



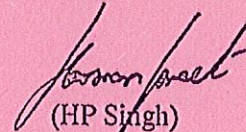
COAST GUARD HEADQUARTERS
POLICY LETTER 003/ 2022

FM/1150

10 May 22

REGISTRATION OF YARDS/FIRMS FOR REFIT OF ICG SHIPS

1. The policy for registration of yards/firms for refit of ICG ships was issued vide CGHQ letter of even number dated 26 Jun 20 in order to enhance safety, ensure quality aspects and timely completion of refits.
2. The policy had been in force for last 02 years and the feedback indicated that the existing policy warrants review in order to widen the refitting vendor base by registering suitable yards/firms with MoU/licence for ship repair and docking infrastructure to ensure competitive and quality refits. The revision of the policy was considered essential for optimal utilization of docking and ship repair infrastructure available all across the country, increasing the number of competent yards and firms towards achieving timely execution of refits in commensuration with the increasing fleet strength.
3. Accordingly, the previous policy has been reviewed to address the above mentioned aspects and the revised policy is enclosed.
4. This policy is issued in supersession to the policy promulgated vide CGHQ letter FM/1150 dated 26 Jun 20.


(HP Singh)
DIG

Principal Director (FM)
for Director General

Enclosure Procedure for Registration

- Appendices**
- 'A' Application for Registration
 - 'B' Assessment Report
 - 'C' Certificate for initial/renewal of registration issued by CGHQ
 - 'D' Certificate for initial/renewal of registration issued by HQ, CG Seaboards/RHQ(A&N)
 - 'E' Application for Renewal/ Up-gradation of Registration
 - 'F' Refit Yard/ Firm Performance Rating Performa

Annexure Annexure to Appendix 'E' Application for Renewal of Registration

**PROCEDURE FOR REGISTRATION/ RENEWAL OF REGISTRATION OF
REFITTING YARDS/FIRMS**

1. Refitting yards/firms with minimum three years of experience in the field of ship repair/refits may be considered for capability assessment and registration. The detailed procedure for registration of yards/firms is given in Joint Services Guide (JSG) on assessment and registration of firms for Defence JSG 015:2018 (Fourth Revision). The assessment of refitting yards/firms will be necessary for registration for undertaking refits of ICG ships. Coast Guard RHQs or DHQs, whenever approached by yards/firms, shall provide necessary guidance along with relevant application forms and related information for registration. The refitting yards/firms are to submit the application for registration/renewal of registration to respective RHQs where the firm intends to undertake the refits specifying locations in the prescribed format available on ICG website (www.indiancoastguard.gov.in) with an intimation to CGHQ/respective HQ, CG Seaboards where the yard's/firm's registered office is situated.

2. On receipt of application of refitting yard/firm for initial as well as renewal of registration from respective RHQs, the HQ, CG Seaboards/RHQ(A&N) to constitute a Board of Officers for capacity assessment of the yard/firm. The composition of board for assessment of yard/firm applying for refits of different class of ICG ships shall be as follows:-

- | | | | |
|-----|---|---|------------------|
| (a) | DIG/Commandant (Tech) | - | President |
| (b) | One Officer from CGRPT/ BMU | - | Member |
| (c) | One Technical Officer from Region | - | Member Secretary |
| (d) | EO/LO/Naval Architect of OPV experience | - | Member |

Note (i) In addition, any other member may be co-opted, if considered necessary by the Board.

(ii) No constituent of the Board shall be below the rank of Commandant (JG).

(iii) Commandant (Tech), when nominated in the capacity of President of the Board, shall have minimum four years seniority in the rank.

(iv) The President of Board is to be an officer other than CSO (Tech)/CSO (Refit).

(v) The Board constituted for evaluation of the yard/ firm towards IB refits can have DTO (within the jurisdiction of concerned DHQ) as member secretary.

