

## PART C

### CHAPTER 3

## ISSUE, RENEWAL AND ENDORSEMENT OF STATUTORY AND NON-STATUTORY CERTIFICATION

### 3.1 Introduction

3.1.1 This chapter covers the process for issuing, renewing and endorsing statutory and non-statutory certification, including use of the e-Forms system within the Consolidated European Reporting System/Single Vessel Database (CERS/SVD).

### 3.2 Definitions

ABBREVIATION or TERM	DEFINITION
MLD	Master List of Documents
MS1	Marine Surveyor Grade 1
CERS/SVD	Consolidated European Reporting System/Single Vessel Database
e-Forms	The new forms system within CERS. This is replacing the current e-Forms system and Delrina Formflow
TST	Ship Standards and Technical Performance Support Team
SIAS	Ship Inspection and Surveys system
THETIS	Paris MoU Inspection database
SCMS	Electronic library of MCA, EU and IMO documents

### 3.3 Responsibilities

National Director – Business Delivery Survey & Inspection (S&I)	<ul style="list-style-type: none"><li>• In charge of survey and inspection activities and is responsible to the Director of Maritime Safety &amp; Standards for the overall operational efficiency of Survey and Inspection activities in meeting the Business Plan objectives</li></ul>
Manager	<ul style="list-style-type: none"><li>• Responsible for allocating lead surveyors to surveys. It may be an Area Operations Manager (AOM), Surveyor in Charge (SIC) or Principal Surveyor (PMS) depending on the office and circumstances</li><li>• Responsible for ensuring appropriate survey resource is</li></ul>

	<p>available, including use of Class surveyors in accordance with MCA 320</p> <ul style="list-style-type: none"> <li>• Ensures surveyors follow MCA procedures and guidance</li> <li>• Reviews survey documentation, validates and signs certificates.</li> </ul>
Lead Surveyor	<ul style="list-style-type: none"> <li>• Undertakes survey (full or part) as per appointments and reports to Manager. The lead surveyor may be assisted by other surveyors</li> <li>• Completes all survey records</li> <li>• Ensures certification is produced (where appropriate) or endorses existing certification</li> <li>• The lead surveyor may be of any grade appropriate to the work being carried out (see SAN 22)</li> </ul>
Validator	<ul style="list-style-type: none"> <li>• This is the Manager, or specified deputy (or deputies), who has appropriate user rights to validate e-Forms records</li> <li>• Responsible for conducting validation of UNVALIDATED records in the e-Forms system for their office(s) (or another office if requested to do so)</li> <li>• Able to change the status of e-Forms records to DRAFT, COMPLETE or CANCELLED</li> </ul>
Administrator (TST)	<ul style="list-style-type: none"> <li>• Responsible for actioning status change requests from a lead surveyor to change e-Forms records to DELETED, DRAFT or CANCELLED</li> <li>• Responsible for resolving discrepancies in ship details between SVD and form (unverified forms), in consultation with appropriate persons within MCA, and adding a ship which does not appear on the system</li> </ul>

### 3.4 Actions

#### 3.4.1 On completion of a survey, the lead surveyor either:

##### .1 *Issues a new certificate*

The process shown in the flowchart at Annex 1 must be followed for the production of all certificates that are available in the new e-Forms system. The e-Forms User Guide should be consulted for specific instructions on how to access and use the system.

The Lead Surveyor should place their name in the first box on the Declaration, sign the hard copy accordingly and place a copy on file. Other surveyors involved in the survey should sign the hard copy as appropriate. The Managers name should appear as the second name on the Declaration as the “Authorised Official issuing the Certificate” – this name is then automatically transferred to the Certificate and any Record or

Supplement attached to the Certificate; no signature is required from the Manager on the Declaration (that box can be left blank when printed).

Certificates are required to be validated on the e-Forms system. The Certificate should normally be signed, and the form validated, by a surveyor of Grade 7 or above who is independent of the survey. In exceptional circumstances (e.g. lack of resources) a surveyor of Grade 7 or above may validate a form and sign a certificate in which they have had survey involvement provided prior consent has been given by the National Director. Surveyors may sign short term certificates in the circumstances specified in the Survey and Certification Instructions to Surveyors (MSIS 23). Any Record or Supplement attached to the Certificate should also be signed by the person signing the Certificate.

