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नौवहन महानिदेशालय / DIRECTORATE GENERAL OF SHIPPING,

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सं./ No.: ENG/DGS/DOC(1)/2011-Domestic

दिनांक / Date :10.08.2011

12 AUG 2011

Engineering Circular No. 135

Subject: Procedure to be followed for audit and issuance of certificates under Domestic Safety Management (DSM) Code

1.0 Background:

As per DGS order No. 6 of 2010 (i.e. Notification for Construction, Survey, Certification & Operation of Indian River-Sea Vessels- Type 1, 2, 3 & 4) dated 15th November, 2011 and MS Notice 7 of 2011 dated 11th March, 2011, Type 3 & 4 River-Sea Vessels of 500 GT and more, are required to comply with the Annex-XII (Domestic Safety Management Code) requirement by 15th May 2011. Procedure for the issuance of DSM certificates / Qualification of DPAs/ Fees/ Formats etc. are as follows:

2.0 Procedures pertaining to issuance of Domestic Document of Compliance (DDOC):

- 1 Application for Domestic Document of Compliance (DDOC), will be made by the Company to the ISM Cell of the Directorate along with the following:
 - a) Applicable fees in favour of D.G. Shipping for Initial DDOC audit.
 - b) Background of the Company.
 - c) Organization structure giving the qualification and experience of personnel.
 - d) Type of ship for which DDOC is being applied.
 - e) SMS document in compliance with DSM Code for the required ship type.
 - f) Company Identification Number (optional).
 - g) Copy of Registered document for office premise.
 - h) Copy of Certificate of incorporation issued by Registrar of Companies.
 - l) Details of DPA with qualification details.
 - J) Duly filled DSM- Form-03.

2 On receipt and scrutiny of Company's application for Initial DDOC Audit, a letter of nomination for scrutiny of SMS manual will be issued by the Directorate to an auditor and a copy to Company for information. The auditor after satisfactory completion of preliminary scrutiny shall endorse and return the manual along with the recommendation to the ISM Cell of the Directorate

within the prescribed period. The ISM Cell of the Directorate, on receiving the recommendation, will nominate an audit team to the Company's premise to carry out the audit towards Initial verification for the identified ship type(s). On receiving the audit report from the auditor the certificate will be issued by the Directorate. In case of major non-conformities the Company may be advised to address the non-conformities. Companies may remit the certificate fee of Rs. 2000/- (two thousand rupees) along with the application.

.3 For the Intermediate/Renewal/Additional DDOC audit's following procedures are required to be followed by the Companies and auditors.

- a) The application for the applicable DDOC Audit shall be made along with audit request form DSM-03 with the appropriate audit fee, at least one month in advance from the date of the audit.
- b) For Intermediate DDOC audits, the company shall ensure that the audit is completed satisfactorily within 30 months (+/- 6 months), before the expiry of the full term certificate.
- c) For Renewal DDOC audits, request for audit date should be made at the earliest and the company shall ensure that the audit is completed satisfactorily at least two months before the expiry of the DOC to facilitate the Directorate to issue full-term DDOC with effect from the date of expiry.
- d) On satisfactory completion of DDOC audit and payment of required certification fee of Rs.2,000/- in favour of D.G. Shipping, Mumbai which may be paid along with the application for the audit, the certificate for the recommended period will be prepared by the Directorate and dispatched immediately.
- e) Failure in closing the non-conformities within the prescribed period (maximum of three months), will be treated as major non-conformity on the Company and their DDOC, as the case may be, is liable for the withdrawal.

.4 For the vessel audits Company's shall approach Indian Register of Shipping(IRS) after obtaining their DDOC for first assessment as per the instructions contained in MS Notice 07 of 2011 and there after as per the Code.

If the Company who is responsible for the operation of the River-Sea vessel is other than the owner, full name and details of such Company is required to be submitted to the DGS and IRS at the time of giving the vessel for the technical management (i.e DSM-01,DSM-02, DSM-08 & DSM-09).

3.0 Minimum Qualification of Designated Person Ashore (DPA).

S.No.	Category of Ships	Minimum Qualification
1.	Type-3 & Type 4 River sea vessels	Holder of COC as Master (NCV) or Chief Engineer (NCV), with adequate sea experience or, a Naval Architect/B.E (Mechanical Engineering) having relevant past experience (minimum 3 years) or, holder of COC as Chief Mate (FG) or Second

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	Engineer (FG) with 1 year rank experience or, holder of COC as 2 nd Mate (FG) or Marine Engineer Officer Class IV (FG) with 3 years rank experience.
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4.0 Fees for DSM Code Audits:

- a) Fee for Initial DDOC Audit – Rs. 25,000 (Twenty five thousand only)
- b) Fee for Intermediate/Renewal/Additional DDOC Audit – Rs. 15,000 (Fifteen thousand rupees only)
- c) Fee for the certificate – Rs. 2,000 (Two thousand rupees only)

5.0 DSM forms for certification under DSM Code:

All companies and auditors are advised to use the following format when transmitting information to the Directorate.

DSM-01, DSM-2, DSM-03, DSM-04, DSM-05, DSM-06, DSM-07, DSM-8, DSM-09, DSM-Audit Schedule.

Company who is responsible for the operation of the River-sea vessel is other than the owner must submit DSM-01, DSM-02, DSM-08 & DSM-09 forms to Directorate & IRS prior taking over management of the vessel

This issues with the approval of the Director General of Shipping & ex-officio Additional Secretary to the Govt. of India.

D. Mehrotra
(D. Mehrotra)

Dy. Chief Surveyor-cum-Sr.DDG (Tech.)

1. The Principal Officer, Mercantile Marine Department, Mumbai / Kolkata / Chennai / Kandla / Cochin.
2. The Surveyor-in-charge, Mercantile Marine Department, Goa / Jamnagar / Port Blair / Visakhapatnam / Tuticorin / Delhi / Haldia / Paradip / Mangalore.
3. All Classification Societies.
4. Indian National Shippers Association (INSA), Mumbai.
5. ICC Shipping, Mumbai.
6. All Shipping Companies.
7. The Chief Surveyor with the Govt. of India.
8. The Nautical Adviser to the Govt. of India.
9. The Engineering Branch.
10. The Nautical Branch.
11. MSL Branch
12. Guard Cell.
13. Computer Cell.