3. Ships' refitting yards/firms already registered for refits of OPV/ SRV (PCV Class) & FPV Class of ships need not be evaluated/ registered separately for refits of IBs. They are to be considered competent for undertaking refits of IBs in addition of their existing registered capacity. The maximum number refits of IBs that can be offloaded concurrently to these firms over and above their registered capacity for OPV/ FPV refits are as follows:-

- | | | | |
|-----|-------|---|------------|
| (a) | CAT 1 | - | Max 03 IBs |
| (b) | CAT 2 | - | Max 02 IBs |

4. The assessment of a yard/firm would be based on three criteria i.e. vital, essential and desirable. Out of this, vital component is a mandatory requirement/first step to be qualified for being eligible for registration and yard/firm need to meet the benchmark in respect of financial capacity for each class of ships as indicated at Para 9(a)(iv) of Appendix 'B'.
5. On qualifying the vital criteria at Para 9(a)(i) to (iv) of Appendix 'B', the Shipyard/firm will be categorised based on their infrastructure capability.
6. Following are the steps for undertaking assessment for initial registration:-
 - (a) Firm may obtain assessment application registration form as per Appendix 'A' from CGHQ/nearest HQ, CG Seaboards/Regional Headquarters/District Headquarters. Alternatively, prepare a typed copy of format or download from ICG website (www.indiancoastguard.gov.in). Firms are required to fill up the registration form and submit to respective RHQs under whose area the firm's premises is located under intimation to CGHQ and respective HQ, CG Seaboards.
 - (b) On receipt of application for initial registration/renewal of registration, respective RHQs are to scrutinise the application and documents for preliminary compliance with policy guidelines within two weeks and forward to respective HQ, CG Seaboards [except in case of RHQ(A&N)]. HQ, CG Seaboards/RHQ(A&N) to constitute a Board of Officers to assess the details given in firm's application form. In case of deficiency, if any, observed in firm's application, the Board is to seek the same directly from the refitting yard/ firm.
 - (c) The Board of Officers will prepare assessment report as per Appendix 'B' and submit Board Proceedings to the concerned convening authority i.e. HQ, CG Seaboards in case of main land and RHQ(A&N) in case of A&N Island.
 - (d) The entire procedure for convening of Board, visit of BoO to verify the technical infrastructure, available resources, financial strength, etc is to be completed within 45 days of receipt of filled application form at respective HQ, CG Seaboards/RHQ (A&N).
 - (e) The HQ, CG Seaboards/RHQ(A&N) are to forward the duly analysed assessment report along with recommendations in case the Yard/Firm has been assessed to be capable of undertaking refits of OPVs/SRVs/FPVs to reach Directorate of Fleet Maintenance at CGHQ within three weeks of submission of assessment report by the Board. Scanned copy of assessment report and recommendation also to be emailed to Dte of Fleet Maintenance to cater for postal delays.
 - (f) In case the Firm/Yard has been assessed to be capable for undertaking refit of IBs, respective HQ, CG Seaboards/RHQ(A&N) to analyse the Board Proceedings and process case for approval of Coast Guard Commander (Western or Eastern Seaboard) or Regional

Commander(A&N) as the case may be. On acceptance or otherwise of initial registration/renewal of registration, the Yard/Firm to be intimated by concerned HQ, CG Seaboards/RHQ (A&N) keeping CGHQ under intimation. The registration certificate will be issued as per Appendix-'D' by respective HQ, CG Seaboards/RHQ(A&N). CGHQ, HQ, CG Seaboards and all RHQs will be intimated by registering authority about registration and eligibility for participation of Yard/Firm for refit of IBs.

(g) On receipt of assessment report at Coast Guard Headquarters, in respect of Yards/Firms assessed and recommended for undertaking refits of OPVs/SRVs/FPVs the Directorate of Fleet Maintenance will examine and process the case for approval of the DGICG. The acceptance or otherwise will be intimated to the firm through concerned HQ, CG Seaboards / Regional Headquarters (A&N).

(h) In case of acceptance for initial/renewal of registration for OPV/SRV/FPV Class of ships, the registration certificate will be issued as per Appendix 'C'. HQ, CG Seaboards /Regional Headquarters will be intimated by Coast Guard Headquarters about registration and eligibility for participation of the firm for refit of OPV/SRV/FPV Class of ships.

7. The firm applying for its initial registration with ICG to carryout refits will be considered for refit of FPV/IB Class of ships subject to qualifying Technical/Financial capability assessed by Board of Officers before entrusting with refit of OPV/SRV Class of ships. The Yard/Firm may apply for upgradation of its refitting capacity as per para 11 below.

Validity Period of Registration

8. The initial registration as well as renewal of registration will be valid for three years.

Procedure for Renewal and Upgradation of Registration

9. The refit firms are required to apply for renewal of registration at least four months before expiry of registration as per format at Appendix E. Concerned HQ, CG Seaboards and RHQs may encourage the refit firms to apply for renewal well in time considering the time involved in assessment procedure with Administrative Authorities. The registration of any firm not applied in time for renewal, will lapse automatically and thereafter the firm will be required to submit application for fresh registration for consideration. However, in such cases firms should be considered for registration as per its previous capacity and type of refit undertaken during last valid registration and approving of registration in specified category will be solely based on the assessment report by the Board.

