



भारत सरकार / GOVERNMENT OF INDIA
पत्तन, पोत परिवहन और जलमार्ग मंत्रालय
MINISTRY OF PORTS, SHIPPING AND WATERWAYS

नौवहन महानिदेशालय, मुंबई
DIRECTORATE GENERAL OF SHIPPING, MUMBAI



Standard Operating Procedures

File No. 13-28/1/2024-ENGG - DGS

Date: 06.02.2024

Subject: Oversight of Recognized Organizations - reg.

1. The Indian Maritime Administration has delegated authority to Recognized Organizations (ROs) in compliance with the provisions of the Code for Recognized Organizations (RO Code) to perform, on its behalf, statutory certification and services under mandatory IMO instruments and its national legislation.
2. The ROs delegated are required to perform statutory certification and services by the use of competent surveyors and auditors who are duly qualified, trained and authorized to execute all duties and activities incumbent upon their employer, within their level of work responsibility in accordance with DGS Order 6 of 2013 and the RO Agreement.
3. The ROs have to make communication and giving information to the Indian Maritime Administration (Directorate General of Shipping and its allied Offices) according to the provisions of RO agreement and the provision of the RO Code.
4. The oversight performance of the Indian Maritime Administration for ROs is a primary and essential measure to ensure consistent and effective implementation of international instruments for ROs under IMO III Code. For that reason, all ROs will be subject to the oversight without exception. The purpose of the oversight monitoring programme is:
 - a) to ensure that the statutory and regulatory requirements are followed by ROs;

- b) to reduce the risks to the flag State and the coastal areas of India from foreign ships coming to Indian Ports; and
 - c) to evaluate the performance of ROs
5. The Indian Maritime Administration shall carry out an oversight mechanism which may at-least include Annual Audits of Recognized Organizations & Periodic Risk based Flag State Inspection and may include other methodologies such as below (not an exhaustive list) and which shall be detailed in various Orders/MSN/Circulars to be issued from time to time:
- i. Data on Port State Detentions of Indian ships and foreign ships coming to Indian Ports.
 - ii. Data on ISM/ISPS Audits and MLC Inspections carried out by RO.
 - iii. Participation in renewal statutory surveys carried out by RO in India.
 - iv. Conduct of Annual/Periodical/Intermediate surveys by Administration.

RO Audits

6. If a physical audit at the ROs office cannot be conducted due to the force majeure situation, the Indian Maritime Administration may conduct a remote audit via offline and virtual meetings to the ROs, based on mutual agreements and communication.
7. The Indian Maritime Administration may appoint Surveyors who have an understanding of the oversight requirements, audit principles, and the application of audit techniques. The minimum requirements and qualification of the surveyor / auditor are as follows:
- i. Surveyor appointed under the section 9(1) of MS Act 1958 and
 - ii. Has completed ISO 9001-2015 Quality Management System Lead Auditor Course or ISM Lead Auditor Course or IMSAS Auditor Course
8. The recognised organisation's management must define and document its policy and objectives for, and commitment to, quality and must ensure that this policy is understood, implemented and maintained at all levels in the recognised organisation. The recognised organisation's policy must refer to safety and pollution prevention performance targets and indicators.

9. The following minimum (but not limited to) areas are subject to audit;
- a. documentations of the RO's quality management system;
 - b. access to international instructions, circulars and guidelines;
 - c. incorporation of Indian Maritime Administration guidelines/ circulars/ notices/ orders into internal guidelines
 - d. access to the RO's documentations relevant to the flag State fleet;
 - e. cooperate with the flag State survey, inspection, audit and verification work;
 - f. provision of information and statistics; such as, but not limited to, damage and casualties relevant to the flag State's fleet;
 - g. RO's performance by other flags ships coming to Indian Ports;
 - h. RO's performance by Memorandum of Understanding (MoU) on Port State Control (PSC); and
 - i. RO's performance by flag State Inspection
 - j. Adequacy of resources in terms of technical, managerial and research capabilities to accomplish the tasks being assigned shall be determined based on the following:
 - i. Published and updated rules and procedures for the design, construction and periodic survey of merchant ships, having the quality of internationally recognised standards.
 - ii. its rules and procedures are complied with and an internal system to measure the quality of service in relation to these rules and procedures is put in place;
 - iii. the requirements of the statutory work for which the recognised organisation is authorised are satisfied and an internal system to measure the quality of service in relation to compliance with the international conventions is put in place;
 - iv. the responsibilities, powers and interrelation of personnel whose work affects the quality of the recognised organisation's services are defined and documented;
 - v. all work is carried out under controlled conditions;

