	Male	Female	Male	Female		
CABIN						
BUNK						
TOTAL PAX						

Actual PAX on Board

Infant

CREW COMPLEMENTS							
Officers	Petty Officer	Deck Crew	Engine Crew	Saloon Crew	Supernumerary	Canteen staff	Total

Total No. of souls onboard, as on Departure:

	Infants
--	---------

MASTER

Date:

I duly appointed and authorized to grant certificate under section 123 of the Merchant Shipping Act, 2025, do hereby certify following-

1. that, I am satisfied that the particulars relating to the ship being an berthed passenger ship within the meaning of the above Act, in the above statement are correct.
2. that, she has the proper compliments of Officers and Seamen (Crew)
3. that, the provisions, fuel and fresh water are good of quality and properly stored in dedicated fresh water tanks as per master's declaration.
4. that, the cooking accommodation is adequate.
5. that, the Bunkers and Fresh Water onboard amount to:-

and, sufficient to take the ship to her next supplied port

6. that, the Certificate of Survey and Certificate -A is in the custody of Master.
7. To the best of my knowledge there is no cargo onboard which from its Quantity, Quality or made of stowage, is likely to prejudice the health or safety of the berthed Passengers.
8. that, the ship is furnished with substantial bulwarks and double awning which afford sufficient protection to the upper (weather) deck Passenger against the weather.
9. that, she is mechanically propelled.
10. that, she has onboard Medical Officer Licensed in accordance with the Rules.
11. that, she has onboard the necessary Hospital in accordance with the Rules along with the required wards.
12. that, the full space required by the said Act has been appropriated for the above mentioned berthed Passengers in between the deck as well as on the upper (weather) deck.

MASTER

Date:

Signature of Certifying Officer

Form-V



WATER and Provision Declaration for berthed Passenger Ship to be made by the Master

Details of the ship			
Name of the Ship	Official Number	Port of Registry	Intended period of voyage

Port of Embarkation	Port of Destination

I hereby declare that the provisions and water prescribed under rules in accordance with the section 123 of Part VI of the MS Act, 2025 are all onboard and that they are of good quality and sufficient to supply the number of berthed Passengers embarked in this port and proceeding to the Port of Destination mentioned above that they are sufficient for the above declared duration of the Voyage.

- (a) All Life-saving and Fire-fighting appliances are working satisfactorily and all are in order.
- (b) No CSM / CSH item is overdue.
- (c) All statutory certificates are valid.
- (d) As per present weather report weather is found normal to undertake voyage.
- (e) All machineries are working satisfactorily.

Chief Engineer Officer

Master

Port	
Date	

Form-VI



DECLARATION BY THE MASTER

Details of the ship			
Name of the Ship	Official Number	Port of Registry	Intended period of voyage

Port of Embarkation

Port of Destination

As per PAX manifest

CLASS (CABIN OR BUNK)	ADULTS		CHILDREN		INFANT	
	12 Yrs & above		Between 1 to 12 yrs			
	Male	Female	Male	Female		
CABIN						
BUNK						
TOTAL PAX						

Actual PAX on Board

Infant

CREW COMPLEMENTS							
Officers	Petty Officer	Deck Crew	Engine Crew	Saloon Crew	Supernumerary	Canteen staff	Total

Total No. of souls onboard, as on Departure:

	Infants
--	---------

The undersigned, in the rank of Master, and in compliance with the rules prescribed under Section 123 of the Merchant Shipping Act, 2025, confirms that-

1. this ship falls under the definition of the passenger ship as per the above mentioned Act.
2. this ship has ample support of seafarers for navigation in the ranks of officers and Seamen (crew).
3. this ship is filled with general provisions of food, fresh water for passengers and crew on-board the ship in good quality and quantity and are stored in suitable conditions.
4. the ship has proper accommodation that suits for cooking and also provides room for basic amenities of passengers.
5. the Bunkers and Fresh Water onboard amount to:-

and, sufficient to take the ship to her next supplied port

6. the ship holds on to all the applicable certificates in my custody and will be provided as and when required by the authorities.
7. To the best of my knowledge there is no cargo onboard which from its Quantity, Quality or made of stowage, is likely to prejudice the health or safety of the berthed Passengers.
8. the ship is furnished with substantial bulwarks and double awning which afford sufficient protection to the upper (weather) deck Passenger against the weather.
9. the ship is mechanically propelled.
10. the ship has on board the necessary Hospital & Medicine in accordance with the Rules.
11. the full space required by the said Act has been appropriated for the above mentioned berthed Passengers in between the deck as well as on the upper (weather) deck.

Date:

MASTER

Schedule-III: Survey and Certification of High Speed Crafts.

1. Applicability:

The provision contained in this schedule shall apply to;

- (1) Passenger High Speed Crafts; and
- (2) Cargo Crafts of five hundred Gross Tonnage (500 GT) and above.

2. Definition:

High Speed Craft : "High-speed craft" is a craft capable of maximum speed, in meters per second (m/s), equal to or exceeding: $3.7 \nabla^{0.1667}$ where: ∇ = volume of displacement corresponding to the design waterline (m³) excluding craft the hull of which is supported completely clear above the water surface in non-displacement mode by aerodynamic forces generated by ground effect.

3. Survey and Certification under the High Speed Craft Code:

(1) Each craft shall be subject to the surveys specified below:

- (i) an initial survey before the craft is put in service or before the Certificate is issued for the first time.
- (ii) A renewal survey at intervals specified by the Director General but not exceeding 5 years. If the renewal survey is completed within three months before the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the existing certificate. If the renewal survey is completed after the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the previous certificate.
- (iii) a periodical survey within three months before or after each anniversary date of the certificate; and
- (iv) an additional survey, either general or partial according to the circumstance, shall be made after a repair resulting from an incident occurs to a craft or a defect discovered either of which affects the safety of the craft or the efficiency or completeness of structure, equipment, fittings, arrangements and materials, and as decided by the Director General.

(2) The initial survey shall include:-

- (i) An appraisal of the assumptions made and limitations proposed in relation to loadings, environment, speed and manoeuvrability;
- (ii) An appraisal of the data supporting the safety of the design, obtain, as appropriate, from calculations, test and trials;
- (iii) A failure mode and effect analysis as required by the High Speed Craft (HSC) Code;
- (iv) An investigation into the adequacy of the various manuals to be supplied with the craft; and
- (v) A complete inspection of the structure, safety equipment, radio installations and other equipment, fittings, arrangements and materials to ensure that they comply with the requirements of the HSC Code are in satisfactory condition and are fit for the service for which the craft is intended.

(3) The renewal and periodical surveys shall include a complete inspection of the structure, including the outside of the craft's bottom and related items, safety equipment, radio installations and other equipment as surveyed during initial survey to ensure that they comply with the requirements of the HSC Code are in satisfactory condition for the intended service.

- (4) The inspection of the craft's bottom shall be conducted with the craft out of the water under suitable conditions for close-up examination of any damaged or problem areas.
- (5) The jurisdictional Mercantile Marine Department (MMD) or a Recognised Organisation (RO) notified by the Central Government shall conduct the applicable surveys within the designated window period. If the craft owners or managers are intend to initiate or complete surveys outside the window period, or if the statutory surveys are overdue, shall obtain prior approval from the Directorate General before commencing such surveys.
- (6) The jurisdictional MMD or RO notified by the Central Government may issue a High-Speed Craft Safety Certificate for a maximum period of five (5) years from the date of expiry of existing full term certificate or endorse the certificate upon satisfactory completion of the applicable survey. However, the validity of the High-Speed Craft Safety Certificate may be limited to the validity of the craft's class certificate, or it may coincide with the survey cycle of the Classification Society or RO, subject to compliance of all the HSC Code requirements as applicable.
- (7) All passenger High-Speed Craft (HSC) surveys and certifications shall be carried out exclusively by the jurisdictional MMD, unless specific directions are issued by the Director General.

4. Permit to Operate High Speed Craft:

- (1) The craft shall not operate commercially unless a Permit to Operate High Speed Craft is issued and valid in addition to the High Speed Craft Safety Certificate.
- (2) The crafts may undertake transit voyages without a valid Permit to Operate High Speed Craft provided the craft is not operating commercially with passengers or cargo. However, the owners / managers of the craft of shall obtain permission from the Director General for such voyages.
- (3) The Permit to Operate High Speed Craft shall be issued by the jurisdictional MMD for a maximum period of five years and periodically reviewed and endorsed within three months before or after each anniversary date, to certify compliance with the following and stipulated conditions of the operation of the craft and be drawn up on the basis of the information contained in the route operational manual specified in the Chapter 18 of the HSC Code:
 - (i) The management of the company operating the craft exercises strict control over its operation and maintenance by a quality management system;
 - (ii) The management ensures that only persons qualified to operate the specific type of craft used on the intended route are employed;

- (iii) The distance covered and the worst intended conditions in which high speed craft operations are permitted will be restricted by the imposition of operational limits;
- (iv) The craft will be at all times be in reasonable proximity to a place of refuge, having due regard to the provisions of the HSC Code;
- (v) Adequate communications facilities, weather forecast and maintenance facilities are available within the area of the craft operation;
- (vi) In the intended area of operation, suitable rescue facilities will be readily available.

5. Route Operational Manual:

The owner / manager of the HSC Craft shall submit the Route Operational Manual to the jurisdictional MMD for approval in accordance with the Chapter 18 of the HSC Code.

6. MARPOL and Other Statutory Surveys as applicable:

The survey and certification of High-Speed Crafts (HSC) for Passenger and Cargo under other IMO conventions—such as MARPOL, ITC-69, AFS Convention and other conventions as applicable —must be carried out in accordance with the provisions of those respective conventions, and as detailed in the HSC Code (1994 or 2000, depending on the craft's certification basis).

- (1) an initial survey before the craft is put in service or before the Certificate is issued for first time;
- (2) an annual survey within three months before or after each anniversary date of the certificate;
- (3) an intermediate survey within three months before or after the 2nd or 3rd anniversary date of the Certificate;
- (4) a renewal survey at intervals specified by the Director General but not exceeding 5 years. If the renewal survey is completed within three months before the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the existing certificate. If the renewal survey is completed after the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the previous certificate. and;
- (5) an additional survey as occasion arises and as decided by the Director General.
- (6) All passenger HSC owners or managers shall submit applications for the required statutory surveys to the jurisdictional MMD within the prescribed time window. This ensures adequate time for planning and execution of the surveys, as well as for the issuance of the

necessary statutory certificates — unless responsibility for these surveys has been specifically delegated to RO.

7. Approval of Plans. Drawings. Manuals & Booklets for issuance of Statutory Certificates:

- (1) Any plan, drawing, manual or booklet towards the issuance of statutory certification of an existing HSC undergoing change of flag to India registry, shall be accepted provisionally by the Director General, if the same is duly approved in accordance with the applicable convention on behalf of any other Administration by any RO as notified by the Central Government for considering issuance of short term certificates for 3 months by the jurisdictional MMD or RO. The owners or managers of such crafts shall submit all the required plans to a RO notified by the Director General through an Executive Order within the validity of short term certificates for review and submitting the plans to Director General for review and approval of the same and for issuance full term certificates by the jurisdictional MMD or RO. Owners shall ensure such drawings / booklets/ manuals are legible and in English language and contain all the information required as per relevant instruments.
- (2) Any plan, drawing, or booklet related to a newly constructed ship must be reviewed by a RO that has been notified by the Director General through an Executive Order in accordance with applicable MS Rules and Conventions, specifically for the purpose of statutory certification services and forwarding the plans to Director General for review and approval.
- (3) In the event of a change of flag, the jurisdictional MMD or RO undertaking the statutory surveys shall issue a Provisional International Tonnage Certificate (ITC) valid for six (6) months, based on the ITC issued under the previous flag. The jurisdictional MMD or RO shall forward this provisional certificate, along with the tonnage computations carried out by any RO notified by the Central Government, to the Registrar of the craft for issuance of a permanent ITC. However, if the tonnage computations were not carried out by an RO notified by the Central Government and not in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Merchant Shipping (MS) Rules, the jurisdictional MMD or RO as notified by the Director General through an Executive Order shall undertake a fresh tonnage measurement in accordance with the MS Rules. The revised tonnage computations must be submitted to the Registrar of the craft within the validity period of the Provisional ITC for the purpose of issuing the permanent ITC.
- (4) For a *new construction craft*, the jurisdictional MMD or the RO, as notified by the Director General through an Executive Order, shall carry out the tonnage measurement and computations in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Merchant Shipping (MS) Rules. Upon completion, the tonnage

details shall be submitted to the Registrar of the craft for the issuance of the Permanent International Tonnage Certificate (ITC).

8. Suspension or Withdrawal of the Statutory Certificates:

Director General may suspend or withdraw the statutory certificates issued to any High Speed Craft, under the following circumstances, namely but not limited to:

- (a) Failure to maintain ship or equipment in accordance with the certificate.
- (b) Failure to comply with conditions specified in the statutory certificates issued under various IMO Conventions applicable to High Speed Craft.
- (c) Inoperative critical safety systems (e.g., fire protection, lifesaving, and navigation systems).
- (d) Serious deficiencies found during flag or port state inspections.
- (e) Illegal discharge of oil, sewage, garbage, or other pollutants.
- (f) Malfunction or bypassing of pollution prevention equipment (e.g., Oily Water Separator).
- (g) Non-compliance with the Garbage Management Plan, Oil Record Book, **or** IAPP/IOPP Certificates.
- (h) Overloading or structural modifications affecting buoyancy or stability.
- (i) Failure to maintain water-tight integrity.

9. Formats of Certificates and Forms:

- (1) All Convention Certificates must be issued in the format specified by the organization.
- (2) All other certificates and forms must be issued in the format prescribed in the respective rules or as specified in this Schedule.

Schedule-IV: Survey and Certification of Mobile Offshore Drilling Units

1. Applicability:

The provisions contained in this Schedule shall be applicable to all Mobile Offshore Drilling Units of Self Propelled.

2. Definition

Mobile offshore drilling unit (MODU) or unit is a vessel capable of engaging in drilling operations for the exploration or for exploitation of resources beneath the seabed such as liquid or gaseous hydrocarbons, sulphur or salt, as specified in Code for Construction and equipment of Mobile offshore Drilling Units hereinafter referred as MODU Code.

3. Survey and Certification under the MODU Code:

- 1) Each unit should be subject to the surveys specified below:
 - (a) an initial survey before the unit is put in service or before the certificate is issued for the first time;
 - (b) a renewal survey at intervals specified by the Director General but not exceeding five years except where the renewal Survey is completed within three months before the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of the renewal survey to a date not exceeding five (5) years from the date of expiry of the existing certificate or the renewal survey is completed after the expiry date of the existing certificate, the new certificate shall be valid for five (05) years from the date of expiry of the previous certificate;
 - (c) an intermediate survey within three months before or after the second anniversary date or within three months before or after the third anniversary date of the certificate, which should take the place of one of the annual survey;
 - (d) an annual survey within three months before or after each anniversary date of the certificate;
 - (e) a minimum of two dry-dock surveys during any five-year period of validity of MODU Safety Certificate. The time between any two inspections must not exceed thirty six (36) months (3 years). However, if the Mobile Offshore Drilling Unit when a certificate expires is not in the place in which it is to be surveyed, the Director General may extend the period of validity of the certificate but this extension should be granted only for the purpose of allowing the unit to proceed to the place in which it is to be surveyed, and then only in cases where it appears

proper and reasonable to do so. No certificate should be extended for a period longer than three months, and a unit to which an extension is granted should not, on its arrival in the place in which it is to be surveyed, be entitled by virtue of such extension to leave that place without having a new certificate. When the renewal survey is completed, the new certificate should be valid to a date not exceeding five years from the date of expiry of the existing certificate before the extension was granted

In-water survey may be permitted in lieu of dry-docking for intermediate docking for all MODU's subject to the approval of the Director General, provided that the MODU comply with IMO Resolution A.1186(33) — *Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2023* — as well as the applicable requirements of the classification society or Recognised Organisation (RO) as notified by the Central Government .;

- (f) radio station surveys within three months before or after the anniversary date of the MODU Code certificate, a periodical survey carried out by a Surveyor of the Directorate General of Maritime Administration or RO; and
- (g) an additional survey as the occasion arises and as decided by the Director General.

- 2) The jurisdictional Mercantile Marine Department (MMD) or RO notified by the Central Government may issue a MODU Safety Certificate for a maximum period of five (5) years from the date of expiry of existing full term certificate or endorse the certificate upon satisfactory completion of the applicable survey. However, the validity of MODU Safety Certificate may be limited to the validity of the vessel's class certificate, or it may coincide with the survey cycle of the Classification Society or RO, as applicable while carrying Initial Survey of the MODU when it is newly constructed or change of flag.
- 3) The owners or managers of the MODU shall apply to the jurisdiction MMD or RO notified by the Central Government to conduct the required surveys within the designated window period. However, if the owners or managers intend to commence and complete the surveys outside the specified window period, or if the surveys are overdue, they must obtain prior concurrence from the Director General for conducting such overdue surveys beyond the allowed timeframe.
- 4) For the intermediate survey, the owner or manager of the MODU shall submit an application along with the requisite fee to the jurisdictional MMD under whose jurisdiction the Unit is operating, provided that the survey and certification of the Unit are carried out exclusively by the RO. Upon satisfactory completion of the survey, MMD may endorse the certificate for intermediate inspection of MODU Safety Certificate. In the case the MODU exclusively operating in foreign offshore oil fields during the entire window period, the owner or manager may directly approach the RO for conducting the intermediate inspection. The intermediate verification must be carried out between the 2nd and 3rd anniversary date of the MODU Safety Certificate.

4. Surveys and Certification under other IMO Conventions (MARPOL, AFS, etc.):

The survey and certification of the MODU under other IMO conventions—such as MARPOL, ITC-69, Loadline Convention, BWM Convention and the AFS Convention—must be carried out in accordance with the provisions of those respective conventions, and as detailed in the MODU Code.

- (1) an initial survey before the unit is put in service or before the Certificate is issued for first time;
- (2) an annual survey within three months before or after each anniversary date of the certificate;
- (3) an intermediate survey within three months before or after the 2nd or 3rd anniversary date of the Certificate;
- (4) a renewal survey at intervals specified by the Director General but not exceeding 5 years except where the renewal Survey is completed within three months before the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of the renewal survey to a date not exceeding 5 years from the date of expiry of the existing certificate or the renewal survey is completed after the expiry date of the existing certificate, the new certificate shall be valid from the date of completion of renewal survey to a date not exceeding 5 years from the date of expiry of the previous certificate, and;
- (5) an additional survey as occasion arises and as decided by the Director General.
- (6) All ship owners or managers must submit applications for all applicable statutory surveys to the jurisdictional MMD or the RO notified by the Central Government, well within the designated window period. This is to ensure timely planning, execution of surveys, and issuance of statutory certificates.
- (7) The initial or renewal Load line survey and issuance of full term Load Line Certificate shall be undertaken by an exclusive RO notified by the Central Government. The annual Load line surveys can be undertaken by any one of the ROs of the Central Government. On satisfactory completion of annual Load line surveys, the RO may endorse the load line certificate towards completion of annual Load line survey. Further, the concerned RO should ensure that the reports of the annual Load line surveys are expeditiously forwarded to notified RO by the Director General through an Executive Order for updating the records of Load line surveys.

5. Approval of Plans. Drawings. Manuals & Booklets for issuance of Statutory Certificates:

(1) Any plan, drawing, manual or booklet towards the issuance of statutory certification of an existing MODU undergoing change of flag to India registry, shall be deemed to be approved by the Director General, if the same is duly approved by any RO notified by the Central Government, on behalf of any other Flag State Administration. No further approval from the Director General or any other RO is required in these cases, provided no substantial deviation from the applicable national or international instruments, affecting the safety of lives or protection of the environment is reported during the statutory inspection and certification services rendered by the concerned RO. The Registering authority shall appropriately record the reasons as above, for deeming any plan, drawing, manual or booklet as approved by the Director General. Owners shall ensure such drawings / booklets/ manuals are legible and in English language and contain all the information required as per relevant instrument.

(2) ROs undertaking statutory surveys for a MODU change of flag to the Indian registry shall confirm that all relevant plans, drawings, booklets, and manuals are duly approved by an RO notified by the Central Government. These documents must generally comply with the applicable Merchant Shipping (MS) Rules, international conventions, codes, and any guidelines or notices issued by the International Maritime Organization (IMO) and the Director General in this regard.

Such compliance shall be ensured prior to the issuance of the respective statutory certificates. Any non-compliance or deficiency identified must be communicated in writing for prompt rectification, and in no case shall the rectification period exceed three months.