10. Visit of the Board to firm's facilities shall be mandatory during assessment for renewal of registration as in the case of initial registration to enable the Board for physical verification of current status of firm's technical infrastructure in comparison to that during previous assessment.

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11. Application for upgradation of firm's capacity shall be considered only after completion of one year from initial registration or on satisfactory completion of at least two refits.
12. On approval of Board Proceedings recommending renewal/upgradation of registration, the registration renewal certificate (Appendix 'C'/ Appendix 'D', as applicable) shall be issued with a validity of three (03) years.

Past Performance of the Firm

13. The Board is required to examine the active participation of Yard/firm in ICG tendering process. In this regard the number of RFPs received by the firm is to be verified and in response participation of firm in at least one tender enquiry every year since their last registration is essential. The following details are to be brought out in the Board Proceedings:-
 - (a) Total number of tender enquiries issued to the firm since last registration.
 - (b) Total number of tender enquiries in which the firm participated.
 - (c) Total number of tender enquiries in which the firm became L1.
14. In order to carry out a uniform and quantified analysis of the firm's past performance in ICG, the Board must obtain the firm's performance rating feedback (Appendix 'F') from the respective RHQ under which the firm is registered. Under this performance rating template, every refit is to be assessed by the ship, the concerned CoA and RHQ (where ship is borne) for quality, delivery and service. The quality and delivery ratings are to be forwarded by the ship/COA within two weeks of refit completion to the respective Regional Headquarters under intimation to respective HQ, CG Seaboards and CGHQ. The service rating can be forwarded within seven months of refit completion by the respective HQ, CG Seaboards to the Coast Guard Headquarters so that the performance during guarantee period is evaluated. A minimum average overall rating of 3 out of 5 is considered essential for any renewal of registration/ upgradation.

Grace Period

15. Where application for renewal/re-registration has been made before due date in terms of Para 9 above and fresh registration certificate for renewal is delayed in processing, then previous certificate will remain valid for a period of three months from the date of expiry. Extension of grace period beyond three months shall be solely at the discretion of respective Approving Authority based on recommendation from HQ, CG Seaboards /RHQ (A&N), as applicable, and same to be based on genuine grounds. However, during the grace period, no fresh RFPs/refit contract are to be issued/signed with the firm, if renewal of registration is not recommended by the assessment board. Exceptions in grace period applicability may be considered in case of force majeure or other justified circumstances.
16. In case a refitting firm is issued RFP the during currency of its registration, it should not normally be denied an opportunity to participate, during the bidding process under the pretext of expiry of registration.

Scrutiny of Assessment Report

17. It is essential that the assessment report by the Board of Officers is prepared with due care after considering all factors as laid down in guidelines/matrix and scrutinised thoroughly at all levels before recommendations are made to the Approving Authority.

Assessment of Financial Health

18. While carrying out the firm's assessment, apart from verification of technical capacity, it is also necessary to assess the financial soundness of the firm to invest and incur expenditure for initial development, raw materials and various other inputs required for execution of refit. For this purpose, the audited Balance Sheets, Profit and Loss Statements, Turnover, Net worth, Solvency, Financial Ratios (Current Ratio, Acid Test Ratio and Debt to Total Asset Ratio) for previous three financial years duly certified by Chartered Accounts are to be obtained from the firm seeking registration. The provisional balance sheets are not to be considered by the Board, also the net worth and turnover to be verified for actual values and not as projected for a fiscal. Waiver if any, given by Govt Authorities to firm in submission of financial document, IT return leading to delay in submission of current audit balance sheet etc. due strife/turmoil/natural disasters/other Force Majeure situations can be taken into account by Board and accordingly reflected in the Board Proceedings. The significance of financial ratios are as follows:-

- (a) Current Ratio = Current Asset/Current Liability. Apparently higher the ratio, greater the short term solvency.
- (b) Quick (Acid Test) Ratio = (Current Asset - Inventory)/Current Liability. The firm maintaining higher value is considered to have higher proportion of current assets in liquid form.
- (c) Debt to Total Asset Ratio = Debt/Total Asset. Lower the ratio less is the risk.

