



भारतसरकार/ GOVERNMENT OF INDIA  
पत्तन, पोत परिवहन और जलमार्ग मंत्रालय / MINISTRY OF PORT, SHIPPING AND WATERWAYS  
नौवहनमहानिदेशालय, मुंबई  
DIRECTORATE GENERAL OF SHIPPING, MUMBAI

**File No. 26-11/69/2020-NA - DGS**

**Date: 14.05.2021**

**DGS ORDER NO. 23 of 2021**

**Subject:** Conduct of Ships Statutory Surveys, Inspections and Audits for the purpose of issuance of Certificates, endorsements of Certificates and extension of validity of Certificates during COVID-19 Pandemic- reg.

1. Whereas vide **DGS Order 23 of 2020 dated 19.08.2020**, the Directorate has permitted extension of Ship's Statutory Surveys, upon fulfilment of certain requirements, for the following periods:
  - 1.1. Intermediate Surveys by a maximum period of 3-months beyond expiry of window period.
  - 1.2. Docking Surveys by a maximum of 6-months beyond expiry of 36 Months period since last Docking Survey. However, no one-time extension was permitted beyond 3-months.
  - 1.3. Renewal Surveys by 6-Months beyond expiry date. However, no one-time extension was permitted beyond 3-months.
  - 1.4. Extension of Annual Surveys by a maximum period of 3-months beyond expiry of window period subject to non-availability of Surveyor due to lock-down.
  - 1.5. Extension of renewal SMC Audits/MLC Inspection by a maximum period of 3-months beyond expiry date.
  - 1.6. Extension of Intermediate SMC Audits & MLC Inspections by a maximum period of 3-months beyond expiry of window period and
  - 1.7. Extension of ISM Audits by a maximum period of 3-months beyond expiry of Annual Window period or expiry date.
2. Whereas the **applicability of the said DGS Order** was extended by the Directorate vide DGS Order 34 of 2020 dated 03.11.2020 and then further extended till **31 March 2021** vide DGS Order 04 of 2021 dated 22.01.2021.
3. Whereas with the recent **second wave of COVID-19 pandemic** in India, subsequent lockdown imposed by various states and the impact of COVID-19 on RO Surveyors, repair docks,

technicians, and spares leading to non-conduct of surveys, audits and inspections in physical mode, the ship-owners have requested for further extension of statutory certificates validity.

4. Whereas the request of further extension in some cases is observed to be beyond permitted period of extension provided in the Conventions.
5. Whereas IMO vide its Circular Letter No.4204/Add.19/Rev.3 dated 8 February 2021 [Corona virus (COVID-19)] Guidance for flag States regarding surveys and renewals of certificates during the COVID-19 pandemic] has given certain technical and implementation advice to flag States when considering whether to permit statutory certificate extension beyond 3 months such as: exploring all means to complete surveys, extension period based on review of past history of ship's performance in port State control MOUs, class status records, status of the ship in RO's fleet quality monitoring records and other relevant evidence, assessing requirements for imposition of additional measures which provide a satisfactory degree of temporary assurance as the original prescribed "intent" of the measures in the IMO convention and alternative evidence for assessing compliance to account for: Confidence (*how accurate a representation of the actual condition is this?*) and Durability (i.e. *how long can this be considered a valid evidence before revalidation is required?*).
6. Taking all the above into cognizance, the Directorate has decided to consider develop procedures for conduct of Surveys/Audits/Inspections which are falling due on or before 31<sup>st</sup> August 2021, and issuance of Short Term Statutory Certificates.
7. The procedure for extension request of Annual statutory surveys, periodical Load Line inspections or Interim/Initial/Intermediate/Renewal Audits/inspections shall be governed by following:
  - 7.1. Since the convention provisions provide sufficient time ranging between 3-12 months to the ship owners to complete these surveys/inspections/audits, all efforts are required to be made by the company /owners to offer their ships to the RO for surveys, audits/inspections, in case these are within the range period.
  - 7.2. Nevertheless, considering the gravity of situation developed by second wave of COVID-19, the Directorate hereby permits conduct of Remote Annual statutory surveys & Interim/Initial/Intermediate/Renewal Audits/inspections *provided the stated remote survey/inspection/audit has been confirmed through a physical survey/audit/inspection (except for interim SMS/ISPS Audit or interim MLC inspection) within 6-months of this*

remote survey/audit/inspection and accordingly the endorsement/issuance of relevant Statutory Certificates subjected to following conditions:

- 7.2.1. The Vessel is an ESP Vessel less than 15-Years of age or a non-ESP Vessel less than 20-Years of age.
- 7.2.2. The vessel has not been detained under PSC/FSI since last survey or involved in a casualty requiring investigation by Administration/Port State.
- 7.2.3. Vessel has not been under any Condition Improvement/Monitoring programme of RO since last renewal survey.
- 7.2.4. RO must have procedures for satisfactory conduct of such survey/audit/inspection.
- 7.2.5. The SMC/ISPS Audit & MLC inspections which require Administration participation shall have mandatorily participation of Administration Surveyor appointed by Registrar of Vessel/Directorate irrespective of the vessel location. However, there is no need for participation for confirmatory physical audit/inspection irrespective of the location of the vessel.
- 7.2.6. No permission from Directorate is required for issuance/endorsement of relevant statutory certificates.
- 7.2.7. In case interim SMC/ISPS Audit or interim MLC inspection has been conducted using above provisions, the subsequent initial audit/inspection using above remote provisions is not allowed.

7.3. The permission to grant short term statutory certificates valid for a maximum period of 3-months for vessels which do not fall under above category shall be subject to:

- 7.3.1. Submission of satisfactory Risk Assessment based on a remote survey, past survey reports SMC/ISPS/DOC audit non-conformities, MLC deficiencies, and FSI/PSC deficiencies/records.
- 7.3.2. The vessel shall be offered for complete physical survey at first available opportunity for issuance of full term statutory certificates.

8. The procedure for issuance of Short Term Statutory Certificates due to non-availability of docks for completion of Intermediate Surveys requiring dry-dock shall be subject to following:

- 8.1. No Short Term Statutory Certificates shall be granted for a period more than 3-months after the expiry date of window period or 42 months since last dry-dock, whichever is earlier. Even in case of ships completing, 36-Months prior expiry date of window period for SAFCON intermediate surveys, the short term statutory certification shall be limited to 3-Months.
- 8.2. The permission to issue short term statutory certificate for those intermediate surveys requiring dry-dock (Safety-Construction) shall be granted subject to:
- 8.2.1. Submission of a firm evidence, of date of dry-dock availability from the selected dry-dock, that is, stemming agreement.
- 8.2.2. No short term statutory certificate shall be granted at a time for a period more than 3-months. In case of vessels where an extension is already obtained after submission of firm stemming agreement, no further issuance of Short Term Statutory Certificate will be considered unless valid reasons are furnished by the applicant towards the change in the stemming date.
- 8.2.3. RO recommendation after satisfactory general examination of hull, machinery, fittings (structural and non-structural) and equipment, satisfactory thickness measurement, as applicable, examination of forepeak ballast tank, aft-peak ballast tank and other representative water-ballast tanks, examination of fore-most and aft cargo holds and one other Cargo Hold in case of Single-Hull Bulk Carriers, trammel gauge reading, last poker gauge readings etc. as required by Directorate or RO and a CCTV examination of the underwater portion of the hull, appendages, propeller and rudder.
- 8.2.4. The Directorate shall accept for non-ESP Vessels and ESP Vessels (less than 15-years of age), a recommendation from RO based on a satisfactory report of underwater examination by RO after a review of video-recording of the underwater examination endorsed for witness by Master/CE/Superintendent/DPA of the vessel.
- 8.2.5. These Surveys are to be carried out prior grant of short term statutory certificates. In case RO Surveyor is unable to board the vessel, short term statutory certificate shall be granted till the port RO Surveyor can board the vessel and subject to submission of a satisfactory risk assessment based on remote survey/inspection by RO.

8.2.6. In case second issuance of short term statutory certificate is considered only in case of change in date of dry-dock, CCTV examination carried out during previous issuance of short term statutory certificate can be accepted by RO provided Master gives a declaration that no damage to underwater portion of hull or appendages has occurred since that underwater examination.

8.3. The Intermediate Surveys related to Statutory Certificates not requiring dry-dock (such as Safety Equipment/Radio/IAPP/IOPP/Load-Line etc.) are required to be completed in entirety through physical surveys. In case RO Surveyor is unable to board a vessel, short term statutory certificate shall be permitted to be issued for a maximum period of 3-months or till the port the RO Surveyor can board the vessel for physical surveys and after submission of a satisfactory Risk Assessment involving remote survey/inspection by RO.