As far as practicable, the form should be validated (i.e. changing the status from UNVALIDATED to COMPLETE) prior to the certificate being issued. It is recognised that in some cases this may not be possible, in which case UNVALIDATED forms should be validated at the earliest opportunity. Outstanding UNVALIDATED forms will be monitored by TST.

Where a short term certificate is issued by the Lead Surveyor, it is not necessary for it to be validated in e-Forms prior to issue. In addition to placing their name in the first box on the Declaration, the Lead Surveyor's name should also be entered in the box for "Authorised Official issuing the Certificate". Validators must ensure that any short term certificates that have been issued from their office(s) do not remain as UNVALIDATED.

The validation section of the Declaration is only required to be completed on the electronic version of the form. This section will remain empty on the file copy (as the form is printed prior to validation). No signature is required by the Validator; this box is provided for future use of electronic signatures.

If, following renewal survey, it is not possible to issue a new certificate prior to the expiry of the existing certificate, where available the appropriate endorsement for extending the certificate on completion of the renewal survey should be used to allow time for the new certificate to be issued (this can be up to 5 months from the original expiry date).

or;

.2 *Endorses the existing certificate*

The original certificate onboard the ship must be endorsed accordingly. In addition, the file copy of the certificate and the electronic version of the certificate in e-Forms must also be endorsed. In lieu of the file copy of the

certificate being endorsed, where the file is unavailable to remote workers, a record must be included on the file to indicate that the original certificate has been endorsed.

Annual endorsements need only be recorded in e-Forms where an e-Forms record of the Certificate exists for that ship. Certificates issued using Delrina Formflow or the former e-Forms system, prior to the introduction of the new e-Forms system, do not need the annual endorsement recorded electronically. See also 6.7 below.

3.4.2 When a Manager is away from the office, they may nominate a deputy (or deputies) to take on the Validator role in their absence. The deputy will be responsible for validating eForms records and signing certificates. In exceptional circumstances, and with the agreement of the National Director, the deputy may be an MS1 where a Grade 7 is not available. Managers should consider the use of a Grade 7 from another office, if this is practical (e.g. if sufficient time is available for a certificate to be sent to and from another office for signature). If the deputy does not have Validator rights for e-Forms, the Manager must submit a written request to the Administrator (TST) for the deputy to be given such rights on a temporary basis.

3.4.3 Where a certificate is available on the new e-Forms system, this must be the ONLY version used. Any retained access to Delrina Formflow and the former e-Forms system is for reference only, or where a certificate has not yet been made active on the new system. The Manager (or deputy) must ensure that the correct certificate version has been used before signing a certificate (e-Forms certificates can be identified by a Unique Identifier printed at the top of each page of the form). The 'Form Finder' on the Survey Operations Branch microsite (Controlled Documents – Guides and Manuals – Form Finder) provides an up-to-date list of where each form can be found.

3.4.4 There are a number of forms available on the new e-Forms system that have also been made available as PDF's on the MLD in order that a blank copy of the form can be printed in advance (e.g. detention, prohibition, improvement notices). If a blank form has been utilised, which is also available on e-Forms, it is the responsibility of the issuing surveyor to make sure that the issued form is exactly copied into e-Forms as soon as practicable thereafter. An uploaded scanned copy of the form is not an acceptable alternative. This requirement is necessary for the completeness of information within CERS/SVD and is in addition to any photocopy of the issued form that is placed on any MCA file.

## 3.5 References

3.5.1 The following are available on the MLD:

REF NO	DOCUMENT NAME AND LINK	COMMENT
Doc 50	Records Management Guide	Includes file retention periods
MCA 320	Appointment of non-MCA Surveyors to Undertake Surveys on behalf of the MCA	
MSIS 38	Instructions for Surveyors on Inspection Policy	
MCA 900	Procedure for the issue of a United Kingdom or International Fishing Vessel Certificate	
MSF 5100	Application for Survey form	
MSF 5108	Job Control Sheet	
MSF 1602/3	Report of Inspection/Survey	
MSIS 23	Instructions for the Guidance of Surveyors on Survey and Certification Policy	
<b>SAN 22</b>	<b>Surveyor Competencies, Qualifications and Development</b>	<b>Replaces OAN 412</b>
SAN 8	Finance: Fee charging regime for chargeable work undertaken by MCA surveyors on behalf of Red Ensign Group (REG) members as from 1 <sup>st</sup> April 2012	
	e-Forms User Guide	Will be added to the MLD. Available from Corporate Projects team

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# ANNEX 1

## E-FORMS PROCESS FLOWCHART