Action on Rejection for Registration

19. Initial registration cases not recommended by the Board, the BPs may be approved at HQ, CG Seaboards or RHQ(A&N) level under intimation to CGHQ and the firm may be intimated about the decision clearly bringing out the grounds on which the application has been rejected. However, the firm shall be eligible to apply again after six months. Cases for renewal of registration recommended as well as not recommended by the Board/Region/ HQ, CG Seaboards are to be forwarded to CGHQ for approval, except for renewal of registration/upgradation for IB Class of ship which are to be dealt at respective HQ, CG Seaboards /RHQ(A&N). If the firm has been rejected or blacklisted or debarred for registration by any Central/State Govt/PSU authority dealing with similar jobs and is seeking to get registered with ICG, it will be incumbent upon the firm to furnish all information regarding previous assessment results. No firm should be considered for registration with ICG during currency period of such blacklisting/debar.

Assessment Fee

20. The assessment fee, as fixed by the Govt. from time to time, will be paid by yards/firms by Military Receivable Order (MRO) only, prior to the actual assessment being taken up. This fee is non-refundable. For initial and renewal of registration as well as for upgradation, the assessment fee is as follows:-

- (a) Large Scale Industries - INR 25,000 + GST (As applicable)
- (b) MSME Industries - INR 10,000 + GST (As applicable)

21. The assessment fee will also be payable if change of location/premises of works of the firm involves fresh visit of Board of Officers. The assessment fee will not be charged in case the change in name/status of firm i.e. from propriety to partnership or Private Limited, etc. which does not warrant fresh visit of Board of Officers.

Grading of Firm

22. Every firm will be graded in category based on its vital criteria assessment with respect to infrastructure available with them and their financial status. Each category will be further sub divided into Class A, B or C based on numerical assessment by the Board constituted to verify the firm, as per the assessment report given at Appendix 'B'. Accordingly, the following grading with capping on type and total number of refits as tabulated will be awarded to the firms.

Category	Class A 75% & above Marks	Class B 65-74 % Marks	Class C below 65% marks
CAT 1 OPV/SRV(PCV)			
CAT 1CI (Yards with captive infra upto OPV/SRV refits)	Max 04 ships (restricted to 02 OPVs) of all types of refits at a time inclusive SR/NR/MR of SRVs(PCV) (one at a time)	Max 03 ships (restricted to 01 OPV) of all type of refits at a time inclusive SR/NR of SRV(PCV) (one at a time)	Unfit for Registration
CAT 1HI (Yards with MoU/licence with entity having captive infra)	Max 03 ships [restricted to 02 OPV (upto NR)] inclusive SR of SRV (one at a time)	Max 03 ships [restricted to 01 OPV (upto NR)/SRV (upto SR) one at a time]	

Category	Class A 75% & above Marks	Class B 65-74 % Marks	Class C Below 65 % Marks
<u>CAT 2 FPV</u>			
CAT 2CI (Yard with captive infra upto FPV refits)	Max 03 FPVs (all types of refits at a time)	Max 02 FPVs (all type of refits) at a time	
CAT 2HI (Yard with MoU/licence with entity having captive infra)	Max 03 FPVs (upto NR)	Max 02 FPVs (01 SR and 01 NR)	
<u>CAT 3 (IBs)</u>			Unfit for Registration
CAT 3CI (Yard with Captive Infra upto IB refit)	Refit of 03 IBs at a time	Refit of 02 IBs at a time	
CAT 3HI (MoU/licence from yards having Infra)	Refit of 02 IBs at a time	Refit of 01 IB at a time	
<u>Initial Registration</u>			
<u>CAT 4</u>			
CAT 4CI (Yard with captive Infra)	Refit of 03 ships (Upto SR of FPV one at a time plus 02 IBs)	Refit of 02 Ships (FPV & IB)	
CAT 4HI (MoU/licence from yards having Infra)	Refit of 02 ships (FPV & IB)	Refit of 01 IB at a time	

Note:

(a) In addition to above grading system, the registration for multiple refits to a firm will be subject to fulfilling the proportionate requirement of annual turnover as per the financial matrix at Para 9 (iv) of Appendix 'B', assessment recommendation of the Board and decision of approving authority.

- (b) OPV/SRV(PCV) - CAT 1 (CI or HI)
 FPV - CAT 2 (CI or HI)
 IB - CAT 3 (CI or HI)

* CI- Captive Infra (Yard's having Captive Infra)

* HI- Hired Infra (Yard's having MoU/licence with entity having Captive Infra)

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(c) Captive infra indicates either owning a dry dock or leased dry dock and hired Infra includes MoU/licence/letter of commitment for dry dock facility with any agency having infrastructure (relevant and valid documents to be produced for scrutiny of the Board). The same is also to be duly validated for duration of registration.