9. The procedure for issuance of Short Term Statutory Certificates beyond 3-months from expiry date of statutory certificate or till 36 months since last dry-dock, which-ever is earlier due to non-availability of docks for completion of Renewal surveys:

9.1. No short term statutory certificates shall be granted for a period more than 6-months after the due date of renewal survey or 42 months since last dry-dock, which-ever is earlier.

9.2. No short term statutory certificate shall be granted for a period more than 3-months. In case of vessels where an extension is already obtained after submission of firm stemming agreement, no further extension will be considered unless valid reasons are furnished by the applicant towards the change in the stemming date.

9.3. The Short term statutory certificates for surveys requiring docking (Safety Construction) for a period beyond 36-Months since last dry-dock or beyond 3-months of expiry date, shall be granted subject to:

9.3.1. Submission of a firm evidence of date of dry-dock availability from the selected dry-dock, that is stemming agreement.

9.3.2. Renewal Surveys to be progressed as far as feasible.

9.3.3. Recommendation from RO after a satisfactory general examination of hull, machinery, fitting (structural and non-structural), equipment, satisfactory thickness measurement, as applicable, examination of forepeak ballast tank, aft-peak ballast tank and other representative water-ballast tanks, examination of fore-most and aft Cargo holds and one other Cargo Hold in case of Single-Hull Bulk

Carriers, trammel gauge reading, last poker gauge readings etc. as required by Directorate or RO.

- 9.3.4. A CCTV examination of the underwater portion of the hull, appendages, propeller and rudder.
  - 9.3.5. The Directorate shall accept for non-ESP Vessels and ESP Vessels (less than 15-years of age), a recommendation from RO based on a satisfactory report of underwater examination by RO after a review of video-recording of the underwater examination endorsed for witness by Master/CE/Superintendent/DPA of the vessel.
  - 9.3.6. In case second issuance of short term statutory certificate is considered, CCTV examination carried out during previous issuance of short term statutory certificate can be accepted by RO provided Master give a declaration that no damage to underwater portion of hull or appendages has occurred since that underwater examination.
  - 9.3.7. These Surveys are to be carried out prior grant of short term statutory certificates. In case RO Surveyor is unable to board the vessel, short term statutory certificate shall be granted till the port RO Surveyor can board the vessel and subject to submission of a satisfactory risk assessment based on remote survey/inspection by RO.
- 9.4. The Short term statutory Certificates for renewal Surveys not requiring dry-dock (SEQ/SRT/IOPP/IAPP/Load-Line etc.) shall be granted subject to:
- 9.4.1. Surveys are completed to the extent possible either prior extension or at first port.
  - 9.4.2. A risk assessment to be conducted for items outstanding to be completed at dry-dock such as 5-yearly load testing of life-boat/rescue boat and launching appliances, load test of accommodation ladder, calibration of oil-content meter etc. and recommended for extension with the Risk assessment.
  - 9.4.3. These Surveys are to be carried out prior grant of short term statutory certificates. In case RO Surveyor is unable to board the vessel, short term statutory certificate shall be granted till the port RO Surveyor can board the vessel and after submission of a satisfactory risk assessment based on remote survey/inspection by RO.

10. Extension of Annual/Periodical/5-Yearly Servicing Life-Saving, Safety and Navigational Equipment: Whereas Owners shall make all efforts to complete Annual/Periodical servicing of life-saving/Safety/Navigational items and are hereby permitted to use approved service supplier without specific manufacturer approval for that make and type of life-saving appliances, provided the servicing is carried out in presence of RO Surveyor. This extension can only be granted for a maximum period of 3-months subject to satisfactory:
- 10.1. Risk Assessment carried by RO Surveyor either by physically attending the vessel or, if the Surveyor cannot attend due to restrictions, on the basis of submission of documents/photographs/Videos, past servicing records, PSC/FSI deficiencies on said item after last servicing etc. and
- 10.2. A declaration from Master/CE stating continued effectiveness of these items during the period for which dispensation is sought.
- 10.3. No extension from expiry date of replacement of Safety/Life-Saving/Navigational items shall be granted/permitted.
11. Exemptions from Safe Manning Document: Any dispensation from safe manning shall be on case to case basis where-in a seafarer is required to be signed-off in an emergency and a risk assessment is submitted.
12. Interim/Initial/Annual/Renewal DOC Audit: Owners can opt for remote DOC Audit and issuance of short term DOC valid for a maximum period of 6-months may be issued and within this validity to complete the physical audit for issuance of endorsement/full-term certificate.
13. Change of Flag Surveys:
- 13.1. *This provision is only applicable where the change of flag is undertaken at ports which do not permit RO Surveyor to board the vessel once replacement crew joins the ship.*
- 13.2. *Issuance of Statutory Certificates:*
- 13.2.1. As far as possible, the Owner/Manager to ensure that RO Surveyor boards the vessel before replacement crew joins and carry out a satisfactory general inspection with specific attention to safety/life-saving/navigational equipment and their continued effectiveness. In case, he is unable to do so, the joining Master and CE have to carry out a joint inspection and send report to RO Surveyor

along with photographic evidence of satisfactory condition of ship, machinery and equipment.