(3) In the event of a MODU change of flag, the procedure outlined above shall be followed for the approval of plans, drawings, manuals, and booklets related to load lines. Upon satisfactory completion of the required surveys, the exclusive RO notified by the Central Government shall issue the full-term Load Line Certificate.

(4) For initial assignment of load line for new construction MODU, the exclusive RO notified by the Central Government shall approve all the plans, drawings, booklets, manuals etc. as required and applicable, and carry out the initial surveys towards issuance of full term load line certificate.

(5) Any plan, drawing, or booklet related to a newly constructed MODU must be approved by an RO notified by the Central Government, specifically for the purpose of statutory

certification services. Each approved document must clearly display the name, designation, signature, and date of the authorized person who has certified it. If any of these details are missing or illegible, the local representative of the concerned RO shall be responsible for certifying the veracity of such documents.

- (6) In the event of a change of flag, the RO undertaking the statutory surveys shall issue a Provisional International Tonnage Certificate (ITC) valid for six (6) months, based on the ITC issued under the previous flag. The RO shall forward this provisional certificate, along with the tonnage computations carried out by any RO notified by the Central Government, to the Registrar of the vessel for issuance of a permanent ITC. However, the tonnage computations were not carried out by an RO notified by the Central Government and not in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Merchant Shipping (MS) Rules, the RO notified by the Central Government shall undertake a fresh tonnage measurement in accordance with the MS Rules. The revised tonnage computations must be submitted to the Registrar of the vessel within the validity period of the Provisional ITC for the purpose of issuing the permanent ITC.
- (7) For a *new construction MODU*, the jurisdictional MMD or the **RO** notified by the Central Government, shall carry out the tonnage measurement and computations in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Merchant Shipping (MS) Rules. Upon completion, the tonnage details shall be submitted to the Registrar of the vessel for the issuance of the Permanent International Tonnage Certificate (ITC).

6. Extension of Dry docking, mandatory Statutory Surveys and Certificates:

- (1) No statutory certificate shall be extended beyond its validity for the purpose of commercial operation. However, if a MODU is not in the port where the survey is to be conducted at the time the certificate expires, the Director General may extend the validity of the certificate for a maximum period of three months. This extension is granted only to allow the vessel to complete its voyage to the port where the survey will be carried out.
- (2) However, in exceptional circumstances, the extension of the renewal or docking survey shall be granted only in accordance with the provisions of the SOLAS, Load Line, MARPOL or any other applicable Convention, as well as the applicable MS Rules. Such applications shall be submitted by the top management under the ISM Code or by the Designated Person Ashore (DPA) of the company.

7. Exemptions:

- (1) When acquiring MODU that are not newly built, any exemptions granted by the previous Flag State Administration in accordance with the relevant international conventions shall remain valid for a period of three months, or until the original expiration date of such exemptions under the previous flag, whichever occurs earlier and the RO shall issue exemption accordingly with an intimation to Director General.

If an extension of the validity of such exemptions is required beyond this period, the company shall apply to the Director General within the current validity period. The application must be accompanied by the recommendations of the RO and include the applicable fee as prescribed by the Director General.

For the continued validity of existing exemptions granted by the previous flag and in accordance with the relevant international conventions, the RO shall forward the details to the Director General for concurrence, enabling the Director General or RO to issue the exemptions under Indian flag.

- (2) For newly built MODU, any exemption to be granted in accordance with the relevant international conventions for the issuance of statutory certificates shall require the owners or managers of such vessels to submit an application to the Director General. The application shall be accompanied by the RO recommendations and the applicable fee as prescribed by the Director General. Such requests will be considered in line with the provisions of the relevant international conventions.

8. Suspension or Withdrawal of the statutory certificates:

Director General may suspend or withdraw the statutory certificates issued to any MODU, under the following circumstances, namely but not limited to:

- (j) Failure to maintain the MODU or equipment in accordance with the certificate.
- (k) Failure to comply with conditions specified in the statutory certificates issued under various IMO Conventions applicable to MODU.
- (l) Inoperative critical safety systems (e.g., fire protection, lifesaving, Radio Communication and navigation systems).
- (m) Serious deficiencies found during flag or port state inspections.
- (n) Illegal discharge of oil, sewage, garbage, or other pollutants.
- (o) Malfunction or bypassing of pollution prevention equipment (e.g., Oily Water Separator).

- (p) Non-compliance with the Garbage Management Plan, Oil Record Book, or IAPP/IOPP Certificates.
- (q) Structural modifications affecting buoyancy or stability.
- (r) Failure to maintain water-tight integrity.

9. Formats of Certificates and Forms:

- (1) All Convention Certificates must be issued in the format specified by the organization.
- (2) All other certificates and forms must be issued in the format prescribed in the respective rules or as specified in this Schedule.

Schedule-V: Survey and Certification of Indian Coastal Vessels

1. **Applicability:** The provisions contained in this schedule shall apply to the survey and certification of Indian Coastal Vessels, Provided that such vessel are cargo vessels conforming to the conditions prescribed hereunder ;
 - (1) That they engaged exclusively on Indian Coastal voyages operating within 20 nautical miles from the nearest land; and,
 - (2) that in case of cargo vessels, less than six thousand Gross Tonnage (6000 GT), except those specifically listed below;
 - (i) in the case of dredgers less than ten thousand Gross Tonnage 10000 GT; and
 - (ii) in the case of Tankers the Gross Tonnage less than three thousand (3000 GT)
 - (3) in the case of cargo vessels main propulsion power less than eight thousand (8000 kW) , except those specifically listed below;
 - (i) in the case of dredgers main propulsion power less than 10000 kW ; and
 - (ii) in the case of Tankers main propulsion power less than 3000 kW .
 - (4) not carrying bulk chemicals or gas in any form (packaged or otherwise) other than vegetable oils listed in this notification;
 - (5) not fishing vessels;
 - (6) not military and government vessel not used for commercial purposes.

2. Surveys and Certification:

- (1) The hull, closing appliances, machinery, life-saving appliances, pollution prevention equipment and measures, radio installations and other equipment should be subject to the surveys specified below:
 - (i) an initial survey, shall be carried out prior the Coastal vessel is put in service;
 - (ii) an annual survey shall be carried out within three months before or after each anniversary date of the Indian Coastal Vessel Safety Certificate;
 - (iii) an intermediate survey shall be carried out within three months before or after the 2nd or 3rd anniversary date of the Indian Coastal Vessel Safety Certificate;

- (iv) A renewal survey shall be carried out at intervals specified by the Director General, not exceeding five (5) years. If the renewal survey is completed within three (3) months before the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the existing certificate. If the renewal survey is completed after the expiry of the Existing certificate, the new Certificate shall be valid for five (5) years from the date of expiry of the previous certificate; and
- (v) an additional survey, to be conducted as occasion may arise, and such times and in such manner as may be determined by the Director General

(2) A minimum of two inspections of the outside of the Coastal vessel's bottom should be carried out during the five (5) year period of validity of the Indian coastal Vessel Safety Certificate provided the interval between any two such inspections shall not exceed thirty-six months. In case of Coastal vessels less than 15 years of age, the intermediate dry docking survey may be carried out as an in-water survey using CCTV. In-water surveys may also be permitted in lieu of dry-docking for intermediate docking for coastal vessels of more than 15 years of age, subject to the approval of the Director General and provided that the vessel comply with IMO Resolution A.1186(33) — *Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2023* — as well as the applicable requirements of the classification society or Recognised Organisation (RO) as notified by the Central Government.

(3) Owners or managers of Coastal Vessel shall apply to the jurisdictional Mercantile Marine Department (MMD) or an RO notified by the Central Government to conduct surveys within the designated window period. If they intend to initiate or complete surveys outside this period, or if the statutory surveys are overdue, shall obtain prior approval from the Director General before commencing such surveys.

(4) Owners or managers of coastal vessels shall present the vessel to the jurisdictional MMD for the intermediate survey of the *Indian Coastal Vessel Safety Certificate* and the *Indian Coastal Vessel Pollution Prevention Certificate* at a convenient port, within the specified window period. This requirement applies where the vessel's initial or renewal surveys were conducted, and the certificates were issued, by a RO notified by the Central Government.

(5) The Indian Coastal Vessel Safety Certificate or the Indian Coastal Vessel Pollution Prevention Certificate, as applicable, shall be issued or endorsed by the jurisdictional MMD or RO upon satisfactory completion of the relevant survey.

- (6) The validity of the Indian Coastal Vessel Safety Certificate and Indian Coastal Vessel Pollution Certificate may be restricted to validity of the full term class certificate or in coincide with the class survey cycle, as applicable.
- (7) Boilers are required to be surveyed periodically, with a minimum of two internal examinations during each five-year special survey cycle; and the interval between any two such internal examinations shall not exceed 36 months. One of the internal examination in conjunction with Initial or renewal of Indian Coastal Vessel Safety Certificate Survey and the other with Intermediate Indian Costal Vessel Safety Certificate Survey. The external/visual examinations annually in conjunction with annual / intermediate / renewal / initial survey.

3. Approval of Plans, Drawings, Manuals & Booklets for issuance of Statutory Certificates:

- (1) Any plan, drawing, manual or booklet towards the issuance of statutory certification of an existing vessel undergoing change of flag to Indian registry, shall be deemed to have been approved by the Director General if such document has been duly approved by any RO notified by the Central Government, on behalf of any other Flag State Administration. Provided that no further approval from the Director General or any other RO is required in these cases, provided no substantial deviation from the applicable national instruments, affecting the safety of lives or protection of the environment is reported during the statutory inspection and certification services rendered by the concerned RO. The Registering authority shall appropriately record the reasons as above, for deeming any plan, drawing, manual or booklets approved by the Director General. The Owners shall ensure such drawings / booklets/ manuals are legible and in English language and contain all the information required as per relevant instrument.
- (2) ROs undertaking statutory surveys for a vessel's change of flag to the Indian registry shall confirm that all relevant plans, drawings, booklets, and manuals are duly approved by an RO notified by the Central Government. These documents shall in generally comply with the applicable Rules enacted and any guidelines or notices issued by the Director General in this regard. Such compliance shall be ensured prior to the issuance of the respective statutory certificates. Any non-compliance or deficiency identified must be communicated in writing for prompt rectification, and in no case shall the rectification period exceed three months.
- (3) Any plan, drawing, manual or booklet related to a newly constructed vessel must be approved by an RO notified by the Director General through an Executive Order, specifically for the purpose of statutory certification services. Each approved document

must clearly display the name, designation, signature, and date of the authorized person who has certified it. If any of these details are missing or illegible, the local representative of the concerned RO shall be responsible for certifying the authenticity and veracity of such documents.

- (4) In the event of a change of flag, the RO undertaking the statutory surveys shall issue a Provisional International Tonnage Certificate (ITC) valid for six (6) months, based on the ITC issued under the previous flag. The RO shall forward this provisional certificate, along with the tonnage computations carried out by any RO notified by the Central Government, to the Registrar of the vessel for issuance of a permanent ITC. However, if the tonnage computations are not carried out by an RO and not in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Rules enacted under the Act; Director General may order that a fresh tonnage measurement in accordance with the Rules and to be carried out by RO . The revised tonnage computations must be submitted to the Registrar of the vessel within the validity period of the Provisional ITC for the purpose of issuing the permanent ITC.
- (5) For a *new construction vessel*, the jurisdictional MMD or the RO, notified by the Director General through an Executive Order, shall carry out the tonnage measurement and computations in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Merchant Shipping (MS) Rules and the Act. Upon completion, the tonnage details shall be submitted to the Registrar of the vessel for the issuance of the Permanent International Tonnage Certificate (ITC).

4. Extension of Dry docking, Tail Shaft, mandatory Statutory Surveys and Certificates:

- (1) No statutory certificate shall be extended beyond its validity for the purpose of commercial operation. However, if a vessel is not in the port where the survey is to be conducted at the time the certificate expires, the Director General may extend the validity of the certificate for a maximum period of three months. This extension is granted only to allow the vessel to complete its voyage to the port where the survey will be carried out.
- (2) In exceptional circumstances, the extension of the renewal or docking survey shall be granted only in accordance with the provisions of the applicable MS Rules. Such applications shall be submitted by the top management under the Safety Management or by the Designated Person Ashore (DPA) of the company.
- (3) The Director General may not grant surveys extension for commercial reasons or due to insufficient advance planning. To request an extension, vessel owners must provide clear

documentary evidence demonstrating diligent and timely planning efforts. Generic correspondence, such as routine dry-dock booking letters, will not suffice. If the Director General is satisfied that the owners took all necessary steps to secure a dry-dock but were unable to do so for reasons beyond their control, a one-month extension may be considered. This is subject to:

- (a) Satisfactory afloat surveys by the Classification Society, and
- (b) Class certification of the vessel's seaworthiness for the extension period.
- (c) In exceptional cases, an additional 1–2 months may be granted following:
 - (i) An underwater CCTV survey in the presence of Class or RO,
 - (ii) Review of progress of other afloat surveys, and
 - (iii) Evidence of continued efforts to obtain dry-docking, either in India or abroad.

(4) Approval of an extension is not guaranteed, and the Director General reserves the right to deny requests if planning is deemed inadequate or if the vessel's condition is unsatisfactory.

(5) In order to facilitate the expeditious processing of survey extensions, Indian Coastal vessel that are not more than 20 years of age, shall be eligible for this process, subject to the following conditions:

- (a) The vessel must not have any pending or overdue class/statutory surveys and no outstanding class recommendations or conditions affecting certification.
- (b) The vessel's performance and maintenance history during the current certification period must be satisfactory.
- (c) The vessel must not have undergone any significant modification or damage repair that would require additional survey.
- (d) The vessel must have no more than three Condition of Class (CoC), and none of those CoCs should have been previously extended.
- (e) There should be no major NCs in the last two consecutive Domestic Document of Compliance (DDOC) audits of the company.

- (f) The company should not have requested extensions for Flag State Inspection (FSI) deficiencies and the vessel is not detained.
- (g) The vessel must not have been involved in any marine casualty.
- (h) The **maximum permissible period between two dockings shall not exceed 36 months.**

The owners or managers of such vessels shall submit an application, along with all supporting documents that comply with the above-mentioned requirements, to a RO notified by the Director General through an executive order. The RO shall consider the extension of surveys — including the docking survey and tail shaft survey — for a period of one month and forward its report to the Director General for consideration of a further extension of up to two months, but not exceeding a total of three months from the date of expiry of the existing full-term certificates. However, the extension of surveys beyond one month, the vessel required to undergo under water inspection of hull and its appendages, propeller and rudder by a satisfactory CCTV inspection by the RO.

5. Formats of Certificates and Forms:

All certificates and forms must be issued in the format prescribed in the respective rules, Order or Notice issued by the Director General or as specified in this Schedule.

Schedule - VI: Survey and Certification of Indian River-Sea Vessels

1. **Applicability:** The provisions contained in this schedule shall apply to Survey and Certification of River-Sea Vessels provided that such vessels are engaged exclusively in operations within Indian territorial waters:
 - (1) in the case of cargo vessels less than 6000 GT;
 - (2) in the case of dredgers less than 10000 GT;
 - (3) in the case of RSV tankers less than 3000 GT;
 - (4) in the case of cargo vessels and RSV tankers main propulsion power less than 8000 kW ;
 - (5) in the case of dredgers main propulsion power less than 10000 kW;
 - (6) not passenger vessel ;
 - (7) not carrying bulk chemicals or gas in any form (packaged or otherwise);
 - (8) not fishing vessel.

2. Surveys and Certification:

- (1) The hull, closing appliances, machinery, life-saving appliances, pollution prevention equipment and measures, radio installations and other equipment should be subject to the surveys specified below:
 - (i) an initial survey shall be carried out before the River-Sea Vessel is put in service;
 - (ii) A renewal survey shall be carried out at intervals specified by the Director General, not exceeding five years. If the renewal survey is completed within three months before the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the existing certificate. If the renewal survey is completed after the expiry of the Existing certificate, the new Certificate shall be valid for five years from the date of expiry of the previous certificate.; and
 - (iii) an intermediate survey shall be carried out within three months before or after the 2nd or 3rd anniversary date of the Indian River- Sea Vessel Safety Certificate;

- (iv) An annual survey shall be carried out within three months before or after each anniversary date of the Indian River- Sea Vessel Safety Certificate; and
- (v) an additional survey, to be conducted as occasion may arise, and at such times and in such manner as may be determined by the Director General.

(2) A minimum of two inspections of the outside of the River-Sea vessel's bottom shall be carried out during the five year period of validity of the Indian River-Sea Vessel Safety Certificate provided that the interval between any two such inspections shall not exceed thirty-six months. In case of River- Sea vessels less than 15 years of age, the intermediate dry docking survey may be an in-water survey using CCTV.

(3) Owners or managers of River-Sea Vessel shall apply to the jurisdictional Mercantile Marine Department (MMD) or a Recognised Organisation (RO) notified by the Central Government to conduct surveys within the designated window period. If owners or managers intend to initiate or complete surveys outside this period, or if the statutory surveys are overdue shall obtain prior approval from the Director General before the commencement of such surveys.

(4) Owners or managers of River - Sea vessels shall present their vessel to the jurisdictional MMD for the intermediate survey of the *River- Sea Vessel Safety* at a convenient port, within the specified window period. This requirement applies where the vessel's initial or renewal surveys were conducted, and the certificates were issued, by a RO notified by the Central Government.

(5) The Indian River-Sea Vessel Safety Certificate shall be issued or endorsed by the jurisdictional MMD or RO upon satisfactory completion of the relevant survey.

(6) The validity of the Indian River -Sea Vessel Safety Certificate may be restricted to validity of the full term class certificate or may coincide with the class survey cycle, as applicable.

(7) Boilers are required to be surveyed periodically, with a minimum of two internal examinations during each five-year special survey cycle; and the interval between any two such internal examinations shall not exceed 36 months. One of the internal examination in conjunction with Initial or renewal of River- Sea Vessel Safety Survey and the other with Intermediate Indian River- Sea Vessel Safety Certificate Survey. The

external/visual examinations annually in conjunction with annual / intermediate / renewal / initial survey.

3. Approval of Plans, Drawings, Manuals & Booklets for issuance of Statutory Certificates:

- (1) Any plan, drawing, manual or booklet towards the issuance of statutory certification of an existing vessel undergoing change of flag to Indian registry, shall be deemed to have been approved by the Director General if such document has been duly approved by any RO notified by the Central Government, on behalf of any other Flag State Administration. Provided that no further approval from the Director General or any other RO is required in these cases, provided no substantial deviation from the applicable national instruments, affecting the safety of lives or protection of the environment is reported during the statutory inspection and certification services rendered by the concerned RO. The Registering authority shall appropriately record the reasons as above, for deeming any plan, drawing manual or booklet as approved by the Director General. The Owners shall ensure such drawings / booklets/ manuals are legible and in English language and contain all the information required as per relevant instrument.
- (2) RO undertaking statutory surveys for a vessel's change of flag to the Indian registry shall confirm that all relevant plans, drawings, booklets, and manuals are duly approved by an RO notified by the Central Government. These documents shall in generally comply with the applicable Rules enacted, and any guidelines or notices issued by the Director General in this regard. Such compliance shall be ensured prior to the issuance of the respective statutory certificates. Any non-compliance or deficiency identified must be communicated in writing for prompt rectification, and in no case shall the rectification period exceed three months.
- (3) Any plan, drawing, manual or booklet related to a newly constructed vessel must be approved by an RO notified by the Central Government, specifically for the purpose of statutory certification services. Each approved document must clearly display the name, designation, signature, and date of the authorized person who has certified it. If any of these details are missing or illegible, the local representative of the concerned RO shall be responsible for certifying the authenticity and veracity of such documents.
- (4) In the event of a change of flag, the RO undertaking the statutory surveys shall issue a Provisional International Tonnage Certificate (ITC) valid for six (6) months, based on the

ITC issued under the previous flag. The RO shall forward this provisional certificate, along with the tonnage computations carried out by any RO notified by the Central Government, to the Registrar of the vessel for issuance of a permanent ITC. However, if the tonnage computations are not carried out by an RO and not in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Rules enacted under the Act; Director General may order that a fresh tonnage measurement in accordance with the Rules and to be carried out by RO . The revised tonnage computations must be submitted to the Registrar of the vessel within the validity period of the Provisional ITC for the purpose of issuing the permanent ITC.

- (5) For a *new construction vessel*, the jurisdictional MMD or the RO, as notified by the Director General through an Executive Order, shall carry out the tonnage measurement and computations in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Merchant Shipping (MS) Rules and the Act. Upon completion, the tonnage details shall be submitted to the Registrar of the vessel for the issuance of the Permanent International Tonnage Certificate (ITC).