(d) Registered yards not applying for renewal of registration in time, allowing the registration period as well as grace period (if given) to expire, will be considered for re-registration and the category/class for registration will be based on Board assessment with particular emphasis on change of infrastructure /technical/financial capability in the interim.

Conflict of Interest

23. The Board in accordance with CVC guidelines has to clearly bring out any issues of 'Conflict of Interest' involved in the registration of firm. The 'conflict of Interest' shall continue to persist till such time the concerned firm or their personnel have relationship with any official of ICG who are directly or indirectly related to tendering or execution process of contracts. The recommendation of the Board regarding 'Conflict of Interest' will be examined at Coast Guard Headquarters/HQ, CG Seaboards (as applicable) for acceptance/rejection of firm for registration in accordance with GoI orders in vogue.

Issue of Registration Certificate

24. After capacity assessment and approval of recommendations to register the firm by the DGICG, a registration certificate as per specimen given at Appendix 'C' will be issued by Coast Guard Headquarters for OPV/SRV/FPV Class of ships. Copies of the registration will be issued to the firm under intimation to all HQ, CG Seaboards/RHQs. Registration certificate for refit of IB Class of ships will be issued by respective HQ, CG Seaboards/RHQ(A&N) [(refer Para 6(f) above)] and copies endorsed to CGHQ/other HQ, CG Seaboards /RHQs.

Cancellation of Registration

25. The registration of a firm may be revoked/cancelled by CGHQ/respective HQ, CG Seaboards (as applicable) on following grounds:-

(a) If a firm fails to execute a contract or fails to execute it satisfactorily against the specification laid down in the contract.

(b) If a firm no longer has the technical staff or equipment considered necessary to undertake the refits as per the guidelines issued by CGHQ.

(c) If a firm is declared bankrupt or insolvent or its financial position has become unsound.

(d) If a firm has been rejected or blacklisted or debarred by any Central/State Govt/PSU authority in dealing with similar nature of jobs.

26. The above said grounds when brought to the notice of CGHQ/respective HQ, CG Seaboards /RHQ(A&N) as applicable for Class of ship, a show-cause notice will be issued to the firm with the approval of Competent Authority about the action proposed and grounds thereof.

27. On consideration of the reply or after the expiry of the notice period, CGHQ/respective HQ, CG Seaboards /RHQ(A&N), as applicable for Class of ship, will pass appropriate orders for cancellation/revoke of registration accordingly. In case of action initiated for reasons indicated at Para 25 (a) and (b) above, then based on reply, the orders for revoke may be made applicable only in respect of relevant categories of registration. For reasons at Para 25 (c) and (d) above, the registration is to be revoked.

YARD/ FIRM ASSESSMENT APPLICATION FORM FOR REGISTRATION

(To be filled and submitted by Yard/ Firm)

Note(a) Yard/ Firm will sign all the pages of application and enclosures along with the stamp.

(b) All enclosures will be serially numbered and linked with below paras.

1. Name of the Firm -
2. Address -
 - (a) (i) Registered Office with Pin code -
 - (ii) Telephone Number with STD Code -
 - (iii) Mobile Number -
 - (iv) Fax -
 - (v) Email -
 - (b) (i) Factory/Works with Pin Code -
 - (ii) Telephone Number with STD Code -
 - (iii) Mobile Number -
 - (iv) Fax -
 - (v) Email -
 - (c) (i) Branch (if any) With Pin Code -
 - (ii) Telephone Number with STD Code -
 - (iii) Mobile Number -
 - (iv) Fax -
 - (v) Email -
3. Date and year of Establishment/Incorporation -
4. Category of Industry - Large/MSME
5. Nature of Company - Proprietary/Partnership
Private Ltd./Public Ltd.
6. Name and Address of Proprietor/MD/Partner -
7. Nature of Business - Shipbuilder/Ship Repairer
8. Details of all Refits/Repairs undertaken in last 3 years -
9. Details of Registration with other Govt Organizations -
(Attach copies of only valid Registration Letters/ Certificates)