- vi. a supervisory system is in place which monitors the actions and work carried out by surveyors and technical and administrative staff employed by the recognised organisation;
- vii. surveyors have an extensive knowledge of the particular type of ship on which they carry out their work as relevant to the particular survey to be carried out and of the relevant applicable requirements;
- viii. a system for qualification of surveyors and continuous updating of their knowledge is implemented;
- ix. records are maintained, demonstrating achievement of the required standards in the items covered by the services performed, as well as the effective operation of the quality system;
- x. a comprehensive system of planned and documented internal audits of the quality related activities is maintained in all locations;
- xi. the statutory surveys and inspections required by the harmonised system of survey and certification for which the recognised organisation is authorised are carried out in accordance with the provision set out in the Annex and Appendix to IMO Resolution A.1140(31) on survey guidelines under the harmonised system of survey and certification;
- xii. clear and direct lines of responsibility and control are established between the central and the regional offices of the recognised organisation and between the recognised organisations and their surveyors.
- xiii. The recognised organisation must be equipped at all times with significant managerial, technical, support and research staff commensurate with the size of the fleet in its class, its composition and the organisation's involvement in the construction and conversion of ships for which authorization has been granted. The recognised organisation must be capable of assigning to every place of work, when and as needed, means and staff commensurate with the tasks to be carried out. This requirement is considered to be met if the Organization is a member of International Association of Classification Societies.

Annual Review of Performance of RO

10. The Indian Maritime Administration may carry out annual review of performance of RO (and publish the report) based on the following performance indicators (but not limited to) when evaluating the performance of the ROs:

- a. Port State performance of Indian Ships issued statutory certificates by ROs.
- b. Flag state inspection performance of Indian Ships issued Statutory Certificates by RO
- c. Performance in port state control of ships coming to Indian ports and issued Statutory Certificates by ROs.
- d. Performance of RO in various PSC MoU's
- e. Results of RO's internal audits;
- f. The results of previous performance monitoring;
- g. Condition/ compliance of ships that receive survey and certification from the ROs.

Communication with RO

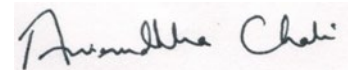
11. The Indian Maritime Administration shall provide the recognized organization (with all appropriate instruments of national law and interpretations thereof giving effect to the provisions of the conventions and specify, only for application to ships entitled to fly its flag, whether any additional standards of the Administration go beyond convention requirements in any respect) through one of more of the following methodologies:

- i. Orders, Circulars and Merchant Shipping Notices detailing various requirements shall be uploaded on the Directorates websites and the Recognized Organization shall access the same from time to time at <https://www.dgshipping.gov.in/> and/or
- ii. Forward the copies of above Orders, Circulars and MSN to all Recognized Organizations and/or

- iii. Upload the above Orders, Circulars and MSN on RO Audit Module on Swachh Sagar and available at <https://dgs-roaudit.irclass.net/> . All ROs have already being given a user id and password.

12. The Indian Maritime Administration has vide DGS Order 16 of 2013 has distributed the work between various wings and branches in the Directorate. The contact details of Administration Surveyors and Officers may be sourced from Directorates web-site.

This is issued with the approval of the Competent Authority and comes into effect from the date of issue of this SOP.



(Aniruddha Chaki)
E&SS-cum-DDG(Tech.)

To,

1. The Principal Officer/ Mercantile Marine Department, Mumbai/Kolkata/ Chennai/ Kandla/Kochi.
2. The Surveyor-in-charge, Mercantile Marine Department, Goa/Jamnagar/Port Blair /Visakhapatnam /Tuticorin /Noida /Haldia/ Paradip /Mangalore.
3. All Recognised Organizations.
4. CS/NA/Dy.CSS
5. All Recognised Organisations
6. Hindi Cell with request to provide Hindi translation.
7. Computer Cell with request to upload on DGS website