4. Extension of Dry docking, Tail Shaft, mandatory Statutory Surveys and Certificates:

- (1) No statutory certificate shall be extended beyond its validity for the purpose of commercial operation. However, if a vessel is not in the port where the survey is to be conducted at the time the certificate expires, the Director General may extend the validity of the certificate for a maximum period of three months. This extension is granted only to allow the vessel to complete its voyage to the port where the survey will be carried out.
- (2) In exceptional circumstances, the extension of the renewal or docking survey shall be granted only in accordance with the provisions of the applicable MS Rules. Such applications shall be submitted by the top management under the Safety Management or by the Designated Person Ashore (DPA) of the company.
- (3) The Director General may not grant surveys extension for commercial reasons or due to insufficient advance planning. To request an extension, vessel owners must provide clear documentary evidence demonstrating diligent and timely planning efforts. Generic correspondence, such as routine dry-dock booking letters, will not suffice. If the Director General is satisfied that the owners took all necessary steps to secure a dry-dock but were unable to do so for reasons beyond their control, a one-month extension may be considered. This is subject to:
 - (a) Satisfactory afloat surveys by the Classification Society, and

- (b) Class certification of the vessel's seaworthiness for the extension period.
- (c) In exceptional cases, an additional 1–2 months may be granted following:
 - (i) An underwater CCTV survey in the presence of Class or RO,
 - (ii) Review of progress of other afloat surveys, and
 - (iii) Evidence of continued efforts to obtain dry-docking, either in India or abroad.
- (4) Approval of an extension is not guaranteed, and the Director General reserves the right to deny requests if planning is deemed inadequate or if the vessel's condition is unsatisfactory.
- (5) In order to facilitate the expeditious processing of survey extensions, River- Sea vessel that are not more than 20 years of age, shall be eligible for this process, subject to the following conditions:
 - (a) The vessel must not have any pending or overdue class/statutory surveys and no outstanding class recommendations or conditions affecting certification.
 - (b) The vessel's performance and maintenance history during the current certification period must be satisfactory.
 - (c) The vessel must not have undergone any significant modification or damage repair that would require additional survey.
 - (d) The vessel must have no more than three Condition of Class (CoC), and none of those CoCs should have been previously extended.
 - (e) There should be no major NCs in the last two consecutive Domestic Document of Compliance (DDOC) audits of the company.
 - (f) The company should not have requested extensions for Flag State Inspection (FSI) deficiencies and the vessel is not detained.
 - (g) The vessel must not have been involved in any marine casualty.
 - (h) The maximum permissible period between two dockings shall not exceed 36 months.

The owners or managers of such vessels shall submit an application, along with all supporting documents that comply with the above-mentioned requirements, to a RO notified by the Director General through an executive order. The RO shall consider the extension of surveys — including the docking survey and tail shaft survey — for a period of one month and forward its report to the Director General for consideration of a further extension of up to two months, but not exceeding a total of three months from the date of expiry of the existing full-term certificates. However, the extension of surveys beyond one month, the vessel required to undergo under water inspection of hull and its appendages, propeller and rudder by a satisfactory CCTV inspection by the RO.

5. Formats of Certificates and Forms:

All certificates and forms must be issued in the format prescribed in the respective rules or Order or Notice issued by the Director General as specified in this Schedule.

Schedule-VII: ISM audits of Vessels and companies

1. Applicability:

- (1) The provisions of The Merchant Shipping (Safety Management) Rules 2026 is applicable to the Indian vessels as follows:-
 - (i) Passenger vessels including passenger high-speed crafts, of any size;
 - (ii) Oil tankers, chemical tankers, gas carriers, bulk carriers, and high-speed cargo crafts of 500 gross tonnage or more;
 - (iii) Other cargo vessels and mobile offshore drilling units of 500 gross tonnage or more;
 - (iv) Indian domestic cargo vessels of 500 gross tonnage or more.
- (2) Ships carrying dry cargo in bulk but which do not meet the MSC.277 (85) definition for a "Bulk Carrier" are to be typed as "Other Cargo Ships."

2. Definitions:

Document of Compliance- means a Certificate of Compliance issued to a Company that complies with the requirements of the Code by an officer authorized by the Director General who is not below the rank of Deputy Chief Surveyor with the Government of India.

3. Company Responsibilities & Authorities:

3.1. Company:

- (1) The "*Top Management*" for the purpose of this schedule means the highest level of management of the Company, who is authorized to provide decisions necessary to implement the Company's objective for the effective implementation of Safety Management System (SMS) on its fleet and in this case, refers to the Chairman, Managing Director, President, Chief Executive Officer or equivalent, who represents the Board of Directors of the Company.
- (2) Any organization, including ship management companies, assuming such responsibilities as the Company under the International Safety Management (ISM) Code shall have sufficient wherewithal and capabilities, viz. technical, financial and human resource, readily at its disposal for the effective implementation of the SMS at all relevant levels in the Company, and shall ensure that adequate resources and shore based support are provided at all times and promptly to the vessels under its ISM management. (ref: IMO Circular MSC-MEPC.7/Circ.8).

(3) Every company who is holding a Document of Compliance (DOC) issued by the Director General or intending to obtain the same, except for the vessels owned and operated directly by the Govt. owned companies/organizations, shall submit a 'Self Declaration' from top management (i.e Form ISM-14 or ISM-15), along with applicable enclosures, while applying for any DOC audit to the ISM cell of the DGMA.

3.2. Technical Management:

(1) The organization vested with the technical management of vessels may also assume the role as the 'company' for the purpose of the implementation of the ISM Code. Thus, any organization taking over such responsibilities, shall be duty-bound for the effective implementation of the SMS on such vessels and therefore shall be capable of demonstrating that the Organization has sufficient wherewithal and delegated authority for the said purpose. In order to confirm the above, both the registered owner of the vessel and the prospective ISM manager shall be required to submit a joint undertaking to the Director General in the prescribed format (ISM Form-01).

(2) If the company has outsourced a part function such as crew management either from the ship owner or from a crew management company, the company (DOC holder) remains responsible for all such delegated functions and must enter into an agreement between owner of the vessel or the crew managers, as the case may be. The agreement must ensure that the Master, officers and crew appointed by the owner or crew manager shall report to the Company (DOC holder) for all SMS matters, shall comply with the company instructions and have a direct link in all matters with the shore based designated person of the "company." In case of crew managers, other than the owners, the firm shall be holding a valid licence as per MS (Recruitment and Placement of Seafarers) Rules, 2026.

(3) Notwithstanding any such part or full delegation of ISM responsibilities, the owner of the vessel, shall have the ultimate responsibility in accordance with Section 128 of MS Act 2025.

(4) Further, the company, in all such cases of delegation of ISM functions should periodically verify and confirm that all those undertaking delegated ISM-related tasks are acting in conformity with the Company's responsibilities under the ISM Code. (ref: IMO Resolution MSC 353(92)).

3.3. Change of Management"

- (1) While a shipowner has the right to delegate ISM (International Safety Management) responsibilities to any qualified management company of their choice, frequent changes in management can undermine the stability of the Safety Management System (SMS). Such instability can compromise vessel safety and may create legal, technical, and social issues for the Director General. Therefore, shipowners must exercise great care and diligence when choosing an ISM manager. If a change in management becomes unavoidable due to exceptional circumstances, the vessel's registered owner must submit a formal application to the Director General at least seven (7) working days before the intended change. This application must be accompanied by a declaration from the owner, completed in ISM Form-11.
- (2) The Company planning to take over the management of a vessel from another management shall have a valid DOC for the type of vessel intending to take over and is advised to undertake a detailed pre-takeover inspection of the vessel and shall ensure the following prior to offering the vessel for the Interim SMC audit :-
 - (i) that the vessel is in possession of all valid statutory certificates and shall be free of any statutory note or any over-due Conditions of Class (CoCs) as per International Association of Classification Societies (IACS) Recommendation 98;
 - (ii) that the new joining ship-staff undergo required familiarization on vessel's lay out, loading / discharging, mooring, navigation and engine room procedures / operation with the existing staff;
 - (iii) that a familiarization training is imparted to the ship staff on the SMS of the company with special emphasis on the onboard safety / emergency systems and procedures.
- (3) In case any management company, other than the owner, opts to discontinue the management of a vessel, the "Company" may proceed so, in accordance with the bilateral agreement with the owners, under intimation to Director General. However, in all such cases, the management company shall be under obligation to continue to discharge its responsibilities as the Company for a period of 3 months from the date of such intimation or until alternate arrangement for safe management of the vessel is ensured by the owner, whichever is earlier. If the owner fails to make alternate arrangement for the safe management of the vessel within the above mentioned three months, the registered owner of the vessel shall automatically be deemed to be the 'company' for the purpose of the ISM code and the responsibilities there-under.

3.4. **Technical Management of vessels from outside India:**

- (1) Companies intending to manage Indian Flag vessels from outside India, but do not have registered office in India or not registered under Indian Companies Act are eligible for applying for the Indian DOC, provided the Technical Management Company abroad has a liaisoning arrangement with an Indian registered company and hold a DOC for the "ship type" issued by the maritime administration or by one of the Recognized Organizations notified by the Central Government, on behalf of a maritime administration where the Technical Management Company is located.
- (2) The Technical Management Company is required to submit its application in the prescribed format along with a duly notarized (in original) undertaking from self, liaison office in India and from the ship owner, stating the following:-
 - (i) In case of legal disputes, the jurisdiction would be of an Indian Court of Law;
 - (ii) In case of any eventuality with respect to safety of the vessel, personnel and environment, the ship owner is equally responsible to deal with the above, and will not cite non-cooperation by the Technical Manager as a reason for not discharging his responsibility.
 - (iii) The Director General has the right to withdraw the DOC at its discretion, by assigning the reasons which led to such withdrawal.
 - (iv) The Technical Management Company is required to take cognizance of the Merchant Shipping Act, 2025 and Merchant Shipping (Safety Management) Rules, 2026 and guidelines issued from time to time with respect to the ISM system.
- (3) The Technical Management Company is required to be responsible for and arrange for the conduct of the interim / initial audit of its office by the Director General for the purpose of DOC certification and thereafter for the subsequent periodical audits as applicable.

3.5. Change of name or office premises of the Company or Change of flag/ ownership/ Registry of the vessel:

- (1) In case any Company intends to change the name of the company or shift the office premise due to operational reasons to a location other than that mentioned in the existing DOC, the Company may make a formal application in this regard to the Director General, in the company's new letterhead, along with the copy of the certificate of incorporation issued by the Registrar of Companies or the registered document for the new office premise, as the case may be. After incorporating necessary amendments to the SMS documents, Company may offer the new office for an Additional verification audit by the Administration, along with applicable fees in this regard. On receipt of satisfactory report

from the audit team, the Director General will issue new DOC and SMC, as the case may be, with the new address/name, but with validity of the existing certificates.

- (2) In both the cases above, the additional audit referred therein can be clubbed with the annual / renewal DOC audits, if feasible, but in any case, the entire process for the change of name / address has to be completed within three months from the date of application for the same.
- (3) In case of change of flag or ownership or closure of registry of a vessel holding Indian SMC, the Company has to promptly intimate the same and surrender the original SMC of the vessel to the Director General, in any case within 15 days.

4. **Safety Management System:**

- (1) The ISM Code requires that Companies shall develop, implement and maintain a safety management system (SMS) which includes functional requirements as listed in section 1.4 of the ISM Code and, inter-alia, should:
 - (i) designate a person or persons with direct access to the highest level of management who should monitor the safe operation of each vessel (section 4);
 - (ii) ensure that adequate resources and shore-based support are provided to enable the designated person or persons to carry out their functions (section 3.3);
 - (iii) define and document the master's responsibility with regard to reviewing the safety management system and reporting its deficiencies to the shore-based management (section 5.1);
 - (iv) establish procedures for reporting and analysis of non-conformities, accidents and hazardous occurrences (section 9.1);
 - (v) periodically evaluate the effectiveness of, and when needed, review of the safety management system (section 12.2); and
 - (vi) perform internal audits to verify whether safety management activities comply with the requirements of the safety management system (section 12.1).
- (2) **SMS Manuals:** Every company has to develop their own SMS manuals considering the type of vessel and nature of operation of the vessel taking the following into consideration:-
 - (i) The Apex Manual of the company is to be referred to as "Safety Management Manual" and is required to be in compliance with the various elements of the ISM

Code, as amended. The manual must contain Policies, objectives, organization structure, responsibilities & authorities of relevant personnel, communication level and identification, risk assessment and control of processes of the company and on board the vessel with respect to ISM Code. The manual shall be so prepared that frequent amendment to the manual is avoided.

- (ii) In the event of any other operational manuals, instructions, checklists, forms etc. constituting a part of the Safety Management System, the apex manual shall contain cross references to all those documents.
- (iii) The company SMS manuals shall address the applicable codes, recommendations, guidelines and other Safety and security-related non-mandatory instruments as per IMO Circular MSC.1/Circ.1371, as amended. Also, company SMS manuals shall address basic elements of Shipboard Occupational Health and Safety Programme (SOHSP) and Guidance of Fatigue Mitigation and Management (i.e. MSC/Circ. 1014) etc.
- (iv) The apex Safety Management Manual can have provision to indicate reference to other relevant manuals / documents viz. Environmental / Energy Management/ Health / Quality Manual / Functional Guidelines etc. but not the other way round.
- (v) Companies may opt for Integrated Safety Management system covering ISM, ISO, HSE, OHSAS etc. to suit their commercial requirements subject to covering all the clauses of ISM Code in serial order with clear reference of respective clause in apex safety management manual.
- (vi) The Company's Safety Management System (SMS) shall comply with the requirements of IMO Resolution MSC. 428 (98) concerning Maritime Cyber Risk Management within Safety Management Systems.

5. **Designated Person Ashore (DPA):** Role, Responsibility and qualification of DPA shall be broadly guided by the IMO Circular MSC-MEPC.7/Circ.6 "Guidance on the Qualifications, Training and Experience necessary for undertaking the role of the Designated Person under the

provisions of the International Safety Management (ISM) code" and as a minimum shall, in addition, comply with the following by all Indian DOC holders:-

- (1) **Role and Responsibility of DPAs:** DPA is the key person to ensure effective implementation of the company's safety management system and requires to be based ashore whose influence and responsibilities should significantly affect the development and implementation of a safety culture within the Company and hence is required to be placed at a reasonably higher level (senior management position) in the company's organization chart. The DPA is required to effectively influence the mind-set, attitudes and behavior of subordinate shore staff to enhance support of vessel operations, as well as acting as a key link in the safety management chain reporting directly to the highest-level management of his company.
- (2) **Qualification of DPAs:** Every company shall employ a **DPA** on a regular and continuous basis, in full compliance with the rule 6 of the **Merchant Shipping (Safety Management) Rules, 2026.**
- (3) **Change of DPA:**
 - (i) In case of any change of DPA, the Company shall ensure that the new DPA meets the applicable qualification requirements as mentioned above, and shall promptly report the same to the Director General in the prescribed format (Form ISM-12), along with self-attested copies of CoC & CDC of the new DPA.
 - (ii) If the DPA unilaterally resigns or disassociates with the "company", he may proceed as so per the term of his employment, but under prompt intimation to the Director General. If the company fails to appoint suitable DPA, the DOC of the "Company" shall automatically become null and void.
- (4) **Alternate DPA (ADPA):** Every Company having more than three vessels under its management shall designate an Alternate Designated Person (ADPA), to discharge the functions of the DPA in latter's absence or in similar emergency situations, whose qualification and training is in accordance with rule 6 of the **Merchant Shipping (Safety Management) Rules, 2026.**

6. **Document of Compliance (DOC):** A Document of Compliance (DOC) is issued to a Company when the shore side aspects of the Safety Management System are found to fully comply with the requirements of the ISM Code. The DOC is specific to the vessel type(s) operated by the Company and for which the SMS is implemented at the time of the audit. A copy of the relevant

DOC should be placed on board each of the company's vessels, which may be accepted as evidence that the Company's shore-side management structure complies with the requirements of the Code.

(1) Application process:

- (i) Any Company intending to obtain an Indian DOC may make a formal application to that effect to the Director General, as follows:-
 - (a) Company request letter on company letter head along with requisite fee.
 - (b) Background of the Company.
 - (c) Organization structure giving the qualification & experience of personnel including DPA qualification & experience along with the self-attested copies of COC and CDC.
 - (d) Types of vessels for which DOC is being applied.
 - (e) A hard and soft copy of company SMS document (Apex) in compliance with ISM Code for the required vessel type.
 - (f) IMO Identification Number for the company issued by IMO or their nominated agency.
 - (g) Copy of Registered document for the office premise.
 - (h) Copy of Certificate of Incorporation issued by Registrar of Companies along with copy of Memorandum/ Articles of Association.
 - (i) Declaration of the company (i.e. Form ISM-14 or ISM-15).
- (ii) After preliminary scrutiny of Company's application, the Company should submit its SMS manual to an auditor nominated by the Director General for the purpose. The auditor, on satisfactory completion of preliminary scrutiny, shall endorse and return the manual to the company and forward appropriate recommendation to the Director General within the period prescribed in the nomination letter.

(2) Interim DOC certification:

- (i) An Interim DOC may be issued to facilitate initial implementation of the Code when:-
 - a company is newly established,
 - new vessel types are to be added to an existing DOC

- (ii) Towards the interim DOC certification, the Director General, on satisfactory completion of preliminary scrutiny of the SMS manuals, may nominate an audit team to the Company's premises to verify that the Company has capabilities as mentioned in para 3.1& 3.2 of this schedule, for the effective implementation of the ISM Code, for the identified vessel type(s). The Company will need to prove that measures are in place to implement the full requirements of the ISM Code within the period of validity of the Interim DOC.
- (iii) On receiving audit report from the auditor, the Company shall first address the non-conformities, if any, and then submit application to the Director General, with requisite fee for issuance of Interim DOC. An interim DOC shall be issued for a maximum period of twelve months from the date of completion of the audit or for a shorter period as deemed fit and recommended by the audit team.
- (iv) The DOC audit will take place at the company's principal place of business. If a Company operates from more than one location where different safety management functions are performed, then, all these 'Branch offices' need to be offered for audit.

(3) Initial, Annual, Renewal and Additional DOC audits:

- (i) Every company should make application for Initial, Annual, Renewal or Additional DOC audit, along with Form ISM-03 and applicable fees, at least one month prior to the proposed audit date to facilitate timely nomination of the auditor by the Director General. However, it is desired that for the annual or renewal DOC audits, the company may submit the application on commencement of the window-period.
- (ii) While applying for any such audit, the company should be capable to demonstrate, with relevant supporting records, the satisfactory functioning of the SMS on board a vessel of the applicable type for at least 3 months since the preceding audit by the Director General, as applicable. The records in these cases may include, but not limited to the statutory, classification, personnel, maintenance and other relevant SMS records of all the vessels operating under the respective DOC.
- (iii) On receipt of audit report from the lead auditor, the Company shall first address the non-conformities, if any to be addressed immediately, and then submit the application to the Director General with requisite fee for the issuance of full term DOC, as the case may be.

7. **Safety Management Certificate (SMC) Certification:** Subsequent to a successful audit, a Safety Management Certificate (SMC) will be issued to each individual vessel provided that the company holds a valid DOC for the applicable type of vessel. A copy of each SMC should be retained in the company's office records, the original being placed on board and filed along with all other statutory certificates.

(1) Interim SMC Audits:

- (i) For Passenger/Special Trade Passenger vessels, the company which is holding passenger vessel DOC shall make an application to the Director General along with Forms ISM-01, ISM-02, ISM-11, ISM-12 and requisite fee. Forms ISM-01 & ISM-02 are not required, if the owner and the manager of the vessel are the same. After satisfactory scrutiny of application, Director General, will nominate an audit team for Interim SMC audit. On receiving audit report from the auditor, the Company shall first address the non-conformities, if any, and then submit application with requisite fee for the issuance of Interim SMC.
- (ii) For Cargo vessels, MODUs and Special Purpose Ships (SPS), the company which is holding DOC for the respective type of vessel may directly offer the vessel to the Recognized Organization (RO) notified by the Director General by an Executive Order for the interim audit. However, the Company shall submit duly filled Forms ISM-01, ISM-02, ISM-11 and ISM-12 to Director General, who shall then issue necessary authorization to the RO for undertaking the audit. Forms ISM-01 & ISM-02 are not required, if the owner and the manager of the vessel are the same. On satisfactory completion of the audit, RO may issue Interim SMC Certificate to the vessel for 6 months and forward report to the Director General within 15 days.