10. Details for which Assessment and Registration required:-
- (a) Types of Refits -
 - (b) Class of Ships -
11. Does the firm have the following for undertaking refits as indicated in serial 10.
- (a) Docking facilities /MoU/Licence/commitment letter with any organization having such facilities (provide details) - Yes/No
 - (b) Proper berthing facility ensuring overall safety - Yes/No
 - (c) Safe Navigation to the repair/ refit premises - Yes/No
 - (d) Whether firm is blacklisted/debarred/application for registration rejected by any agency - Yes/No
 - (e) Workshop to handle refit/repair activities of ships - Yes/No
 - (f) Accommodation availability for ship's crew - Yes/No
12. Has the firm got ISO Certification (If yes, give details along with copy of certificate) - Yes/No
13. Details of firm's financial status (in Rs. Crores).
- (a) Capital Outlay/Working Capital of the firm -
 - (b) Solvency -
 - (c) Net Worth -
 - (d) Annual Turnover (for last three years)-
 - (e) Financial Ratios (Current Ratio, Acid Test Ratio and Debt to TotalAsset Ratio) -
 - (f) ICRA or any reputed firm's credit rating, if any -
14. (a) Name of Bankers, A/c No & Address with Pin code -
(b) Telephone Number with STD Code -
(c) Fax -
(d) Email -
15. Details of manpower employed as per following format:-
- (a) Executive/Technical/Supervisory/Administration Staff.

Sl	Name	Designation with details of nature of work carried out	Date of employment with yard	Qualification	Experience	Remarks

(b) Skilled/Unskilled Permanent Workers.

Sl	Name	Designation with details of nature of work carried out	Date of Employment with yard	Qualification	Experience	Remarks

(c) Skilled/Unskilled Casual Workers

Sl	Name	Designation with details of nature of work carried out	Date of Employment with yard	Qualification	Experience	Remarks

16. Details of Sub-Contractors as per following format:-

Sl.	Name of Firm, Address, Tele no. & Fax no.	Contact Person	Nature of Work offloaded by Yard	Past Experience (period working with yard)

17. Attach copies of following documents:-

- (a) Audited Balance Sheets, Profit & Loss A/c with total accumulated losses, if any and financial ratios (Current Ratio, Acid Test Ratio and Debt to Total Asset Ratio) for last three years, duly certified by Chartered Accountant.
- (b) Firm's annual turnover for last three financial year
- (c) Net worth
- (d) Source of finance with borrowing limit & bank guarantee
- (e) Latest bank solvency certificate
- (f) Income Tax Returns for last three financial years
- (g) GST Registration Certificate
- (h) Military Receivable Order of assessment fee of requisite amount deposited to the Govt. at the time of application
- (j) Latest Receipt of EPF/ESIC contribution of permanent employees.

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- (k) Copies of latest partnership deed or affidavit of sole proprietorship
- (l) Relevant information with complete details about sister concerns/ subsidiaries, if any.
- (m) Experience details (as per column 19 below) in design, construction, repair, refits, etc.
- (n) An Affidavit w.r.t. the fact whether any of the relatives of the proprietor/ partner of the yard is in employment of Coast Guard. If yes, provide details.
- (p) An affidavit to the effect that the firm is not banned/blacklisted/debarred for registration by any Central/State Govt Depts/PSUs.

18. Details of important facilities & infrastructure as per following format:-

Sl No	Description of Eqpt. & Spec	Capacity	Make & Model	Qty	Date of Purchase
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19. Past Experience / Principal Customers

SL. No.	Name & Address	Job Undertaken	Work Order/Contract No. and Date	Contract value
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20. Future Plan (if any) in respect of expansion

Declaration

I/We confirm that the information furnished above is correct. In the event of any information given by me/us is found incorrect/false at any time, I/We understand our registration will be cancelled without notice, besides any other appropriate action against me/us.

Signature

Name

Seal of the firm

Date :
Place :

Note This application (in duplicate) is to be submitted to respective RHQs (under whose jurisdiction the firm intends to undertake refits) under intimation to CGHQ and respective HQ, CG Seaboards. After scrutiny, if it is decided to carry out capacity assessment, the firm will be suitably informed by HQ, CG Seaboards /RHQ (A&N) about date of visit of assessment team to firm's premises. In case the application is rejected, the ground of rejection to be intimated to the Firm/Yard by respective HQ, CG Seaboards /RHQ(A&N), Assessment fees in any case is non refundable.

ASSESSMENT REPORT ON YARD/ FIRM

1. Convening Order number and date -
2. Composition of assessment board -
 - (a) President (Name, Rank & Designation)
 - (b) Members (Name, Rank & Designation)
3. Name and address of registered office/ workshop of the firm -
4. Type of assessment - Initial/Renewal/ Up-gradation
5. Date of receipt of application for registration in the establishment -
6. Date of receipt of complete documents from the firm -
7. Date of visit of assessment board -
8. Type of refit and class of ship for which assessment carried out -
9. Firm's survey assessment report.