13.2.2. The vessel shall be issued short term Statutory Certificates valid for a period of 6-months or shorter depending upon the expiry date of window period of Annual/Intermediate surveys, if within the range date or expiry date of certificate. These Short Term Certificates can be converted into full term certificates subject to satisfactory physical confirmatory surveys within that period.

13.2.3. No remote Annual surveys under Paragraph 7 shall be permitted in all such cases without completion of a physical confirmatory survey held prior to that.

13.3. Carving and Marking Surveys during Provisional Registration:

13.3.1. The joining Master of the Vessel has to send photographic evidence of the Carving and Marking carried out with his CoC details to RO Surveyor conducting provisional registration surveys.

14. The extension of tail-shaft surveys for a maximum period of 1-Year and boiler surveys for maximum period of 3-months shall be considered for all ship type and age based on a recommendation by RO after satisfactory physical or remote surveys.

15. Dispensation from fitment of Ballast Water Treatment System:

15.1. In case Docking Survey extension is granted, the dispensation from fitment of ballast water treatment system for compliance to BWM Convention shall be automatically granted.

15.2. For ships with de-harmonized IOPP Certificate, the dispensation from fitment shall be granted subject to submission of valid documents necessitating such dispensation.

15.3. All vessels granted dispensation shall meet all other requirements of BWM Convention and shall discharge Ballast Water complying with D-1 standards at Indian ports. Further following condition shall be imposed on Statement of Compliance:

15.3.1. Prior permission shall be taken from Maritime Administration of the foreign ports with regards to dispensation from BWTS granted irrespective of whether the vessel intends to discharge Ballast Water or not at that port and in case ballast water is required to discharged, permission to discharge ballast water complying with D-1 standards shall also be undertaken.



16. Extension of Flag State Inspections:

16.1. Whereas FSI are required to be carried out within 1-3 months of Annual/Periodical/Intermediate/Renewal surveys, all FSI stands extended in case any extension is granted for Annual/Periodical/Renewal Surveys.

16.2. Further this period of 1-3 months is hereby extended to 1-6 months for all those ships which have completed Annual/Periodical/Intermediate/Renewal Surveys in 2021 or will complete the same within the validity period of this Order.

16.3. However, any FSI imposed while granting extension under this Order has to be completed within the time given or extension sought separately from FSI cell of the Directorate.

17. All vessels issued with short term Statutory Certificates granted without having completed physical surveys are subject to following additional conditions to be imposed on relevant short-term Statutory Certificates:

17.1. Prior entering any foreign load/discharge port, will take permission from relevant Maritime Authorities for acceptance of statutory certificates in case where the short-term certificates are issued beyond Convention provisions.

17.2. The Company shall enhance monitoring by way of self-regulation such as increased internal audit, superintendent inspection of their vessels, etc. to ensure safety of ship and seafarer through its shore staff during this period of extension.

17.3. Any other conditions imposed by Directorate.

18. The Procedure and policy for above monitoring to be addressed in the company's SMS (Safety management System) and approved by DPA and records to be maintained for verification at next audit/FSI. During this time of pandemic, company/owners are urged to exercise due diligence while requesting for any such extensions, keeping primary importance to environmental protection and public health over its commercial / earning aspects of the vessel.

19. RO shall submit weekly a list of vessels for which short term certificate is granted or Remote Annual Surveys or Interim/Initial/Intermediate/Renewal Audit/Inspection has been conducted.

20. Acceptance of Extensions granted to Foreign Ships beyond what is permitted under International Conventions by their Administration: All such ships are required to take prior permission from jurisdictional Principal Officer prior entering an Indian Port. This may require submission of survey status, past Port state control reports etc. and imposition of any other requirement by jurisdictional Principal Officer such as inspection of ship by a Port State Control Officer.



(Amitabh Kumar)  
Director General of Shipping  
& Additional Secretary to the Govt. of India

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