(2) Initial, Intermediate, & Renewal SMC Audits:

- (i) For Passenger/Special Trade Passenger Vessels, company may make the application to the Director General along with requisite fee and form ISM-03 for initial, intermediate and renewal SMC audit, at least one month prior to the proposed audit date to facilitate timely nomination of the auditor by the Director General. In case the Director General nominated auditor is not available on the

date of the audit, the Principal Officer (PO) of the district where the audit is planned may nominate a suitably qualified alternate auditor for the audit. On receipt of the satisfactory audit report, Director General will issue SMC subject to payment of fees for the certificate.

- (ii) For Cargo Vessels, MODUs and Special Purpose Ships (SPS), the company may directly offer the vessel to the RO notified by the Director General through an Executive Order for the initial and renewal SMC audits. After satisfactory completion of the audit, RO may issue short term certificate valid for 5 months or may extend existing SMC for 5 months in case of Renewal SMC audit subject to audit completed within 3 months validity of the certificate. On receipt of satisfactory audit report from RO, Director General will issue full term SMC subject to payment of fees and satisfactory closures of NCs, if any.
- (iii) For intermediate SMC audits of all vessels in India, the company may make application along with requisite fee & form ISM-03 to the Principal Officer (PO) of the region where vessel is operating or audit is planned. On satisfactory completion of the audit, PO/auditor may forward the audit report to the Director General within 10 working days. In case of vessels exclusively trading in offshore fields or in foreign waters during the entire window period, the 'Company' may directly approach the RO notified by the Director General through an Executive Order for the intermediate audit.
- (iv) In all the above cases, the Company shall be in possession of a regular DOC (not Interim certification) and the vessel shall be capable of demonstrating:-
 - (a) the satisfactory functioning of the SMS on board a vessel for at least 3 months, in the preceding 12 months;
 - (b) records of an internal audit carried out by the company, in this period;
 - (c) the audit is performed under normal operating condition, i.e not in dry-dock or lay-up.

(3) Additional SMC Audits:

- (i) In case an Additional SMC audit is imposed by any RO or the Flag State surveyor, the concerned authority shall inform the same to the Director General promptly with clear reasons for the action. The Director General may review the case and

advise any RO or Administration auditor to undertake the additional audit based on the merit of the case.

- (ii) In instances where the additional SMS assessment of a vessel has been imposed by any Port State Control (PSC) authority, RO may board the said vessel at the earliest opportunity to confirm that immediate corrective measures have been taken to facilitate prompt release of the vessel from the PSC intervention and thereafter shall forward a detailed report to the Director General, with clear recommendation for long term measures to avoid recurrence, viz. additional SMC audit, DOC audit, FSI inspection etc., as necessary.
- (iii) In both the cases above, i.e., as stated in sub-para 7.3.1 & 7.3.2, it shall be obligatory on the Company to promptly report the matter to the Director General and to RO to facilitate additional SMC audit as necessary. However, this does not absolve the concerned RO from its obligations to fulfill the Procedural Requirements (PRs) of the IACS as applicable.

(4) Procedures for auditors for carrying out Interim SMC audits:

- (i) Auditor must verify that all the requirements of ISM code are complied with during interim SMC audit for implementation of the company SMS except verification of SMS records.
- (ii) Auditor must verify that the vessel in possession of all applicable statutory certificates, including of valid Document of Compliance /Interim Document of Compliance (DOC) of the Company for the applicable vessel type, and that the vessel is free from any statutory note or overdue Conditions of Class (CoCs).
- (iii) Auditor must verify that the safe manning is provided onboard as per the minimum safe manning document issued by the Administration and that all shipboard personnel are well aware of their role and responsibility in performing their functions as laid down in the company SMS and have clear understanding of the company's policy in implementation of the safety and pollution prevention aspects. Auditor may undertake realistic emergency preparedness drills and ensure that they are effectively implementable.

- (iv) Auditor must verify that all shipboard important working drawings & documents are in English and clearly readable. In the event of documents not being in English or incomprehensible or illegible, a limited interim Safety Management Certificate may be issued for a maximum period of six months in order to facilitate the company to place onboard all drawings documents which are legible and in English.
- (v) In the event any major issues have been observed to be existing in the vessel's performance or its critical machinery or equipment during the audit or from records available on board, the auditor shall report it as NC/Major NC as appropriate and the RO shall then consult the Director General to decide on the further course of action as needed.

(5) Reinstatement of SMC when window period lapses due to prolonged layup/docking:

- (i) Intermediate SMC audits: If for unavoidable reasons, vessels have to be laid up during the window-period of the intermediate SMC audits and the audit window closes during the said layup/docking period, the existing Safety Management Certificate becomes invalid. In such cases, the RO may undertake the "Intermediate SMC audit", under intimation to the Director General, beyond the window period without any further approval from Director General, when the vessel is not in dry dock/ lay-up and the audit scope would be to the extent of "initial" audit. On satisfactory completion of the said audit, the SMC, if decided to be validated, would be issued with an endorsement as "Validity restored after satisfactory conduct of audit as applicable for Initial audit". The validated SMC would be valid from the date of completion of the said initial audit for a period not exceeding the original date of expiry of existing SMC.
- (ii) Renewal SMC audits: If Renewal SMC audit could not be completed before the expiry of existing Safety Management Certificate, the RO can undertake the "Renewal SMC audit" beyond the window-period without any further approval from Director General, provided the vessel was laid-up after the expiry of the certificate. However, the new Safety Management Certificate would be valid from the date of completion of the renewal audit to a date not exceeding five years from the date of expiry of the previous SMC.

8. Non Conformity and Major Non Conformity:

(1) The Company shall submit the detailed Corrective Action (CA) along with Root Cause Analysis (RCA) and Preventive Actions (PA) proposed with regard to each of the Non-Conformities (NCs) raised during the audit to the concerned Lead Auditor (LA) for his acceptance within the time-limit prescribed by him, but in any case within three months from the date of audit. In case the Company fails to satisfactorily address the NCs within three months from the date of audit, necessary concurrence for its closure needs to be obtained from the Director General.

(2) All major non-conformities are to be dealt with immediately as per MSC/Circ.1059-MEPC/Circ.401.

9. Suspension/Withdrawal of DOC: Suspension or withdrawal of DOC of any company or SMC of any vessel shall be governed by Merchant Shipping (Safety Management) Rules, 2026.

10. ISM Forms: The following forms are required to be used by the auditors (i.e Administration and RO auditors) and Companies for conducting various types of DOC and SMC audits. The format of these ISM forms are available at the end of this schedule for reference.

ISM-01	Declaration Form for Registered Owner/Bare Boat Charter and Company
ISM-02	Declaration Form for Company
ISM-03	Audit Request Form
ISM-04	Form for Company Interim/Initial/Annual/Renewal/Additional Audit Assessment Report
ISM-05	Form for Ship Interim/Initial/Intermediate/Renewal/Additional Audit Assessment Report
ISM-06	Form for Document Review Company/Ship
ISM-07	Form for Audit Schedule
ISM-08	Form for Non-Conformity/Observation/Major Non Conformity Report
ISM-09	Form for ISM Audit Log
ISM-10	Form for Auditor Monitoring Report
ISM-11	Form for Declaration of Company (Owner)
ISM-12	Form for Declaration of Designated Person
ISM-13	Form for Submission of SMC on Cancellation or withdrawal of Registry
ISM-14	Form for Self-declaration from the Top Management
ISM-15	Form for Self-declaration from the Company

11. Formats of Certificates and Forms:

- (1) All Convention Certificates must be issued in the format specified by the organization.
- (2) All other certificates and forms must be issued in the format prescribed by the respective rules or as specified in this Schedule.

DECLARATION FORM NO.
DGMA/ISM - 01

(To be completed by authorised representatives of the owner / bareboat charterer and the company on first notification and when reporting any changes thereafter)

1. VESSEL

Name of Vessel:	Type of Vessel:
Official No. / Call Sign:	IMO Number:

2. OWNER / BAREBOAT CHARTERER

Registered Name: (Enclose certificate of Incorporation)		
Registered Address:	Tel. No.:	
	E-mail:	

3. DECLARATION OF PARTICULARS OF THE COMPANY (ISM Code Ref.: 1.1.2)

Registered Name: (Enclose certificate of Incorporation)		
COMPANY ID NO.		
Registered Address:	Operation Office Address:	
Tel. No.:	Tel. No.:	
E-mail:	E-mail:	

I, the undersigned, hereby declare and state for and on behalf of the **company** that the above information is true and correct and I am duly authorised by the **company** to provide the aforesaid information.

Name:	Place & Date:	
Signature:	Stamp:	

I, the undersigned, hereby declare and state for and on behalf of the **owner / bareboat charterer** that the above information is true and correct and I am duly authorised by the **owner / bareboat charterer** to provide the aforesaid information.

Name:	Place & Date:	
Signature:	Stamp:	

Certified by

Name & Stamp of the Registrar of Ship

Annex to Form No. DGMA/ISM-01

(To be completed by authorised representatives of the owner / bareboat charterer and the company on first notification and when reporting any changes thereafter)

ISM Code Ref.: 3.0

For and on behalf of the Owner / Bareboat	For and on behalf of the Company:
I, the undersigned, hereby declare and state as below:	I, the undersigned, hereby declare and state as below:
<p>1) The owner / bareboat charterer has agreement with the company for the operations of the vessel and to discharge of all duties, responsibilities and obligations of the owner / bareboat charterer, which fall within the scope of Chapter IX of the SOLAS, 1974 as amended and the ISM Code from the date of the present declaration.</p> <p>2) The owner / bareboat charterer has read and understood the ISM Code and the requirement of the Directorate General of Maritime Administration on the development, implementation and certification of SMS issued by the Directorate General of Maritime Administration.</p> <p>3) The owner / bareboat charterer accepts, agrees and undertakes to be responsible for the company (named overleaf).</p> <p>4) The above information is true and I am duly authorised to make this declaration for and on behalf of the owner / bareboat charterer.</p>	<p>1) The company has accepted the agreement with the owner / bareboat charterer and undertake to carry out all aspects of the operation of the vessel and discharge all duties, responsibilities and obligations of the owner / bareboat charterer, which fall within the scope of Chapter IX of the SOLAS, 1974 as amended and the ISM Code from the date of the present declaration.</p> <p>2) The company has received from the owner / bareboat charterer sufficient instructions, guidance, means and resources to the entire satisfaction of the company and arrangements have been made which enable and will enable the company to carry out and fulfil the duties, responsibilities and obligations which are hereby accepted and undertaken.</p> <p>3) The company accepts, agrees and undertakes to be bound, as far as the operation of the vessel and for any matter related thereto, by the applicable rules and regulations of the Directorate General of Maritime Administration.</p> <p>4) The company has read and understood the ISM Code and the requirements of the D.G. Maritime Administration on the development, implementation and certification of SMS issued by the Directorate General of Maritime Administration.</p> <p>5) The above information is true and correct and I am duly authorised to make this declaration for and on behalf of the company.</p>
For and on behalf of the Owner / Bareboat	For and on behalf of the Company:
Name:	Name:
Signature:	Signature:
Place & Date:	Place & Date:
Stamp:	Stamp:

DECLARATION
FORM NO. DGMA/ISM - 02

(To be completed by authorised representatives of the company
and also for reporting changes)

1. VESSEL

Name of Vessel:	Type of Vessel:
Official No. / Call Sign:	IMO Number:

2. PARTICULARS OF THE COMPANY (ISM Code Ref.: 1.1.2)

Registered Name: (Enclose certificate of Incorporation)	
COMPANY ID No.	
Registered Address:	Operation Office Address:
Tel. No.:	Tel. No.:
E-mail:	E-mail:

3. DESIGNATED PERSON (ISM Code Ref.: 4.0) (Enclose certified copy in proof of qualification, training and experience, in accordance with MS (Safety Management), Rules, 2026.

Designated Person:	Alternate Designated Person:
Name:	Name:
Position:	Position:
Identity Document:	Identity Document:
Office Address: (Place of work)	Office Address: (Place of Work)
Tel. No.:	Tel. No.:
Mobile No.:	Mobile No.:
E-mail:	E-mail:
AOH Tel.	AOH Tel.:

4. IDENTIFICATION OF HIGHEST LEVEL OF MANAGEMENT (HLM)

Highest Level of Management:	Alternate to HLM:
Name:	Name:
Position:	Position:
Identity Document:	Identity Document:
Tel. No.:	Tel. No.:
Mobile No.:	Mobile No.:
E-mail:	E-mail:
AOH Tel.:	AOH Tel.:

5. BRANCH OFFICE(S)

Registered Name: (Enclose certificate of Incorporation) Registered Address:	Operation Office Address:
Tel. No.:	Tel. No.:
E-mail:	E-mail:

I, the undersigned, hereby declare and state for and on behalf of the company that the company has been incorporated and exists under the laws of the state and the officers of the company are those as indicated in the enclosed list / below, the company does not operate branch offices as mentioned below / does not operate branch offices (strike if not applicable).

The above information is true and correct and I am duly authorised by the company and the aforesaid persons to provide the aforesaid information.

(to be completed if a counter signature
is required)

Name:	Name:
Signature:	Signature:
Place & Date:	Place & Date:

Certified by

Name & Stamp of the Registrar of Ship

FORM NO. DGMA/ISM – 02/Rev.00/2026

AUDIT REQUEST FORM

We request the Directorate General of Maritime Administration to instruct its Auditors to assess our Safety Management System (SMS) to ISM Code on or around..... (Minimum 30 days notice to be given from the date audit is requested)

The scope of assessment for which audit is requested:

DOC /SMC*

Interim / Initial / Annual / Intermediate / Renewal / Additional

We agree to provide the Directorate General of Maritime Administration with all the documents, information and facilities to carry out the above mentioned audit activities.

Details of fees submitted in favour of "the Directorate General of Maritime Administration, Mumbai" towards carrying out the above audit are mentioned below.

Details of payment of audit fees.....

We also agree to pay any other fees as applicable for Audit and issuance of Certificate.

Particulars:

Name of Company:	
Company IMO ID No.	
Company Address	
No. of Branch Offices and their details of location, covered under DOC, if any:	
Ship type for which audit is requested:	
Date of last audit and Name of Auditor (s)	

Details of Additional DOC / SMC audit undertaken and the reason for such audit	
--	--

Indicate the details of detention of vessel under PSC / FSI (Name of vessel, Inspecting authority, name of MOU, port and date of inspection)	
Total No of Ships to be covered under the requested DOC audit (Mention in Ship Type wise along with their name date and type of last audit along with SMC validity and endorsement)	
Present DOC Certificate Number and its date of validity (in case of multiple DOC, give date of validity for all DOC):	
Date of last DOC endorsement (s) (in case of multiple DOC, give date of endorsement for all DOC):	
Name of Vessel (s) / type of vessel / IMO No. / GT / Year. of built for which audit is requested:	
Location (s) of Audit:	

Name of Designated Person.....

Signature of Designated person

Address

Date of Application

Place

(*strike out which is not applicable)



DIRECTORATE GENERAL OF MARITIME ADMINISTRATION, GOVT. OF INDIA
COMPANY INTERIM/INITIAL/ANNUAL/RENEWAL/ADDL. AUDIT ASSESSMENT
REPORT

Port:.....

Date:.....

COMPANY	
NAME:	
COMPANY ID	
NO.:	
OFFICE ADDRESS WITH TEL. NO. & EMAIL.:	
DOC/INTERIM DOC NO.	ISSUED ON
ISSUED BY	VALID TILL
EXISTING SCOPE (SHIP TYPE)	LAST ENDORSEMENT DATE:
ASSESSMENT NOW BEING REPORTED 1ST/2ND/3RD/4TH ANNUAL/ADDITIONAL/RENEWAL/INTERIM/INITIAL	
TEAM LEADER:	AUDIT DATE(S):
TEAM MEMBER(s):	
NO. OF MAJOR NCs:	NO. OF NCs:
MAJOR NCs CLEARED: <input type="checkbox"/> YES <input type="checkbox"/> NO	ALL PREVIOUS NCs CLEARED: <input type="checkbox"/> YES
NO. OF OBSERVATIONS:	NO. OF FINDINGS:
SUMMARY OF RECOMMENDATIONS:	
COPIES OF ALL NCs/OBS. (AS APPROPRIATE) ARE ATTACHED TO THIS REPORT:	
ISSUE DOC/INTERIM DOC	
VALID FROM (date of assessment completion)	FOR YEARS MONTHS
REPORTED SCOPE (SHIP TYPE):	
ADDITIONAL ASSESSMENT	<input type="checkbox"/> YES <input type="checkbox"/> NO
DOC ENDORSED <input type="checkbox"/> YES <input type="checkbox"/> NO	
SIGNATURE OF TOP MANAGEMENT / DESIGNATED PERSON	SIGNATURE OF AUDIT TEAM LEADER / LEAD

Original copy of this form to be given to the auditee and photo copy to be forwarded to the ISM Cell, DGMA Company must retain this report for at least five years from the date of issue.

Form No.: DGMA/ISM-04/Rev. 00/2026



DIRECTORATE GENERAL OF MARITIME ADMINISTRATION, GOVT. OF INDIA

SHIP INTERIM/INITIAL/INTERMEDIATE/RENEWAL/ADDL. AUDIT ASSESSMENT

Port:.....

Date:.....

NAME OF SHIP:	ASSESSED AT:	
PORT OF REGISTRY:	GT:	
OFFICIAL NO.:	SHIP TYPE:	
CALL SIGN:	IMO NO.:	
CLASS:	DATE OF BUILD:	
COMPANY NAME:		
COMPANY ID NO.:		
OFFICE ADDRESS INCLUDING TEL. NO. & EMAIL.:		
DOCUMENT OF COMPLIANCE NO.:		
ISSUED BY:	ISSUED ON:	
VALID TILL:	LAST ENDORSEMENT DATE OF DOC:	
SCOPE (SHIP TYPE)		
SMC NO.:	ISSUED ON:	VALID TILL:
ISSUED	LAST ENDORSEMENT DATE OF SMC:	
TEAM LEADER:	AUDIT DATES:	
TEAM		
NO. OF MAJOR NCs:	NO. OF NCs:	
MAJOR NCs CLEARED: <input type="checkbox"/> YES <input type="checkbox"/> NO	ALL PREVIOUS NCs CLEARED: <input type="checkbox"/> YES <input type="checkbox"/> NO	
NO. OF OBSERVATIONS:	NO. OF FINDINGS:	
SUMMARY OF RECOMMENDATIONS:		
COPIES OF ALL NCs/OBS. (AS APPROPRIATE) ARE ATTACHED TO THIS REPORT:		
ADDITIONAL ASSESSMENT REQUIREMENT? <input type="checkbox"/> YES <input type="checkbox"/> NO SMC ENDORSED <input type="checkbox"/> YES <input type="checkbox"/>		
DOC ENDORSED <input type="checkbox"/> YES <input type="checkbox"/> NO		
NAME AND SIGNATURE OF SHIP MASTER	SIGNATURE OF TEAM LEADER	

Retention period of this report is to be as per
Company procedure but not less than 5 years

Form No.: DGMA/ISM-05/Rev. 00/2026

Note: Strike out whichever is not applicable.