(a) Vital Criteria [Yard must qualify serial (i) to (iv) below]

Subject	Yes	No	Remarks
(i) Dry-dock			
(aa) Availability of own or leased dry dock facilities. (or) (ab) Yard's MoU/License for drydock facility with any agency (Relevant authenticated & valid documents to be produced)			Q / F
(ac) Class of ships for which dry dock facility suitable.	--	--	OPV/SRV/ FPV/IB

Q - Qualify

F - Fail

(ii) Berthing (aa) Navigational approach to the repair yard/ berthing/ dry docking location should be safe from navigational hazards (Depth of the channel to be brought out in BPs to verify adequacy for different class of ship) (ab) Availability of own sheltered berth to carryout refit activities, 'or' yard's MoU with any agency for providing berthing facility during the period of refit.	Yes	No
(iii) Whether yard blacklisted or debarred by any agency? (Furnish details specifying period)	Yes	No

(iv) Financial Capability

(aa) Yard to meet following financial benchmark for OPV/ FPV class of ships.

Type of Refit	Solvency		Turnover		Networth	
	OPV/ SRV	FPV	OPV/ SRV	FPV	OPV/ SRV	FPV
	Minimum amount in Rs. Crore					
NR/ SR	05	03	15/10	03/02	04	02
MR	10	04	22	06	06	03
Board to specify the amount						

(ab) Yard to meet following financial benchmark for IB class of ship.

Refit of IBs	Solvency	Turnover	Networth
	Minimum amount in Rs. Crore		
Up to 02/ 03 IBs	01	02/ 03	01
01 IB	0.5	01	0.5
Board to specify the amount			

Note

(aa) The turnover indicated in para 9(iv) is to be calculated of firm's average turnover of last three financial year

(ab) Captive infra includes either owning a dry dock or leased dry dock or Yard's MoU/licence for dry dock availability with any agency (document to be valid at time of application and to be periodically revalidated during the term of registration)

(ac) While considering a firm for multiple refits, the Board has to proportionately calculate the turnover criteria.

(v) Financial Performance and Soundness(15 Marks)

Sl.	Description	Max. Marks	Marks obtained
aa	Year- wise turnover during last 3 years	02	
ab	Present net worth	03	
ac	Amount of bank solvency	05	
ad	Overall financial soundness based on the financial health as per financial ratios (very strong/ strong/ satisfactory/ poor)	05	

Note The marks of serial (v) above to be added with marks of essential & desirable parameters at para (b) and (c) below.

(b) Essential Criteria

<u>Subject</u>		<u>Marks obtained</u>
(i) <u>Availability of Yard Facilities (Own/Hired)</u>		
Sl.	Description	Max Marks
aa	Hydro jet, Fresh water connection at jetty and Shore power supply 3ph, 415V, 50Hz	03
ab	Fire main supply	03
ac	Storing space at jetty	02
ad	Safety & security of refit ships at jetty/ dry dock including FF, de-flooding and DC arrangements *	06 (min 04 for qualifying)
ae	First aid and medical arrangements	01
(ii) <u>Past 03 years experience of Yard</u>		
(aa) <u>Repair of Vessels</u>		
Sl.	Description	Max Marks
ba	Ship repair approx tonnage of OPV/SRV 'or'	10
	Ship repair approx tonnage of FPV 'or'	07
	As sub-contractor to public/ major pvt. shipyard	05
(ab) <u>Refit of Vessels</u>		
Sl.	Description	Max Marks
ba	ICG/ IN ships including Annual U/W routines of IBs, Auxiliary Barges etc. 'or'	15
	Merchant Ship, Tugs and Barges	12
(iii) <u>Workshop Level (owned/ leased or hired)</u>		
Sl.	Description	Max Marks
aa	Small scale workshop 'or'	08
	Medium scale workshop 'or'	10
	Large scale workshop 'or'	13
	Heavy scale workshop	15

* Note- The minimum qualifying marks for serial (b) (i) (ad) are 04 for considering the firm for registration failing which the firm will be rejected. The Board is to critically evaluate the safety, security, fire and flooding prevention aspects while carrying out the assessment.