Form: ISM-06

**DIRECTORATE GENERAL OF MARITIME ADMINISTRATION, GOVT. OF INDIA
DOCUMENT REVIEW COMPANY/SHIP**

Port:

Date:

COMPANY NAME AND ADDRESS WITH Tel. No. & EMAIL :

DOCUMENT OF COMPLIANCE NO.:

ISSUED ON:

ISSUED BY:

LAST

ENDORSEMENT DATE: SCOPE (SHIP TYPES):

LIST OF DOCUMENTS REVIEWED:

TITLE	DATE	REVISION STATUS

TEAM LEADER'S COMMENT [continue on over leaf if space is not sufficient]:

SIGNATURE OF TEAM LEADER:

Form No.: DGMA/ISM-06/Rev. 00/2026

Note: Strike out whichever is not applicable



DIRECTORATE GENERAL OF MARITIME ADMINISTRATION, GOVT. OF INDIA

ASSESSMENT CHECK LIST

Port:
Date:

Lead Auditor:						
Auditors:						
Assessment: Company*/Ship*						
Interim*/Initial*/Annual*/Intermediate*/Additional*/Renewal* Company Name:						
Company Contact No.:						
The department assessed should be entered in the appropriate box with the date. Each code reference is ticked under the department header if compliance is satisfactory. A number under the department header indicates non-conformities raised.						
ISM CODE REFERENCE	AUDIT OR	DEPARTMENT			NOTES/NC NOS. (continue notes)	
PART A						
1 Objectives						
1.2.1 Objectives of the Code						
1.2.2 Objectives of the Company						
1.2.3 SMS complies with Rules and Codes						
2 Safety & Environment Protection						
2.1 Policy						
2.2 How to be implemented						
2.3 Implementation assurance						
3 Company Responsibilities and						
3.1 Identification of Responsible						
3.2 Definition of SMS tasks & resp.						
3.3 Resource for designated person						
4 Designated Person(s)						
Identification & task incl. Operation of						
5 Master's Responsibility and						
5.1 Definition of tasks						
Implementation, motivation						
Orders, verification						
Reviews and reports on SMS						
5.2 Master's overriding authority						
6 Resource and Personnel						
6.1 Master qualification						
6.2 Officers and crew qualification						
6.3 Training of new						
6.4 Understanding of the Rules						
6.5 Procedure for training						
6.6 Procedure for working language						
6.7 Effective communication (language)						

7	<u>Shipboard operations</u>						
	Procedures for plans instructions &						
	Task identified and assigned						
8	<u>Emergency Preparedness</u>						
8.1	Procedure to identify key ship						
8.2	Emergency drills program ship shore						
8.3	Measures for Company response						
9	<u>Reports and analysis of Non-Conformities, Accidents and</u>						
9.1	Procedure Reporting						
9.2	Reports, investigation and analysis						
9.2	Procedure for corrective &						
10	<u>Maintenance of ship and</u>						
10.1	Classification and statutory records						
10.1	Procedure for maintenance						
10.2	Inspections at appropriate intervals						
10.2	Reports of NC & CA (Records)						
10.3	Procedures for equipment and						
10.3	Measures to promote reliability						
10.4	Critical equipment for Maintenance						
11	<u>Documentation</u>						
11.1	Procedures SMS document control						
11.2	Documents valid, available at						
11.3	Safety management manual ship						
12	<u>Company verification, review and</u>						
12.1	Internal Safety audits of activities						
12.2	Procedures for evaluation and review						
12.2	SMS evaluation review						
12.3	Procedures Audits and CA						
12.4	Independence of auditors						
12.5	Communication of audits results						
12.6	Implementation of CA						
PART B							
	Certification, verification and control						
1	Copy of DOC available on board						
2	NCS for periodical verification closed						

SIGNATURE OF AUDITOR:



Form: ISM-08

DIRECTORATE GENERAL OF MARITIME ADMINISTRATION, GOVT. OF INDIA
NON CONFORMITY/OBSERVATION/MAJOR NON CONFORMITY REPORT

Port:

Date:

Type of Audit : *INTERIM/INITIAL/ANNUAL/INTERMEDIATE/RENEWAL/ADDL.*

Company Name :

NC/MAJOR NC/OBS NO.: Company ID No.:

Ship Name: Statement of NC/MAJOR NC/OBS

<u>ISM Code Reference</u>	<u>NC/Major NC/Observation</u>	
Proposed Completion Date : (by Auditee)		Prescribed Completion Date : (by Team Leader)
Auditee (Sign.)	Team Leader (Sign.)	Audit Team Member(s) (Sign.)

Corrective/Preventive Action Report

Auditee/Company Representative (Sign. & Date)	Actual Completion Date :	
Accepted / Down Graded	Team Leader Sign. & Date	Team Member Sign. & Date (Optional)

Comments

Form No.: DGMA/ISM-08/Rev. 00/2026

Note: 1) Strike out whichever is not applicable 2) Use overleaf if space is not sufficient for Corrective/Preventive Action.



Form: ISM-09

**DIRECTORATE GENERAL OF MARITIME ADMINISTRATION, GOVT. OF INDIA
ISM AUDIT LOG**

Port:

Date:

NAME OF AUDITOR:				
TYPE OF AUDIT: <i>INTERIM/INITIAL/ANNUAL/INTERMEDIATE/RENEWAL/ADDL. COMPANY/SHIP</i>				
COMPANY NAME:				
COMPANY ID NO.:				
HEAD OFFICE ADDRESS:				
(Addresses of Branch Offices included in this Audit are to be given in additional sheet)				
DETAIL OF OFFICE AUDIT				
OFFICE LOCATION	DATE & DURATION OF AUDIT	ROLE IN AUDIT (AUDITOR/LEAD)	TOTAL NO. IN TEAM	VERIFICATION BY AUDITEE (Name, Signature, Position, Stamp and Date)
DETAIL OF SHIP AUDIT				
NAME OF SHIP	DATE & DURATION OF AUDIT	ROLE IN AUDIT (AUDITOR/LEAD)	TOTAL NO. IN TEAM	VERIFICATION BY AUDITEE (Name, Signature, Position, Stamp and Date)

Form No.: DGMA/ISM-09/Rev.
00/2026

Note: Strike out whichever is not applicable.



DIRECTORATE GENERAL OF MARITIME ADMINISTRATION, GOVT. OF INDIA
ISM CODE AUDITOR MONITORING REPORT

A. NAME OF THE

APPRAISEE :
& his Role in Audit
(Mention Trainee LA/A)

B. Appraiser : Team Leader/Observer

C. Audit Type :

Interim*/Initial*/Annual*/Intermediate*/Renewal*/Additional* Ship*/Company* Audit

D. Name of the Company/Ship :

E. Date of Audit :

**OBSERVATION OF
APPRAISER**

1 Preparation for audit	Satisfactor	Needs
2 Participation in document review	Satisfactor	Needs
3 Conversant with Code Clauses & Requirements	Yes	No
4 Capable of wording relevant questions during audit	Yes	No
5 Interaction with auditee representative	Adequate	Inadequate
6 Discusses the non-conformity with confidence	Yes	No
7 Collecting objective evidence and analyzing the same	Effective	Needs
8 Identifies and writes non-conformities correctly	Yes	No
9 Approach during audit	Profession	Needs
10 Time schedule management	Effective	Needs
11 Conduct of opening and closing meeting (Trainee TL)	Satisfactor	Unsatisfactory
12 Interaction with other team members	Satisfactor	Unsatisfactory
13 Personal presentation	Satisfactor	Unsatisfactory
14 Preparation of report (Participation for all and main tasks for	Satisfactor	Unsatisfactory

1) It is Possible that the appraiser; when he is part of the audit team i.e., TL or TM, may not have opportunity for appraisal of aspects which involve observing actual audit conduct e.g. items 4, 6, 7, 9 and 10. Whereas other aspects can be covered during common tasks and discussions. In such cases, indicate clearly the aspect which could not be covered during the appraisal by striking off the relevant items.

Mention whether the appraisal done when both appraiser and appraisee were auditing the same activity or area as a team during appraisal?

YES NO

If 'NO' give detail of activity/area under appraisee's audit during the appraisal and the time period for appraisal for those aspects of appraisal where audit conduct is to be witnessed e.g. items 4, 6, 7, 9 and 10.

- 2) When observation is negative indicate if the auditor concerned has been adequately instructed to ensure improvement and whether in your opinion requires formal training or additional experience.

COMMENTS : (Attach separate sheets if required)

* Delete as appropriate

LA Lead Auditor

A Auditor

TL Team Leader

Form No. DGMA/ISM-10/Rev.00/2026

Name and Signature of Appraiser

Ref.: DGMA/ISM-10/Rev.00/2026

*Delete as appropriate

INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE
DECLARATION OF COMPANY
FORM NO. DGS/ISM -11

We understand that the "Company" means the Owner of a ship or any other organization or person such as the Manager, or the Bareboat Charterer, who has assumed the responsibility for operation of the ship from the Ship owner and who on assuming such responsibility has agreed to take over all the duties and responsibility imposed by the ISM Code.

The undersigned affirms that:

Name of Company	
Company ID No.	
Address	
Telephone Nos.	
E-mail	

is the Owner of the following Indian registered Ship(s):

Ship Name	Type of Ship and GT	Date of	Port of Registry	Official Number	Call Sign	IMO Number

In accordance with Clause 3.1 of ISM Code, if the entity who is responsible for the operation of the ship is other than the above stated Owner, the Owner must report the full name and details of such entity to the Directorate General of Maritime Administration. If such is the case here, the undersigned affirms with due diligence that:

Name of Company	
Company ID No.	
Address	
Telephone Nos.	
E-mail	

is the "Company" responsible for complying with all the requirements of the ISM code for the above mentioned Indian registered Ship(s).

The undersigned further affirms that any change in "Company" must be made in writing by Fax or otherwise within two (2) working days after such arrangement / agreement.

Signature: Title of top Management of Company (owner) _____

Place:

Date:

Seal:

Ref.: DGMA/ISM-11/Rev.00/2026

*Delete as appropriate

INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE DECLARATION
OF DESIGNATED PERSON
FORM NO. DGS/ISM - 12

To ensure the safe operation of each ship and to provide a link between the "Company" and those on board, every "Company" as appropriate shall designate a person or persons ashore having direct access to the highest level of management. The responsibility and authority of the designated person or persons shall include monitoring the safety and pollution prevention aspects of the operation of each ship and to ensure that adequate resources and shore based support are applied, as required.

The undersigned affirms that _____ and _____ as an alternate _____ assigned pursuant to IMO Resolution MSC. 104(73), Section 4, of the ISM Code, as the "Designated Person(s)" for the following Indian registered Ship(s) (Enclose documentary evidence showing that the designated person and the assistant / alternate designated person (s) have the relevant qualification, training and experience as required under MS (Safety Management) Rules, 2026.

Ship Name	Type of Ship and GT	Date of	Port of Registry	Official Number	Call Sign	IMO Number

It is undertaken that the said "Designated Person(s)" will be available to the ISM cell of the Directorate General of Maritime Administration, Mumbai at any time

The full address of the "Designated Person(s)" to which official correspondence and materials may be sent:

Name of Company Company ID No.

Address

Telephone No. / Mobile phone No.:

E-mail address

Signature:

Name:

Designation of Designated Person:

Place and

Date:

Seal:

The undersigned affirms and understands that any change in "Designated Person(s)" shall be intimated to the D.G. Maritime Administration immediately and all the correspondences received or made by Designated person are on behalf of the undersigned.

Signature: _____

(Title of Top Management of Company) Name:

Place:

Date:

Seal

INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE
SUBMISSION OF SMC ON CANCELLATION OR WITHDRAWAL OF REGISTRY
FORM NO. DGS/ISM - 13

This is to certify that the vessel has been sold for further trading / scrapping to M/s. ,
Address

(Please enclose the copy of the registry cancellation certificate and original and first copy of SMC issued to the ship and indicate the name of the flag and port of registry of the ship if sold for further trading)

The particulars of ship are:

Ship Name	Type of Ship	Date of	Port of	Official	Call	IMO Numb

Company Name

Company ID No.

Address

Telephone No. / E-mail

address

Signature:

Name:

Designation

Place and

Date:

Seal:

INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE
DECLARATION FROM THE TOP MANAGEMENT

I, ----- presently serving as ----- of -----, hereby state that I represent the Top Management (Board of Directors) of the Company and is authorized to affirm as follows:-.

1. That the Top Management (Board of Directors) of M/s -----, recognizes that by virtue of being the holder of the Document of Compliance No----- issued by the Government of India on -----, M/s----- is the "Company" within the meaning of rule 6(h) of Merchant shipping (Safety Management) Rules 2026 as amended and the organization vested with the responsibility and the authority to ensure the safe operation of the ships under its management, and,
2. That the Board acknowledge that as the 'company' defined under the ISM code responsible for the safe operation of ships, we are duty-bound to ensure that the company has sufficient wherewithal, both technically and financially, to provide adequate and prompt shore based support to the vessels under its management at all times, and,
3. That the Board takes cognizance of the requirements relating to the Company's responsibility towards ensuring adequate resources under International Safety Management Code as defined in para 3.3 of the Resolution A.741(18) as amended by MSC.104(73), MSC.179(79), MSC.195(80) and MSC.273(85), and,
4. That towards compliance with the aforementioned requirements of the ISM Code, the Company has provided and will continue to provide adequate resources in terms of skilled manpower, material and services for safe operation and pollution prevention in compliance with all applicable rules and regulations. In support of this contention we are submitting herewith statement for the preceding financial year as vetted by our bonafide Chartered Accountants, and,
5. That the Company has paid, on time, necessary dues to the providers of all resources including seafarers, suppliers of stores, spares, bunkers etc and other service providers including Recognized Organizations, and,
6. That we are aware that the failure from the Company to provide timely resources and services to a vessel can render her unseaworthy and unsafe within the meaning of Section 127, 278 and 307 of the Merchant Shipping Act 2025 as amended and that the Company is liable to be proceeded against, as per the applicable statutes, for such lapses.

Enclosed: As stated at Para. 4
Signatory)

(Chairman/Managing Director/Authorized

(Signature with Designation)

M/s -----

Date:

Ref.: DGMA/ISM-14/Rev.00/2026

*Delete as appropriate

INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE
DECLARATION FROM THE COMPANY

I _____ presently serving as CEO/President of M/s. _____ (the Company) hereby state that I represent the Company and am authorized to affirm as follows:

1. That M/s _____, recognizes that by virtue of being the holder of the Document of Compliance No _____ issued by the Government of India on _____ M/s. _____ is the "Company" within the meaning of rule 2(g) of Merchant Shipping (Safety Management) Rules 2026 as amended and is vested with the responsibility and the authority to ensure the safe operation of the ships under its management, and
2. That the Company acknowledges that as the 'company' defined under the ISM code responsible for safe operation of ships, we are duty bound to ensure that the company has sufficient wherewithal, both technically and financially to provide adequate and prompt shore based support to the vessels under its management at all times, and
3. That the Company takes cognizance of the requirements relating to Company's responsibilities towards ensuring adequate resources under the International Safety Management Code as defined in para 3.3 of the Resolution A.741(18) as amended by MSC. 104(73), MSC. 179(79), MSC. 195(80) and MSC. 273(85), and
4. That towards compliance with the aforementioned requirements of the ISM Code, the Company has provided and will continue to provide prompt and adequate resources in terms of skilled manpower material and services for safe operation and pollution prevention in compliance with all applicable rules and regulations. In support of this contention we are submitting herewith the Annual Report for the preceding financial year as vetted by our Statutory Auditors, and
5. Save and except disputed dues and commercial arrangements, the Company has paid, on time, necessary and legitimate dues to the providers of all services including seafarers, suppliers of stores, spares, bunkers etc. and other service providers including Recognized Organizations, and
6. That the Company is aware that the failure of the Company to provide timely resources and services to a vessel can render her unseaworthy and unsafe within the meaning of relevant sections of the Merchant Shipping Act, 2025 as amended and that the Company is liable to be proceeded against as per the applicable statutes, for such lapses.
7. The Board of Directors of the Company have been kept informed of the contents of this Declaration.

Enclosed: As stated at Para 4

CEO/PRESIDENT/Authorised Signatory

(Signature with Designation)

M/s. _____

Date:

Schedule-VIII: Domestic Safety Management System Audits of Vessels and Companies.

- 1. Applicability:** The provisions relating to the Domestic Safety Management (DSM) shall apply to the Indian Domestic Vessel as follows:-
 - (1) to Coastal Vessels of 500 GT and above.
 - (2) to River-Sea Vessel of Category Type-3 and Type-4 of 500 GT and above or carrying more than twelve (12) passengers; and
 - (3) to any other category of domestic vessel as decided by the Director General.
- 2. Definitions:**

“Domestic Document of Compliance” means the Document of Compliance issued to a Company for the safe operation of domestic vessels, by an officer authorised by the Director General, who shall be not below the rank of Deputy Chief Surveyor with the Government of India;

Explanation: For the purposes of issuance of Document of Compliance to a Company for operation of any vessel other than domestic vessels; such Company shall demonstrate compliance with the Code.
- 3. Company Responsibilities & Authorities:**
 - (1) The *“Top Management”* for the purpose of this schedule means the highest level of management of the Company, who is authorized to provide decisions necessary to implement the Company’s objective for the effective implementation of Safety Management System (SMS) on its fleet and in this case, refers to the Chairman, Managing Director, President, Chief Executive Officer or equivalent, who represents the Board of Directors of the Company.
 - (2) Any organization, including ship management companies, assuming such responsibilities as the Company under the MS (Safety Management) Rules, 2026, shall have sufficient wherewithal and capabilities, viz. technical, financial and human resource, readily at its disposal for the effective implementation of the SMS at all relevant levels in the Company, and shall ensure that adequate resources and shore based support are provided at all times and promptly to the vessels under its management.
- 4. The Safety Management System:** The owner, operator, or manager who has assumed responsibility for the operation of a Coastal Vessel or River -Sea Vessel—and who thereby undertakes the duties and responsibilities set forth in the MS (Safety Management) Rules,

2026 (hereinafter referred to as the "Company")—shall develop and implement a Safety Management System (SMS) that meets the requirements of the MS Rules.

5. Designated Person Ashore (DPA):

- (1) The Company shall nominate an employee as Designated Person ashore, who is having appropriate knowledge on domestic Vessels operation and having direct access to top management. However, every company shall employ a **DPA** on a regular and continuous basis, in full compliance with the rule 6 of the **Merchant Shipping (Safety Management) Rules, 2026**.
- (2) In case of any change of DPA, the Company shall ensure that the new DPA meets the applicable qualification requirements as mentioned above and shall report the same to the Director General or Recognized Organization (RO) notified by the Director General through an Executive Order along with copies of CoC & CDC, Education Qualifications and experience of the new DPA.

6. Assessment for Compliance:

- (1) The company responsible for the management and operation of Indian domestic vessels—including Coastal Vessels, River-Sea Vessels, or any other applicable category—shall submit its Safety Management System (SMS) to the Director General or RO notified by the Director General for document review.
- (2) Upon satisfactory completion of the document review, an initial audit of the Company's shore-based safety management system and associated documentation shall be conducted by an auditor(s) nominated by the Director General or RO notified by the Director General on a mutually convenient date.
- (3) Upon satisfactory completion of the initial audit, Director General or RO shall issue a full-term Domestic Document of Compliance (DDOC), valid for a maximum period of five (5) years. This DDOC shall apply to Indian domestic vessels, including but not limited to coastal vessels, river-sea vessels, or any other applicable category as decided by the Director General.
- (4) An intermediate verification audit of the Company's shore-based safety management arrangements and associated documentation shall be conducted by an auditor(s) nominated by the Director General or RO notified by the Director General, within a window of 2.5 years (+/- 6 months) following the issuance of the full-term Domestic Document of Compliance (DDOC).

- (5) A renewal audit of the Company's safety management arrangements and related documentation ashore shall be carried out by an auditor(s) nominated by the Director General or RO notified by the Director General on or before with a window of 3 months prior expiry of the full-term DDOC. Upon satisfactory completion of the renewal audit, a fresh full-term DDOC, valid for a maximum period of 5 years from the date of expiry of the existing DDOC, shall be issued to the Company.
- (6) The initial assessment of the Company's safety management arrangements and related documentation on board domestic vessels shall be carried out by the surveyors of the Mercantile Marine Department (MMD) or RO notified by the Director General. This assessment shall take place during the first survey immediately following the issuance of the full-term Document of Compliance (DDOC). However, it is mandatory for the owner, manager, or operator to be in possession of a valid DDOC certificate in order to complete the Initial, Annual, Intermediate, or Renewal Survey of the Indian Coastal Vessel Safety Certificate **or** Indian River-Sea Vessel Safety Certificate or any other safety certificate issued to any other category vessel as decided by the Director General.
- (7) The assessment of the Company's safety management arrangements and related documentation on board Coastal Vessels, River -Sea Vessels or any other category vessel shall be conducted by the MMD or RO notified by the Director General. This assessment shall take place during the Annual, Intermediate, or Renewal Survey of the Indian Coastal Vessel Safety Certificate or the Indian River-Sea Vessel Safety Certificate or any other safety certificate issued to any other category vessel as decided by the Director General.
- (8) In the event that the Company intends to relocate its office premises for operational reasons to a location different from that stated in the existing DDOC, a formal application must be submitted to the Director General or RO notified by the Director General. This application should be made on the Company's new letterhead and must include a copy of the registered document pertaining to the new office premises. Following this, the Company should update the necessary information in the SMS documents. Once these amendments have been made, the Company may offer the new premises for an additional verification audit by the Director General or RO, along with payment of the applicable fees. Upon receiving a satisfactory report from the audit team, the Director General or RO will issue a revised DDOC reflecting the new office

address. The validity of the revised DDOC will remain the same as that of the existing certificate.

- (9) If the Company wishes to change its name as mentioned in the current DDOC, it may submit a formal application to the Director General or RO notified by the Director General. This application should be on the Company's new letterhead and must include a copy of the certificate of incorporation issued by the Registrar of Companies, along with any other corroborating documents, if applicable. Upon satisfactory scrutiny of the application, the Director General or RO will issue a fresh DDOC reflecting the Company's new name, while retaining the existing validity period.
- (10) A company holding a valid Document of Compliance (DOC) for the relevant vessel type—issued by the Director General or RO under the Merchant Shipping (Safety Management) Rules, 2026 may take responsibility for operating the Type 3 & Type 4 River-Sea Vessels or Coastal Vessels or any other category vessels as decided by the Director General, without needing the Domestic Document of Compliance (DDOC).

Audit requirements for the DOC certificate will comply with the Merchant Shipping (Safety Management) Rules, 2026. However, the audit requirements specific to River-Sea Vessels or Coastal Vessels or any other category vessel under the Domestic Safety Management System shall follow the provisions outlined in paragraph 6(6) & 6(7) of this schedule.

7. Non Conformity and Major Non Conformity:

- (1) The Company shall submit the detailed Corrective Action (CA) along with Root Cause Analysis (RCA) and Preventive Actions (PA) proposed with regard to each of the Non-Conformities (NCs) raised during the audit to the concerned Lead Auditor (LA) for his acceptance within the time-limit prescribed by him, but in any case within three months from the date of audit. In case the Company fails to satisfactorily address the NCs within three months from the date of audit, necessary concurrence for its closure needs to be obtained from the Director General.
- (2) All major non-conformities must be addressed immediately to prevent any disruption to vessel operations.

8. Suspension/Withdrawal of DDOC: Suspension or withdrawal of DDOC of any company shall be governed by the Act or MS (Safety Management) Rules, 2026 or any guidelines prescribed by the Director General.

9. **DSM Forms:** The following forms are required to be used by the auditors (i.e Administration and RO auditors) and Companies for conducting DDOC Audits and Shipboard SMS verification during surveys. The format of these DSM forms are available at the end of this schedule for reference.

DSMS-01	Declaration Form for Registered Owner/Bare Boat Charter and Company
DSMS-02	Declaration Form for Company
DSMS-03	Audit Request Form
DSMS-04	Form for Company Initial/Annual/Renewal/Additional Audit Assessment Report
DSMS-05	Form for Document Review Company
DSMS-06	Form for Non-Conformity/Observation/Major Non Conformity Report
DSMS-07	Form for DSM Audit Log
DSMS-08	Form for Declaration of Company (Owner)
DSMS-09	Form for Declaration of Designated Person
DSMS-10	Form for DSM Audit Schedule

DECLARATION**FORM No. DGMA/DSMS - 01**

(To be completed by authorised representatives of the owner / bareboat charterer and the company on first notification and when reporting any changes thereafter)

1. VESSEL

Name of Vessel:	Type of Vessel:
Official No. / Call Sign:	IMO Number:

2. OWNER / BAREBOAT CHARTERER

Registered Name: (Enclose certificate of Incorporation)	
Registered Address:	Tel. No.:
	E-mail:

3. DECLARATION OF PARTICULARS OF THE COMPANY

Registered Name: (Enclose certificate of Incorporation)	
Registered Address:	Operation Office Address:
Tel. No.:	Tel. No.:
E-mail:	E-mail:

I, the undersigned, hereby declare and state for and on behalf of the **company** that the above information is true and correct and I am duly authorised by the **company** to provide the aforesaid information.

Name:	Place & Date:	
Signature:	Stamp:	

I, the undersigned, hereby declare and state for and on behalf of the **owner / bareboat charterer** that the above information is true and correct and I am duly authorised by the **owner / bareboat charterer** to provide the aforesaid

Name:	Place & Date:	
Signature:	Stamp:	

information.

Certified by

Name & Stamp of the Registrar of Ship

Annex to Form No. DGMA/DSMS -
01

(To be completed by authorised representatives of the owner / bareboat charterer and the company on first notification and when reporting any changes thereafter)

For and on behalf of the Owner / Bareboat	For and on behalf of the Company:
<p>I, the undersigned, hereby declare and</p> <p>1) The owner / bareboat charterer has agreement with the company for the operations of the vessel and to discharge of all duties, responsibilities and obligations of the owner / bareboat charterer, which fall within the scope of Rule 4 of MS (Safety Management) Rules, 2026.</p> <p>2) The owner / bareboat charterer has read and understood the MS (Safety Management) Rules, 2026 and the requirement of the D.G. Maritime Administration on the development, implementation and certification of SMS issued by the D.G. Maritime Administration.</p> <p>3) The owner / bareboat charterer accepts, agrees and undertakes to be responsible for the company (named overleaf).</p> <p>4) The above information is true and I am duly authorized to make this declaration for and on behalf of the owner / bareboat charterer.</p>	<p>I, the undersigned, hereby declare and</p> <p>1) The company has accepted the agreement with the owner / bareboat charterer and undertake to carry out all aspects of the operation of the vessel and discharge all duties, responsibilities and obligations of the owner / bareboat charterer, which fall within the scope of Rule 4 of MS (Safety Management)</p> <p>2) The company has received from the owner / bareboat charterer sufficient instructions, guidance, means and resources to the entire satisfaction of the company and arrangements have been made which enable and will enable the company to carry out and fulfil the duties, responsibilities and obligations of the company under the requirements of the MS (Safety Management) Rules, 2026 and the requirements of the D.G. Maritime Administration on the development, implementation and certification of SMS issued by the D.G. Maritime Administration.</p> <p>3) The company accepts, agrees and undertakes to be bound, as far as the operation of the vessel and for any matter related thereto, by the requirements of the MS (Safety Management) Rules, 2026 and the requirements of the D.G. Maritime Administration on the development, implementation and certification of SMS issued by the D.G. Maritime Administration.</p> <p>4) The company has read and understood the MS (Safety Management) Rules, 2026 and the requirements of the D.G. Maritime Administration on the development, implementation and certification of SMS issued by the D.G. Maritime Administration.</p> <p>5) The above information is true and correct and I am duly authorized to make this declaration for and on behalf of the company.</p>
For and on behalf of the Owner / Bareboat	For and on behalf of the Company:
Name:	Name:
Signature:	Signature:
Place & Date:	Place & Date:
Stamp:	Stamp:

DECLARATION
FORM NO. DGMA/DSMS – 02

(To be completed by authorised representatives of the company
and also for reporting changes)

1. VESSEL

Name of Vessel:	Type of Vessel:
Official No. / Call Sign:	IMO Number:

2. PARTICULARS OF THE COMPANY

Registered Name: (Enclose certificate of Incorporation)	
COMPANY ID No.	
Registered Address:	Operation Office Address:
Tel. No.:	Tel. No.:
E-mail:	E-mail:

**3. DESIGNATED PERSON (Enclose certified copy in proof of
qualification, training and experience)**

Designated Person:	Alternate Designated Person:
Name:	Name:
Position:	Position:
Identity Document:	Identity Document:
Office Address: (Place of work)	Office Address: (Place of Work)
Tel. No.:	Tel. No.:
Mobile No.:	Mobile No.:
E-mail:	E-mail:
AOH Tel.:	AOH Tel.:

4. IDENTIFICATION OF HIGHEST LEVEL OF MANAGEMENT (HLM)

Highest Level of Management:	Alternate to HLM:
Name:	Name:
Position:	Position:
Identity Document:	Identity Document:
Tel. No.:	Tel. No.:
Mobile No.:	Mobile No.:
E-mail:	E-mail:
AOH Tel.:	AOH Tel.:

5. BRANCH OFFICE(S)

Registered Name: (Enclose certificate of Incorporation) Registered	Operation Office Address:
Tel. No.:	Tel. No.:
E-mail:	E-mail:

I, the undersigned, hereby declare and state for and on behalf of the company that the company has been incorporated and exists under the laws of the state and the officers of the company are those as indicate in the enclosed list / below, the company does operate branch offices as mentioned below / does not operate branch offices (strike if not applicable).

The above information is true and correct and I am duly authorised by the company and the aforesaid persons to provide the aforesaid information.

(to be completed if a counter signature is required)

Name:	Name:
Signature:	Signature:
Place & Date:	Place & Date:

Certified by

Name & Stamp of the Registrar of Ship

AUDIT REQUEST FORM-DSM 03

We request the Directorate General of Maritime Administration to instruct its Auditors to assess our Domestic Safety Management System (SMS) on or around..... (Minimum 30 days notice to be given from the date audit is requested)

The scope of assessment for which audit is requested:

DDOC

Interim / Initial / Intermediate / Renewal / Additional/Surveillance*

We agree to provide the Directorate General of Maritime Administration with all the documents, information and facilities to carryout the above mentioned audit activities.

Details of fees submitted in favour of "the Directorate General of Maritime Administration, Mumbai" towards carrying out the above audit are mentioned below.

Details of payment of audit fees.....

We also agree to pay any other fees as applicable for Audit and issuance of Certificate.

Particulars:

Name of Company:	
Company ID No.	
Company Address	
No. of Branch Offices and their details of location, covered under DDOC, if any:	
Ship type for which audit is requested:	
Date of last audit and Name of Auditor (s)	

Details of Additional DDOC audit undertaken and the reason for such audit	
Indicate the details of detention of vessel under FSI (Name of vessel, Inspecting authority, port and date of inspection)	
Total No of Ships to be covered under the requested audit (Mention in Ship Type wise along with their name date and type of last audit along with the validity and endorsement of the certificate)	
Present DDOC Certificate Number and its date of validity (in case of multiple DDOC, give date of	
Date of last DDOC endorsement (s) (in case of multiple DOC, give date of endorsement for all DDOC):	
Name of Vessel (s) / type of vessel / IMO No. / GT / yr. of built for which audit is requested:	
Location (s) of Audit:	

Name of Designated Person.....

Signature of Designated person

Address

Date of Application

Place

(*strike out which is not applicable)



DIRECTORATE GENERAL OF MARITIME ADMINISTRATION GOVT. OF INDIA
COMPANY INITIAL/INTERMEDIATE//RENEWAL/ADDITIONAL AUDIT
ASSESSMENT REPORT

Port:

Date:

COMPANY	
NAME:	
COMPANY ID	
NO.:	
DDOC No.	ISSUED ON
ISSUED BY	VALID TILL
EXISTING SCOPE (SHIP TYPE)	LAST ENDORSEMENT DATE:
ASSESSMENT NOW BEING REPORTED INTERMEDIATE/ADDITIONAL/RENEWAL	
TEAM LEADER:	AUDIT DATE(S):
TEAM MEMBER(s):	
NO. OF MAJOR NCs:	NO. OF NCs:
MAJOR NCs CLEARED: <input type="checkbox"/> YES <input type="checkbox"/> NO	ALL PREVIOUS NCs CLEARED: <input type="checkbox"/> YES
NO. OF OBSERVATIONS:	NO. OF FINDINGS:
SUMMARY OF RECOMMENDATIONS:	
COPIES OF ALL NCs/OBS. (AS APPROPRIATE) ARE ATTACHED TO THIS REPORT:	
ISSUE DDOC	
VALID FROM (date of assessment completion)	FOR YEARS MONTHS
REPORTED SCOPE (SHIP TYPE):	
ADDITIONAL ASSESSMENT	<input type="checkbox"/> YES <input type="checkbox"/> NO
DOC ENDORSED <input type="checkbox"/> YES <input type="checkbox"/> NO	
SIGNATURE OF TOP MANAGEMENT / DESIGNATED PERSON	SIGNATURE OF AUDIT TEAM LEADER / LEAD

Original copy of this form to be given to the auditee and photo copy to be forwarded to the ISM Cell, D.G. Maritime Administration. Company must retain this report for at least five years from the date of issue.

Form No.: DGMA/DSM-04/Rev. 0/2026



**DIRECTORATE GENERAL OF MARITIME ADMINISTRATION GOVT. OF INDIA
DOCUMENT REVIEW COMPANY/SHIP**

Port:

Date:

COMPANY NAME AND ADDRESS WITH Tel. No. & EMAIL. :

COMPANY ID NO.:

DOCUMENT OF COMPLIANCE NO.:	ISSUED ON:	
ISSUED BY:	LAST	
ENDORSEMENT DATE: SCOPE (SHIP TYPES):		
LIST OF DOCUMENTS REVIEWED:		
TITLE F	DAT F	REVISION STATUS
TEAM LEADER'S COMMENT [continue on over leaf if space is not sufficient]:		

SIGNATURE OF TEAM LEADER:



**DIRECTORATE GENERAL OF MARITIME ADMINISTRATION GOVT. OF INDIA
NON CONFORMITY/OBSERVATION/MAJOR NON CONFORMITY REPORT**

Port:

Date:

Type of Audit : *INTERIM/INITIAL/ANNUAL/INTERMEDIATE/RENEWAL/ADL.*

Company Name : NC/MAJOR

NC/OBS NO.: Company ID No.:

~~Ship Name:~~
Statement of NC/MAJOR NC/OBS

DSM Code Reference *NC/Major NC/Observation/Finding*

Proposed Completion Date : Prescribed Completion Date :

(by Auditee)
Auditee (Sign.)

Team Leader (Sign.)

(by Team Leader)
Audit Team Member(s) (Sign.)

Corrective/Preventive Action Report

Auditee/Company Representative (Sign. & Date) Actual Completion Date :

Accepted / Down Graded

Team Leader
Sign. & Date

Team Member
Sign. & Date (Optional)

Comments

Note: 1) Strike out whichever is not applicable 2) Use overleaf if space is not sufficient for Corrective/Preventive Action.

Form: DSM-07



DIRECTORATE GENERAL OF MARITIME ADMINISTRATION GOVT. OF INDIA
DSM AUDIT LOG

Port:

Date:

NAME OF AUDITOR:				
TYPE OF AUDIT: <i>INTERIM/INITIAL/ANNUAL/INTERMEDIATE/RENEWAL/ADDITIONAL</i> <i>COMPANY/SHIP</i>				
COMPANY NAME:				
COMPANY ID NO.:				
HEAD OFFICE ADDRESS:				
DETAIL OF OFFICE AUDIT				
OFFICE LOCATION	DATE & DURATION OF AUDIT	ROLE IN AUDIT /AUDITOR/LEAD	TOTAL NO. IN TEAM	VERIFICATION BY AUDITEE (Name, Signature, Position, Stamp and Date)
DETAIL OF SHIP AUDIT				
NAME OF SHIP	DATE & DURATION OF AUDIT	ROLE IN AUDIT /AUDITOR/LEAD	TOTAL NO. IN TEAM	VERIFICATION BY AUDITEE (Name, Signature, Position, Stamp and Date)

Form No.: DGMA/DISM-07/Rev. 0/2026

Note: Strike out whichever is not applicable.

DOMESTIC SAFETY MANAGEMENT (DSM) CODE
DECLARATION OF COMPANY
FORM NO. DGMA/DSM - 08

We understand that the "Company" means the Owner of a ship or any other organization or person such as the Manager, or the Bareboat Charterer, who has assumed the responsibility for operation of the ship from the Ship owner and who on assuming such responsibility has agreed to take over all the duties and responsibility imposed by the MS (Safety Management) Rules, 2026.

The undersigned affirms that:

Name of Company	
Company ID No.	
Address	
Telephone Nos.	
E-mail	

is the Owner of the following Indian registered Ship(s):

Ship Name	Type of Ship and GT	Date of Build	Port of Registry	Official Number	Call Sign	IMO Number

If the entity who is responsible for the operation of the ship is other than the above stated Owner, the Owner must report the full name and details of such entity to the D.G. Maritime Administration. If such is the case here, the undersigned affirms with due diligence that:

Name of Company	
Company ID No.	
Address	
Telephone Nos.	
E-mail	

is the "Company" responsible for complying with all the requirements of the MS (Safety Management) Rules, 2026 for the above mentioned Indian registered Ship(s).

The undersigned further affirms that any change in "Company" must be made in writing by Mail or otherwise within two (2) working days after such arrangement / agreement.

Signature: Title of top Management of Company (owner) _____
Place:

Date:

Seal

Form No.: DGMA/DSM-08/Rev. 0/2026

Form-DSM09

DOMESTIC SAFETY MANAGEMENT (DSM) CODE
DECLARATION OF DESIGNATED PERSON
FORM NO. DGMA/DSM - 09

To ensure the safe operation of each ship and to provide a link between the "Company" and those on board, every "Company" as appropriate shall designate a person or persons ashore having direct access to the highest level of management. The responsibility and authority of the designated person or persons shall include monitoring the safety and pollution prevention aspects of the operation of each ship and to ensure that adequate resources and shore based support are applied, as required.

The undersigned affirms that _____ and _____ as an alternate _____ assigned pursuant to MS (Safety Management) Rules, 2026, as the "Designated Person(s)" for the following Indian registered Ship(s) (Enclose documentary evidence showing that the designated person and the assistant / alternate designated person (s) have the relevant qualification, training and experience as required) :

Ship Name	Type of Ship	Date of	Port of Registry	Official Number	Call Sign	IMO Numb

It is undertaken that the said "Designated Person(s)" will be available to the ISM cell of the Directorate

General of Maritime Administration, Mumbai at any time.

The full address of the "Designated Person(s)" to which official correspondence and materials may be sent:

Name of Company:

Company ID No.:

Address:

Telephone No. / Mobile phone No.:

E-mail address:

Signature:

Name:

Designation of Designated Person

Place:

Date:

Seal:

The undersigned affirms and understands that any change in "Designated Person(s)" shall be intimated to the D.G. Maritime Administration immediately and all the correspondences received or made by Designated person are on behalf of the undersigned.

Signature: _____

(Title of Top Management of Company)

Name: _____

Place and

Date:

Seal

Form No.: DGMA/DISM-09/Rev. 0/2026

Form: DSM-10



DIRECTORATE GENERAL OF MARITIME ADMINISTRATION GOVT. OF INDIA

DSM AUDIT SCHEDULE

Port:

Date:

Name of Vessel:

Name of Company:

Company ID No.:

Type of Audit: *INTERIM/INITIAL/INTERMEDIATE/RENEWAL/ADDITIONAL*

Language of Audit: English Other, please specify

Name of Audit Team:

Leader and Members:

Identification of Reference Documents associated with the SMS

Signature of Team Leader

Note: 1) Use reverse of the audit schedule for listing of the personnel attending opening/closing meeting.

2) Strike out whichever is not applicable.

Audit Report Distribution

Original to Auditee (Master in case of Ship/DP in case of Company)

Copies to Auditor (s), ISM Cell

Form No.: DGMA/DISM-10/Rev. 0/2026

Schedule-IX: International Ship Security and Port Facility (ISPS) Audits of Vessels and Port Facilities

1. Application:

The provisions of the Merchant Shipping (Ship and Port Facility Security) Rules, 2026 shall apply to;

- (a) To all Indian Vessels, irrespective of type and tonnage; and
- (b) To all Indian Port facilities.

2. Verification and Compliance of Vessels:

1) Ship Security Assessment (SSA):

- (a) As specified in the Rules, the Company Security Officer must ensure that the Ship Security Assessment (SSA) is conducted by individuals possessing the appropriate skills to evaluate the ship's security. The SSA may also be carried out by a Recognized Security Organization (RSO) duly recognized by the Central Government.
- (b) The conduct of the Ship Security Assessment (SSA) shall include an on-scene security survey of the vessel, covering the elements and scope specified in the applicable Rules.
- (c) The Ship Security Assessment (SSA) shall be documented, reviewed, accepted, and retained by the Company. The SSA shall be retained for the duration specified in the MS (Ship and Port Facility Security) Rules, 2026.

2) Ship Security Plan (SSP):

- (a) As specified in the Rules, each vessel shall have a Ship Security Plan (SSP) approved by the Registrar of the vessel. A RSO shall prepare the SSP for a specific vessel.
- (b) The Company Security Officer (CSO) shall submit the Ship Security Plan (SSP), duly prepared and reviewed by the RSO, to the vessel's Registrar for approval, along with the Ship Security Assessment (SSA) that was conducted. The Registrar shall approve the SSP within fifteen (15) days from the date of submission.
- (c) Any amendments to an existing approved Ship Security Plan (SSP), along with the Security Assessment (SSA) on which the amendments are based, must be submitted to the vessel's registrar for approval.

3) Interim Verification and Certification:

(a) After the approval of the Ship Security Plan (SSP), the company shall approach the Principal Officer (PO), Mercantile Marine Department (MMD) of the jurisdiction or RSO to carry out an interim verification of the vessel to ensure compliance with the code requirements and MS Rules. This interim verification is typically required in the following cases:

- i) The vessel is newly built.
- ii) The vessel is changing its flag.
- iii) The vessel was not previously under ISPS compliance.
- iv) The vessel is undergoing major modifications.
- v) The company is newly established and operating the vessel for the first time.

(b) After verification, the PO, MMD or RSO shall issue either an Interim International Ship Security Certificate (ISSC) or a Ship Security Certificate (SSC) for all vessels including domestic and non-convention vessels, as applicable. This certificate shall be valid for a period not exceeding six months and must be issued in the form specified in MS (Ship and Port Facility Security) Rules, 2026 or this schedule, as applicable.

4) Initial Verification and Certification:

(a) The initial verification shall be conducted by the PO, MMD of the jurisdiction or RSO after three (3) months of the implementation and issuance of the Interim ISSC or SSC. However, the initial verification shall be carried out before the expiry of the Interim ISSC or SSC.

(b) Upon successful completion of the initial verification, the PO, MMD or RSO shall issue a short term International Ship Security Certificate (ISSC) or Ship Security Certificate (SSC) valid for 5 months, and forward the verification report to the respective registrar of the vessel for issuance of a full-term ISSC or SSC, valid for five (5) years from the date of the initial verification, in the form specified in the Rules or this schedule, as applicable.

5) Intermediate Verification, Renewal Verification and Certification:

(a) For intermediate verification, the company shall submit an application along with the requisite fee to the jurisdictional PO, MMD where the vessel is operating or where the audit is planned subject to the initial or renewal verification was done by the RSO. Upon satisfactory completion of the audit, MMD may endorse the certificate for intermediate verification and shall forward the audit report to the Director General within ten (10) working days. In the case of vessels exclusively operating in offshore fields or in foreign

waters during the entire verification window period, the company shall directly approach the RSO for conducting the intermediate audit. The intermediate verification shall be carried out between the 2nd and 3rd anniversary date of the International Ship Security Certificate (ISSC) or Ship Security Certificate (SSC).

(b) Renewal verification shall be carried out by the jurisdictional PO, MMD or RSO with the same scope as the initial verification. This verification must be conducted within three (3) months prior to the expiry of the existing International Ship Security Certificate (ISSC) or Ship Security Certificate (SSC). Upon satisfactory completion of the renewal verification, the RSO shall either issue an interim or short-term ISSC or SSC or extend the existing certificate for a period of five (5) months, in accordance with Section 19.3.3 of Part A of the ISPS Code, as applicable. The RSO shall then forward the verification report to the vessel's Registrar for the issuance of a full-term ISSC or SSC, valid for five (5) years from the expiry date of the existing certificate in the form specified in the Rules or this schedule, as applicable.

(c) In cases where intermediate or renewal verification is not completed within the prescribed window period, the owners or managers of the vessels concerned shall approach the Director General for concurrence. The Director General will specify the scope of verification required for reinstating the validity of the certificate in relation to the missed intermediate verification. If the renewal verification is carried out within three months of the expiry of the ISSC or SSC, the certificate may be renewed for a period of five years from the date of expiry of the existing certificate. However, if the renewal verification is intended to be conducted beyond three months from the date of expiry, the Director General will issue appropriate directions to the jurisdictional PO, MMD or RSO, based on the submissions provided by the owners or managers of the vessel.

6) Additional Verification:

In the event that an Additional Verification is imposed by the RSO or the PO, MMD, the concerned authority shall promptly notify the Director General, providing clear reasons for the action. The Director General may then review the case and, based on its merits, and issue appropriate directions to the RSO or the MMD to carry out the additional audit.

7) Verification and compliance of Domestic Vessels:

The verification and compliance of domestic Vessels shall be conducted concurrently with the Initial or Annual or Intermediate or Renewal Surveys of the Safety certificates issued,

in accordance with the rules framed under the Merchant Shipping (MS) Act, 2025, or through an Executive Order issued by the Director General.

8) All passenger ships security audits shall be conducted exclusively by the Surveyors of the Directorate General of Maritime Administration (DGMA) in compliance with the Code and MS (Ship and Port Facility Security) Rules, 2026.

9) **Suspension or withdrawal of certification:**

The Director General may suspend or withdraw the ISSC or SSC, in case of the following circumstances, namely but not limited to:

- (a) corrective actions are not completed within the stipulated time;
- (b) periodical verification is not completed;
- (c) amendments to International Security are not taken into account;
- (d) there is evidence of minor non-conformity or major non-conformity; or
- (e) Substantial modification to the SSP are not notified to Director General.

3. Verification and Compliance of Ports:

1) Port Facility Security Assessment (PFSA):

- (a) In compliance with the Merchant Shipping (Ship and Port Facility Security) Rules, 2026 the Port Facility Security Assessment (PFSA) shall be conducted by the RSO, covering all aspects and elements as specified in the Rules.
- (b) The PFSA, after being reviewed by the RSO, shall be submitted to the Designated Authority—such as the jurisdictional PO, MMD , for review and approval subject to compliance with the Code and MS Rules within thirty (30) days from the date of submission.
- (c) The approved Port Facility Security Assessment (PFSA) shall be maintained under the control of the Port Facility and shall be subject to periodic review and assessment, as required under the MS (Ship and Port Facility Security) Rules, 2026.

2) Port Facility Security Plan (PFSP):

- (a) The RSO shall prepare the Port Facility Security Plan (PFSP) in accordance with the Merchant Shipping (Ship and Port Facility Security) Rules, 2026], and submit it to the Designated Authority—such as the jurisdictional PO, MMD— for review and approval subject to compliance with the Code and Rules within thirty (30) days from the date of submission.

(b) Any amendments to an existing approved PFSP, along with the corresponding PFSA that forms the basis for such amendments, must be submitted to the jurisdictional MMD for approval.

3) Statement of Compliance (ISPS Port):

(a) The initial verification, as per the scope defined in the MS (Ship and Port Facility Security) Rules, 2026, shall be carried out by a Surveyors nominated by the PO, MMD, within the jurisdiction of the concerned port facility. Upon successful completion of the initial verification, a Statement of Compliance, valid for five (5) years, shall be issued by the PO, MMD.

(b) The annual ISPS verification, as per the scope defined in the Rules, shall be conducted by the Surveyors nominated by the PO, MMD having jurisdiction over the concerned port facility. This verification shall take place within a window period of three (3) months before or after the anniversary date of the issued Statement of Compliance (SoC).

(c) Renewal verification shall be carried out by the Surveyors nominated by the PO, MMD, having jurisdiction over the concerned port facility. The scope of the renewal verification shall be the same as that of the initial verification and must be conducted within three months of the expiry of the Statement of Compliance (SoC) issued.

(d) Upon satisfactory completion of the renewal verification, the SoC shall be renewed for a period of five years from the expiry date of the existing certificate.

(e) In cases where annual or renewal verification is not completed within the prescribed window period, the port facility must approach the Director General for concurrence. The Director General will specify the scope of verification required for reinstating the validity of the certificate in relation to the missed annual verification. If the renewal verification is carried out within three (3) months of the expiry of the Statement of Compliance (SoC), the certificate may be renewed for a period of five years from the date of expiry of the existing certificate. However, if the renewal verification is intended to be conducted beyond three (3) months from the date of expiry, the Director General will issue appropriate directions to the PO, MMD of the jurisdiction, based on the submissions provided by the port facility.

4) Additional Verification:

In the event that an Additional Verification is imposed by the PO, MMD having jurisdiction, the concerned PO shall promptly notify the Director General, providing a clear and

detailed justification for the action taken. Upon review, the Director General may assess the merits of the case and, if deemed appropriate, advise the concerned PO to proceed with the additional audit.

5) Suspension or withdrawal of certification:

The Director General, may suspend or withdraw the Statement of Compliance (SoC) under the following circumstances but not limited to:

- (a) Corrective actions are not completed within the stipulated timeframe.
- (b) Periodical verification is not carried out.
- (c) Amendments to the Port Facility Security Plan (PFSP) are not incorporated.
- (d) There is evidence of either minor or major non-conformity.
- (e) Substantial modifications to the PFSP are not reported to the Director General.

4. Formats of Certificates and Forms:

- 1)** All Convention Certificates must be issued in the format specified by the organization.
- 2)** All other certificates and forms must be issued in the format prescribed in the respective rules or as specified in this Schedule.

Schedule-X: Maritime Labour Convention Inspections and Certification of Vessels

1. Applicability:

To all seafarers working on all Indian flag vessels engaged in commercial activities, but does not apply to —

- (a) Vessels which navigate exclusively in the inland waters or waters within, or closely adjacent to, sheltered waters or areas where any law for the time being in force relating to ports apply;
- (b) Vessels engaged in fishing activities;
- (c) Traditionally built vessels such as dhows and junks; and
- (d) Vessels of war or naval auxiliaries.

2. Inspections and Certification:

(1) DMLC (Part I and II) & Interim Certification Inspection:

- (a) The Shipowner is required to submit an application for the issuance of the Declaration of Maritime Labour Convention (DMLC) Part-I to the Registrar of the vessel, along with the applicable fees as prescribed by the Director General. Upon receipt and inspection of the application, the Registrar shall issue the DMLC Part-I, which outlines the national provisions and requirements that implement the Maritime Labour Convention (MLC), 2006.
- (b) The shipowner shall prepare the DMLC Part II in accordance with national requirements and submit it to the Registrar of the vessel. Upon review, the Registrar shall endorse the DMLC Part II.
- (c) After receiving DMLC Part I and DMLC Part II, the shipowner shall approach the Jurisdictional Principal Officer (PO), Mercantile Marine Department (MMD) or a Recognized Organization (RO) for an interim inspection of the vessel.
- (d) After an inspection by the PO, MMD or RO, an Interim Maritime Labour Certificate (IMLC) shall be issued for a period not exceeding 6 months under the following circumstances:
 - (i) For New Vessels on Delivery: When a vessel is newly constructed or entering into service for the first time.

- (ii) When a Company Takes Over Responsibility for the Operation of a Vessel: A change in the vessel's management or ownership.
- (iii) When a Vessel is transferred between Flags: The flag state changes, requiring a new inspection.

(2) Initial Inspection and Certification:

- (c) The initial MLC inspection shall be conducted by the jurisdictional PO, MMD or RO after three (3) months of the implementation and issuance of the Interim MLC Certificate. However, it shall be carried out before the expiry of the Interim MLC.
- (d) Upon successful completion of the initial inspection, the PO, MMD or RO shall issue a full term Maritime Labour Certificate (MLC) valid for 5 years from the date of the initial inspection, in the form specified in the Rules or this schedule, as applicable.

(3) Intermediate Inspection, Renewal Inspection and Certification:

- (d) For intermediate inspection, the company shall submit an application along with the requisite fee to the jurisdictional PO, MMD where the vessel is operating or where the inspection is planned subject to the initial or renewal inspection done by the RO and the Maritime Labour Certificate (MLC) was issued by the RO. Upon satisfactory completion of the inspection, the MMD shall endorse the certificate for intermediate inspection and shall forward the inspection report to the concerned Registrar of the vessel within ten (10) working days. In case the vessel is exclusively operating in offshore fields or in foreign waters during the entire inspection window period, the company shall directly approach the RO for conducting the intermediate inspection. The intermediate inspection shall be carried out between the 2nd and 3rd anniversary date of the Maritime Labour Certificate (MLC).

- (e) Renewal inspection shall be carried out by the jurisdictional PO, MMD or RO with the same scope as that of the initial inspection. This inspection shall be conducted within three (3) months prior to the expiry of the existing Maritime Labour Certificate (MLC). Upon satisfactory completion of the renewal inspection, the PO, MMD or RO shall issue the Maritime Labour Certificate (MLC) valid for 5 years from the date of expiry of the existing certificate.

- (f) In cases where intermediate or renewal inspection is not completed within the prescribed window period, the owners or managers of the vessels concerned must approach the Director General for concurrence. The Director General will specify the scope of

inspection required for reinstating the validity of the certificate in relation to the missed intermediate inspection. If the renewal inspection is carried out within three months of the expiry of the Maritime Labour Certificate, the certificate may be renewed for a period of five years from the date of expiry of the previous certificate. However, if the renewal inspection is intended to be conducted beyond three months from the date of expiry, the Director General will issue appropriate directions to the jurisdictional PO, MMD or RO, based on the submissions provided by the owners or managers of the vessel.

(4) Additional Inspection:

In the event that an Additional Inspection is imposed by the RO or the PO, MMD, the concerned authority shall promptly notify the Director General, providing clear reasons for the action. The Director General may then review the case and, based on its merits, advise the RO or the MMD to carry out the additional inspection.

3. Requirements for - Vessels less than 500 GT (FG and Coastal), ICV, and RSV

- (a) The Director General will issue a Declaration of Maritime Labour Compliance – Part I (DMLC-I) for all vessels of less than 500 GT, in compliance with the Maritime Labour Convention (MLC), 2006. This document shall serve as the DMLC-I for all vessels under 500 GT.
- (b) The Declaration of Maritime Labour Compliance – Part II (DMLC-II) shall be prepared in accordance with the requirements outlined in DMLC-I. It shall be signed and stamped by the owner of the vessel, and submitted to the MMD along with the required financial securities, as specified in the Rules. The original copy shall be kept on board the vessel.
- (c) Compliance verification inspection shall be conducted by the jurisdictional PO, MMD, or the RO, within the scope defined by the applicable Rules and in accordance with the Declaration of Maritime Labour Compliance (DMLC).
- (d) Upon satisfactory completion of the inspection, the MMD or RO shall issue a Statement of Compliance valid for five years from the date of the inspection in a prescribed format specified in the Rules or as attached to this schedule.
- (e) A minimum of two inspections shall be carried out within a five-year period. The interval between two inspections shall not exceed three years. The intermediate inspection

shall be conducted by the PO, MMD or RO. Owners or managers of such vessels are required to approach the jurisdictional PO, MMD for the intermediate inspection within the specified window period, provided that initial or renewal inspection was done by the RO and a Statement of Compliance (SOC) was issued by the RO.

- (f) Renewal inspection shall be carried out by the jurisdictional PO, MMD or RO with the same scope as the initial inspection. This inspection shall be conducted within three (3) months prior to the expiry of the existing Statement of Compliance (SoC). Upon satisfactory completion of the renewal inspection, the PO, MMD or RO shall issue a SoC valid for 5 years from the date of expiry of the existing certificate.

4. Suspension or withdrawal of certification:

The Director General may suspend or withdraw the MLC, in case of the following circumstances, namely but not limited to:

- (f) corrective actions are not completed within the stipulated time;
- (g) periodical inspection is not completed;
- (h) amendments to DMLC-I is not taken into account;
- (i) there is evidence of minor deficiency or major deficiency;

5. Formats of Certificates and Forms:

- 1) All Convention Certificates must be issued in the format specified by the organization.
- 2) All other certificates and forms must be issued in the format prescribed in the respective rules or as specified in this Schedule.



**GOVERNMENT OF INDIA
MINISTRY OF PORTS, SHIPPING AND WATERWAYS
(Name of the Issuing Authority)**

Certificate No. -

STATEMENT OF COMPLIANCE

Name of Ship	Distinctive number or Letters	Port of Registry	Gross Tonnage	IMO Number
Name and address of the Ship-owner			Type of Ship	

This is to certify that this ship has been inspected and verified to be in compliance with the requirements as stated in the MS (MLC) Rules, 2026 prescribed under MS Act, 2025.

This Statement of Compliance is valid until (dd/mm/yyyy) subject to inspection in accordance with MS (MLC) Rules, 2026 prescribed under MS Act, 2025.

Completion date of the inspection on which this Statement of Compliance is based was (dd/mm/yyyy)

Issued at on (dd/mm/yyyy)

Authority

Issuing

Place:.....

Date:.....

Name of Ship:

IMO No:

Endorsement for intermediate inspection

THIS IS TO CERTIFY that at an intermediate inspection found to comply with the requirements as stated in Merchant Shipping (Maritime Labour Convention) Rules, 2026.

Intermediate Inspection

Signed: -----

Official)

(Signature of authorized

Place: -----

Date: -----

(Seal or stamp of the authority, as appropriate)

Endorsement for Additional inspection*

Additional inspection

Signed: -----

Official)

(Signature of authorized

Place: -----

Date: -----

(Seal or stamp of the authority, as appropriate)

Schedule XI: Ballast Water Management Convention (BWM Convention)

Certifications

- 1. Applicability:** The provisions contained in this schedule shall be applicable to every ship of 400 Gross Tonnage (400 GT) or more, to which the provisions of this Convention are applicable.
- 2. Survey and Certification:**

Ships of 400 gross tonnage and above to which this Convention applies, excluding floating platforms, FSUs and FPSOs, shall be subject to surveys specified below:

- (1) An initial survey before the ship is put in service or before the Certificate is issued for the first time. This survey shall verify that the Ballast Water Management plan and any associated structure, equipment, systems, fittings, arrangements and material or processes comply fully with the requirements of the Convention;
- (2) A renewal survey at intervals specified by the Director General, but not exceeding five (5) years. If the renewal survey is completed within three (3) months before the expiry of the existing certificate, the new certificate shall be valid for five (5) years from the date of expiry of the existing certificate. If the renewal survey is completed after the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the previous certificate;
- (3) An intermediate survey within three (3) months before or after the second Anniversary date or within three months before or after the third Anniversary date of the Certificate, which shall take the place of one of the annual survey. The intermediate surveys shall ensure that the equipment, associated systems and processes for Ballast Water Management fully comply with the applicable requirements of the Convention and are in good working order. Such intermediate surveys shall be endorsed on the Certificate issued under the Convention;
- (4) An annual survey within three (3) months before or after each Anniversary date, including a general inspection of the structure, any equipment, systems, fittings, arrangements and material or processes associated with the Ballast Water Management plan to ensure that they have been maintained in accordance with the requirements of the convention and remain satisfactory for the service for which the vessel is intended. Such annual surveys shall be endorsed on the Certificate issued under the convention; and;

(5) An additional survey either general or partial, according to the circumstances, shall be made after a change, replacement, or significant repair of the structure, equipment, systems, fittings, arrangements and material necessary to achieve full compliance with this Convention. The survey shall be such as to ensure that any such change, replacement, or significant repair has been effectively made, so that the ship complies with the requirements of this Convention. Such surveys shall be endorsed on the Certificate issued under the Convention.

Note: 'Significant repair' means only those repairs or modifications that materially alter the approved design, treatment performance, or operational integrity of the Ballast Water Management System. Routine maintenance, like-for-like replacement of components, software updates, calibration, or minor corrective actions shall not be considered significant repairs.

(6) If a renewal survey has been completed and a new Certificate cannot be issued or placed on board the ship before the expiry date of the existing Certificate, the Recognized Organization (RO) notified by the Central Government may endorse the existing Certificate and such a Certificate shall be accepted as valid for a further period which shall not exceed five (5) months from the expiry date.

(7) If a ship at the time when the Certificate expires is not in a port in which it is to be surveyed, the Director General may extend the period of validity of the Certificate but this extension shall be granted only for the purpose of allowing the ship to complete its voyage to the port in which it is to be surveyed, and then only in cases where it appears proper and reasonable to do so. No Certificate shall be extended for a period longer than three (3) months, and a ship to which such extension is granted shall not, on its arrival in the port in which it is to be surveyed, be entitled by virtue of such extension to leave that port without having a new Certificate. When the renewal survey is completed, the new Certificate shall be valid to a date not exceeding five (5) years from the date of expiry of the existing Certificate before the extension was granted.

(8) In special circumstances, as determined by the Director General, a new Certificate need not be dated from the date of expiry of the existing Certificate as required by paragraph 1.2 of this schedule. In these special circumstances, the new Certificate shall be valid to a date not exceeding five years from the date of completion of the renewal survey.

3. Approval of Plans, Drawings and Manuals for issuance of Statutory Certificates:

(1) Any plan, drawing, manual or booklet towards the issuance of International Ballast Water Management Certificate of an existing vessel undergoing change of flag to India registry, shall be deemed to be approved by the Director General, if the same is duly approved by any RO, on behalf of any other Flag State Administration and no changes have been made to the same. No further approval from the Director General or any other RO is required in these cases, provided no substantial deviation from the applicable MS (Control and Management of Ship's Ballast Water) Rules,2026 and the BWM Convention.

(2) Any plan, drawing, manual or booklet related to a new construction ship must be approved by an RO notified by the Central Government, specifically for the purpose of statutory certification services. Each approved document must clearly display the name, designation, signature, and date of the authorized person who has certified it. If any of these details are missing or illegible, the local representative of the concerned RO shall be responsible for certifying the veracity of such documents.

4. Conduct of Surveys:

All vessel owners or managers must submit an application for the survey such as initial, renewal, annual and intermediate to the jurisdictional Principal Officer of the Mercantile Marine Department (MMD) or the RO notified by the Central Government, well within the designated window period. This is to ensure timely planning, execution of surveys, and issuance of statutory certificates. However, if the owners or managers intend to commence and complete the surveys outside the specified window period, or if the surveys are overdue, they must obtain prior concurrence from the Director General for conducting such overdue surveys beyond the allowed timeframe.

5. Suspension or Withdrawal of the Statutory Certificates:

The Director General may suspend or withdraw the International Ballast Water Management Certificate issued to any vessel, under the following circumstances, namely but not limited to:

- (j) Failure to maintain the equipment in accordance with the certificate.
- (k) Failure to comply with conditions specified in the certificate issued under BWM Convention.
- (l) Serious deficiencies found during flag or port state inspections.
- (m) Illegal discharge of untreated ballast water.

- (n) Malfunction or bypassing of ballast water treatment equipment without prior approval.
- (o) Non-compliance with the Ballast Water Management Plan.

6. Formats of Certificates and Forms:

- (1) All Convention Certificates must be issued in the format specified by the organization.
- (2) All other certificates and forms must be issued in the format prescribed by the respective rules or as specified in this Schedule.

Schedule XII: Anti-Fouling Systems Convention (AFS Convention) Certifications

1. Applicability: These provisions contained in this schedule shall apply to every vessel-

- (a) having a gross tonnage of four hundred or more; and
- (b) engaged in international voyages or plying along the coast of India:

Provided that nothing contained in this clause shall apply to -

- (i) Fixed or Floating platforms;
- (ii) Floating Storage Units (FSUs); and
- (iii) Floating Production Storage and Offloading units (FPSOs).

2. Survey and Certification:

(1) Vessels of 400 gross tonnage and above engaged in international voyages or plying along the coast of India excluding fixed or floating platforms, FSUs, and FPSOs, shall be subject to surveys specified below:

(a) an initial survey, before the vessel has been put into service, or before the International Anti-Fouling System Certificate or, the Indian Anti-Fouling System Certificate is issued for the first time, as the case may be,; and

(b) a survey, when the anti-fouling systems have been changed or replaced, and such change or replacement has been endorsed on the International Anti-Fouling System Certificate or the Indian Anti-Fouling System Certificate, as the case may be.

(2) The surveys referred to in sub-rule (1) shall be such as to ensure that the vessel's anti-fouling system is in accordance with and fully complies with the provisions of the Merchant Shipping (Control of Anti-fouling System) Rules, 2026 and the AFS Convention.

(3) The surveys of the vessels referred to in sub-rule (1) shall be carried out by the jurisdictional Principal Officer, Mercantile Marine Department (MMD) or the Recognized Organization (RO) notified by the Central Government. Owners of such vessel's shall make the application to the concerned well in advance to ensure timely planning, execution of surveys, and issuance of International Anti-Fouling System Certificate or Indian Anti-Fouling System Certificate, as the case may be, or endorse the certificate.

(4) The jurisdictional Principal Officer, MMD or an RO shall issue the *International Anti-Fouling System Certificate* or the *Indian Anti-Fouling System Certificate*, as applicable, after satisfactory verification of the records and certificates issued under the International Convention on the Control of Harmful Anti-Fouling Systems on Ships, 2001 (AFS Convention) by the previous Flag State Administration or the RO notified by the Central Government. Such issuance shall be subject to confirmation that the vessel complies with the provisions of the *Merchant Shipping (Control of Anti-Fouling System) Rules, 2026* and the requirements of the AFS Convention at the time of entry into the Indian Register.

3. Declaration on anti-fouling system:

A vessel of 24 meters or more in length, but less than 400 gross tonnage, engaged in international voyages (excluding fixed or floating platforms, floating storage units, and floating production storage and off-loading units), shall be required to carry a declaration signed by the owner or owner's authorised agent, and such declaration shall be accompanied by appropriate documentation (such as a paint receipt or a contractor invoice) or contain appropriate endorsement. The declaration shall be in the format specified in the Merchant Shipping (Control of Anti-fouling System) Rules, 2026.

4. Formats of Certificates and Forms:

- (1) All Convention Certificates must be issued in the format specified by the organization.
- (2) All other certificates and forms must be issued in the format prescribed by the respective rules or as specified in this Schedule.

Schedule-XIII: International Code for Ships Operating in Polar Waters (POLAR Code)

1. Application:

The provisions of this schedule shall apply to all Indian vessels, that are intended to proceed to, operate in, or navigate within the Polar water, including;

- (a) Conventional Vessel of gross tonnage five hundred (500) and above; and
- (b) Non-Conventional Vessel of gross tonnage below five hundred (500)

2. Definitions:

- (1) **“Category A vessel”** means a vessel designed for operation in polar waters in at least medium first-year ice, which may include old ice inclusions.
- (2) **“Category B Vessel”** means a vessel not included in category A, designed for operation in polar waters in at least thin first-year ice, which may include old ice inclusions.
- (3) **“Category C Vessel”** means a vessel designed to operate in open water or in ice conditions less severe than those included in categories A and B.
- (4) **“First-year ice”** means sea ice of not more than one winter growth developing from young ice with thickness from 0.3 m to 2.0 m.
- (5) **“Medium first-year ice”** means first-year ice of 70 cm to 120 cm thickness.
- (6) **“Thin first-year ice”** means first-year ice of 30 cm to 70 cm thickness.

3. Survey and Certification:

(1) Survey and certification of all categories of Polar Vessels complying with the requirements of the International Code for Ships Operating in Polar Waters (Polar Code) shall follow the same procedures applicable to cargo vessels under the relevant international conventions, Codes and guidelines issued by the International Maritime Organization (IMO), and which shall be in accordance with the internationally recognized Harmonized System of Survey and Certification (HSSC) guidelines, for both convention and non-convention vessels. However, the surveys and certification specific to compliance with the Polar Code shall be carried out as detailed below:

- (a) The Polar Ship Certificate shall be issued after an initial or renewal survey to a vessel which complies with the requirements of the Polar Code and the certificate shall be harmonized with the vessel’s other certificates issued under SOLAS convention.

- (b) A renewal survey shall be carried out at intervals specified by the Director General, not exceeding five (5) years. If the renewal survey is completed within three (3) months before the expiry of the existing certificate, the new certificate shall be valid for five (5) years from the date of expiry of the existing certificate. If the renewal survey is completed after the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the previous certificate.
- (c) An intermediate survey within three months before or after the second anniversary date or within three months before or after the third anniversary date of the certificate, which should take the place of one of the annual survey;
- (d) An annual survey within three months before or after each anniversary date of the certificate; and
- (e) an additional survey as the occasion arises and as decided by the Director General.

- (2) The Principal Officer (PO), Mercantile Marine Department (MMD) or Recognized Organizations (RO) may issue a Polar Ship Certificate for a maximum period of five (5) years from the date of expiry of existing full term certificate or endorse the certificate upon satisfactory completion of the applicable survey. The validity of the Polar Ship Certificate shall be harmonized with the vessel's other certificates issued under SOLAS convention.
- (3) The owners or managers of the Polar Vessel shall apply to the jurisdictional MMD or RO to conduct the required surveys within the designated window period. If the owners or managers intend to commence and complete the surveys outside the specified window period, or if the surveys are overdue, shall obtain prior concurrence from the Director General for conducting such overdue surveys beyond the allowed timeframe.
- (4) For the Intermediate Survey, the owner or manager of a Polar Vessel shall submit an application, along with the requisite fee specified by the Director General time to time , to the jurisdictional MMD where the survey is planned, provided that the survey and certification of the vessel was carried out exclusively by the RO and upon satisfactory completion of the survey, the MMD may endorse the certificate for Intermediate Inspection of the Polar Ship Certificate and further provided that, in cases where the Polar Vessel is operating exclusively in polar waters during the entire window period, the owner or manager may directly approach the RO for conducting the Intermediate Inspection; and the said Intermediate Verification shall be carried out between the 2nd and 3rd anniversary dates of the Polar Ship Certificate.

(5) All categories of vessels operating in Polar Waters shall be assessed for their operational limitations, provided with a Polar Water Operational Manual (PWOM) duly approved by any RO, and subsequently surveyed for the issuance of a Polar Ship Certificate.

(6) For category C Cargo vessels, if the operational assessment indicates that no additional equipment or structural modifications are needed to meet the Polar Code requirements for the intended voyage in Polar Waters, the MMD or RO shall issue a Polar Ship Certificate based on document verification alone and in such cases, the validity of the Polar Ship Certificate shall be confirmed at the next scheduled SOLAS-related survey.

(7) The MMD or RO shall verify compliance with the pollution-prevention measures specified in Part II A of the Polar Code prior to the issuance or endorsement of the Polar Ship Certificate, or any other relevant convention certificate, during the annual or intermediate surveys.

4. Formats of Certificates and Forms:

1. All Convention Certificates must be issued in the format specified by the organization.
2. All other certificates and forms must be issued in the format prescribed by the respective rules or as specified in this Schedule.

Schedule - XIV: Survey and Certification of Indian River- Sea Passenger Vessels

1. Applicability:

- (1) The provisions of this Schedule shall apply to the survey and certification of River-Sea Passenger Vessels which—
 - (a) are engaged exclusively in operations within the territorial waters of India; and
 - (b) carry not more than 400 passengers on board.
- (2) For the purposes of this Schedule, River-Sea Passenger Vessels shall be classified as follows:

(i) Type 3:

River-Sea Passenger Vessels engaged on voyages between Indian ports, where the maximum distance of such voyages does not exceed the distance that can be covered by a fully loaded vessel, operating at its deepest draught and optimum speed, within a period of forty-eight hours:

Provided that—

- (a) such voyages shall be undertaken during fair weather conditions and subject to a favorable weather forecast; and
- (b) such vessels shall, at all times, operate within a distance not exceeding five nautical miles from the nearest land.

(ii) Type 4:

River-Sea Passenger Vessels engaged in the coasting trade of India, during the course of which such vessels do not proceed beyond twelve nautical miles from the nearest land.

2. Surveys and Certification:

- (1) The hull, closing appliances, machinery, fire fighting appliances, life-saving appliances, navigation equipment, pollution prevention equipment and measures, radio installations and other equipment should be subject to the surveys specified below:

- (i) an initial survey shall be carried out before the River- Sea Vessel is put in service;
- (ii) A renewal survey at intervals specified by the Director General, not exceeding 12 months. If the renewal survey is completed within three months before the expiry of the existing certificate, the new certificate shall be valid for 12 months from the date of expiry of the existing certificate. If the renewal survey is completed after the expiry of the existing certificate, the new certificate shall be valid for 12 months from the date of expiry of the previous
- (iii) an additional survey, to be conducted as occasion may arise, and at such times and in such manner as may be determined by the Director General.

(2) Docking Surveys:

- (i) Any River - Sea Passenger Vessel of less than 15 years of age, shall undergo a minimum of one (1) of the inspections of the outside of the vessel's bottom during any five-year period in dry-dock. In all such cases, the maximum interval between any two dry-dock bottom inspections should not exceed 60 months.
- (ii) Any River - Sea Passenger Vessel of above 15 years of age but less than 30 years of age, shall undergo a minimum of two of the inspections of the outside of the vessel's bottom during any five-year period in dry-dock. In all such cases, the maximum interval between any two dry dock bottom inspections should not exceed 36 months.
- (iii) Any River - Sea Passenger Vessel of above 30 years of age, shall undergo the inspection of the outside of the vessel's bottom in dry dock during every alternative renewal River-Sea Passenger vessel's Safety Certificate Survey.
- (iv) Inspections of the vessel's bottom is required for the River- Sea Passenger Vessel Safety Certificate renewal survey, that are not conducted in dry-dock shall be carried out with the vessel afloat using CCTV. The bottom inspection to be carried out within the allowable time window for the River-sea passenger vessel safety certificate renewal survey (i.e. within the three-month time window before the expiry date of the certificate). Additionally, an inspection of the outside of the vessel's bottom conducted afloat is only to be carried out when

the conditions are satisfactory and the proper equipment and suitably qualified staff is available. Rudder bearing clearances need not be taken at the afloat inspections.

- (3) Owners or managers of River - Sea Passenger Vessel shall apply to the jurisdictional Mercantile Marine Department (MMD) or a Recognised Organisation (RO) notified by the Director General by an Executive Order to conduct surveys within the designated window period. If intend to initiate or complete surveys outside this period, or if the statutory surveys are overdue, then the owners or managers of River- Sea Passenger Vessel shall obtain prior approval from the Director General before the commencement of such surveys.
- (4) The validity of the Indian River- Sea Passenger Vessel Safety Certificate may be restricted to validity of anniversary date of the class certificate.
- (5) Boilers are required to be surveyed periodically, with a minimum of two internal examinations during each five-year special survey cycle; and the interval between any two such internal examinations shall not exceed 36 months. The internal examination in conjunction with Initial or renewal of Indian River- Sea Passenger Vessel Safety Certificate Survey. The external/visual examinations annually in conjunction with the renewal survey up to the age of 25 years. Beyond 25 years of age the boilers are required to undergo internal examination once in a year in conjunction with renewal survey of Indian River- Sea Passenger Vessel Safety Certificate.

3. Approval of Plans, Drawings, Manuals & Booklets for issuance of Statutory Certificates:

- (1) Any plan, drawing, manual or booklet towards the issuance of statutory certification of an existing river- sea passenger vessel undergoing change of flag to Indian registry, shall be accepted provisionally by the Director General, if such document is duly approved in accordance with the applicable convention on behalf of any other Flag State Administration by any RO as notified by the Central Government for considering issuance of short term certificates for three (3) months by the jurisdictional MMD or RO. The owners or managers of such vessels shall submit all the required plans to a RO notified by the Director General through an Executive Order within the validity of short term certificates for review and submitting the plans to the Director General for review and approval of the same and for

issuance of full term certificates by the jurisdictional MMD or RO. The Owners shall ensure such drawings / booklets/ manuals are legible and in English language and contain all the information required as per relevant instruments.

- (2) Any plan, drawing, or booklet related to a newly constructed river- sea passenger vessel shall be reviewed by an RO that has been notified by the Director General through an Executive Order in accordance with applicable MS Rules and Conventions, specifically for the purpose of statutory certification services and forwarding the plans to Director General for review and approval.
- (3) In the event of a change of flag, the jurisdictional MMD or RO undertaking the statutory surveys shall issue a Provisional International Tonnage Certificate (ITC) valid for six (6) months, based on the ITC issued under the previous flag. The jurisdictional MMD or RO shall forward this provisional certificate, along with the tonnage computations carried out by any RO to the Registrar of the vessel for issuance of a permanent ITC. However, if the tonnage computations are not carried out by an RO and the tonnage computations are not carried out in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Rules enacted under the Act , the jurisdictional MMD or RO as notified by the Director General through an Executive Order shall undertake a fresh tonnage measurement in accordance with the Rules and the Act to be carried out by RO . The revised tonnage computations must be submitted to the Registrar of the vessel within the validity period of the Provisional ITC for the purpose of issuing the permanent ITC.
- (4) For a *new construction vessel*, the jurisdictional MMD or the RO, as notified by the Director General through an Executive Order, shall carry out the tonnage measurement and computations in accordance with the provisions of the International Tonnage Convention, 1969 (ITC-1969) and the applicable Rules and the Act. Upon completion, the tonnage details shall be submitted to the Registrar of the vessel for the issuance of the Permanent International Tonnage Certificate (ITC).

4. Extension of Statutory Certificates:

- (1) No statutory certificate to be extended beyond its validity for the purpose of the commercial operation. However, a Vessel at the time when a certificate expires is not in a port in which it is to be surveyed, the Director General may extend the period of validity of the certificate for

a maximum period of 3 months only for the purpose of allowing the vessel to complete its voyage to the port in which it is to be surveyed.

- (2) The Director General, may grant an extension of the statutory surveys of any river- sea passenger vessel in the public interest, upon the request of the vessel owner or manager. Such an extension shall only be considered after due verification, review, and assessment of the ship's condition through a survey, the scope of which shall be determined by the Director General. The survey shall be carried out by a surveyor from the Directorate General or an RO notified by the Director General. Provided that, the statutory certificate shall not be extended beyond a maximum period of three (3) months under any circumstances.

5. Formats of Certificates and Forms:

- (1) All Convention Certificates must be issued in the format specified by the organization.
- (2) All other certificates and forms must be issued in the format prescribed by the respective rules or as specified in this Schedule.

Schedule-XV: Survey and Certification of International Code of Safety for Ships Carrying Industrial Personnel (IP Code).

1. Application:

(1) The provisions of the Industrial Personnel Code (hereinafter referred to as "the IP Code") shall apply to all cargo vessels of gross tonnage 500 and above, and High Speed Crafts which carry more than twelve (12) industrial personnel respectively.

(2) Notwithstanding sub-clause (1), the provisions of the IP Code shall, insofar as practicable, apply to cargo vessels of gross tonnage below 500 which carry more than twelve (12) industrial personnel in aggregate, comprising passengers, special personnel, and industrial personnel. Provided that the owner or manager of a vessel referred to in sub-clause (2) shall, where compliance with any provision of the IP Code is impracticable, make an application for exemption to the Director General through a Recognized Organization (RO) or Mercantile Marine Department (MMD), accompanied by a statement of reasons and supporting documentation justifying such exemption.

Note: The industrial personnel is to be read as the aggregate number of industrial personnel, special personnel, and passenger carried on board, where the number of passengers shall not exceed twelve (12)

2. Definitions:

(1) Industrial personnel (IP) means all persons transported or accommodated on board for the purpose of offshore industrial activities performed on board other vessels and/or offshore facilities.

(2) Offshore industrial activities mean the construction, maintenance, decommissioning, operation or servicing of offshore facilities related, but not limited, to exploration and exploitation of resources by the renewable or hydrocarbon energy sectors, aquaculture, ocean mining or similar activities.

3. Survey and Certification:

(1) Survey and certification of vessels that comply with the International Code of Safety for Ships Carrying Industrial Personnel (IP Code) shall follow the same procedures as those applicable to cargo vessels under all relevant international conventions, for convention and non-convention vessels. However, the survey and certification specific to compliance with the IP Code shall be conducted as detailed below:

(a) The Industrial Personnel Safety Certificate shall be issued after an initial or renewal survey to a vessel which complies with the requirements of the IP Code.

(b) A renewal survey shall be carried out at intervals specified by the Director General, not exceeding five years. If the renewal survey is completed within three months before the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the existing certificate. If the renewal survey is completed after the expiry of the existing certificate, the new certificate shall be valid for five years from the date of expiry of the previous certificate.

(c) an intermediate survey within three months before or after the second anniversary date or within three months before or after the third anniversary date of the certificate, which should take the place of one of the annual survey;

(d) an annual survey within three months before or after each anniversary date of the certificate; and

(e) an additional survey as the occasion arises and as decided by the Director General.

(2) The MMD or RO notified by the Central Government may issue an Industrial Personnel Safety (IPS) Certificate for a maximum period of five (5) years from the date of expiry of existing full term certificate or endorse the certificate upon satisfactory completion of the applicable survey. However, the validity of the IPS Certificate may be limited to the validity of the vessel's class certificate, or it may coincide with the survey cycle of the Classification Society or RO, as applicable while carrying initial or renewal survey of the IP vessel.

(3) The owners or managers of the IP Vessel shall apply to the jurisdictional MMD or RO notified by the Central Government to conduct the required surveys within the designated window period. However, if the owners or managers intend to commence and complete the surveys outside the specified window period, or if the surveys are overdue, shall obtain prior concurrence from the Director General for conducting such overdue surveys beyond the allowed timeframe.

(4) For the intermediate survey, the owner or manager of the Industrial Personnel (IP) vessel shall submit an application along with the requisite fee to the jurisdictional MMD under whose jurisdiction the vessel is operating, provided that the survey and certification of the vessel are carried out exclusively by the RO. Upon satisfactory completion of the survey, the MMD may endorse the certificate for intermediate inspection of Industrial Personnel Safety Certificate. In the case the IP Vessel exclusively operating in foreign offshore oil fields during the entire window period, the owner or manager may directly approach the RO for conducting the intermediate inspection. The intermediate verification shall be carried out between the 2nd and 3rd anniversary date of the Industrial Personnel Safety Certificate.

4. Formats of Certificates and Forms:

- (1) All Convention Certificates must be issued in the format specified by the organization.
- (2) All other certificates and forms must be issued in the format prescribed by the respective rules or as specified in this Schedule.