(iv) Quality Assurance System

Sl.	Description	Max Marks
aa	Well documented and related procedure/ instructions	02
ab	Dedicated quality assurance team	03
ac	Training and experience of QA team	03
ad	Conducting internal quality audit	02

(v) Availability of Manpower

(Minimum 02 years experience)

Sl.	Description	Max Marks
aa	Experienced Senior Managerial/ Executive staff	02
ab	Experienced, project management staff (Dock Master/ Hull/ Engg/ Electrical)	02
ac	Experienced field supervisory staff (H/E/L/ FF/Ship safety)	03
ad	Experienced skilled/ unskilled workers	03
ae	Total percentage of employees on permanent roll	05

Note If the strength of employees on permanent roll in a firm is at least 20% of its total employee then Board may award full marks for serial (aa). Marks may be proportionately adjusted as per varying strength.

(c) Desirable Criteria

(i) Availability of Appropriate accommodation for Ships' Crew for 75% period of refit duration

Sl.	Description	Max Marks
aa	Own accommodation facility for officers & EP	02
	Arrangements of accommodation on hiring basis	01

(ii) Cranes (Max marks - 02)

(aa) Availability of crane at dry dock 'or' Availability of crane at repair jetty 'or' Capacity of jetty crane & adequacy for ship's class

(iii) Load testing of lifting appliances (Max marks - 01)

Availability of load testing facility

(d) Grading of Yards

Category	Class A 75% & above Marks	Class B 65-74 % Marks	Class C Below 65 % Marks
<u>CAT 1 OPV/SRV(PCV)</u>			
CAT 1CI (Yards with captive infra upto OPV/SRV refits)	Max 04 ships (restricted to 02 OPVs) of all types of refits at a time inclusive SR/NR/MR of SRVs (PCV) (one at a time)	Max 03 ships (restricted to 01 OPV) of all type of refits at a time inclusive SR/NR of SRV(PCV) (one at a time)	Unfit for registration
CAT 1HI (Yards with MoU/ licence with entity having captive infra)	Max 03 ships [restricted to 02 OPV (upto NR) inclusive SR of SRV (one at a time)]	Max 03 ships [restricted to 01 OPV (upto NR)/SRV (upto SR) at a time]	
<u>CAT 2 FPV</u>			
CAT 2CI (Yard with captive infra upto FPV refits)	Max 03 FPVs (all types of refits at a time)	Max 02 FPVs (all type of refits) at a time	Unfit for registration
CAT 2HI (Yard with MoU/ licence with entity having captive infra)	Max 03 FPVs (upto NR)	Max 02 FPVs (01 SR and 01 NR)	
<u>CAT 3 (IB)</u>			
CAT 3CI (Yard with Captive Infra upto IB refit)	Refit of 03 IBs at a time	Refit of 02 IBs at a time	
CAT 3HI (MoU/licence from Yards having Infra)	Refit of 02 IBs at a time	Refit of 01 IB at a time	Unfit for registration
<u>Initial Registration</u>			
<u>CAT 4</u>			
CAT 4CI (Yard with captive Infra)	Refit of 03 ships (Upto SR of FPV one at a time plus 02 IB	Refit of 02 Ships (FPV & IB)	
CAT 4HI (MoU/ licence from Yards having Infra)	Refit of 02 ships (FPV & IB)	Refit of 01 IB at a time	

10. **Board's Recommendation.** Based on the scrutiny/assessment of documents, and available infrastructure as per the survey assessment report, the firm is recommended for registration by the Board as per the details given below:-

- | | | |
|---|---------------------------------|---|
| (a) Marks obtained | - | |
| (b) Specify grading | | <u>Category</u> |
| (i) OPV/ SRV (PCV) | - | CAT 1 (CI or HI) |
| FPV | - | CAT 2 (CI or HI) |
| IB | - | CAT 3 (CI or HI) |
| Initial Registration | - | CAT 4 (CI or HI) |
| (ii) Marks | | <u>Class</u> |
| 75% & above | - | Class A |
| Between 65% to 74% | - | Class B |
| Below 65% (unfit for Registration) | - | Class C |
| (c) Recommended for undertaking..... | number of refits simultaneously | |
| (d) Recommended for undertaking refits at | - |
[Name of the Regions/ location(s)] |

Member-III

Member-II

Member-I

President

Approval / Recommendation of HQ, CG Seaboard / Regional Headquarters (as applicable)

COAST GUARD HEADQUARTERS

CERTIFICATE FOR INITIAL/RENEWAL OF REGISTRATION

1. This is to certify that M/s _____, after verification and assessment of their capacity and capability is registered vide Registration No. _____ dated _____, Grade (Category and Class) _____ for undertaking refits of SRV/OPV/FPV class of ships (specify number of ships and type of refit) at _____ (specify locations).
2. This certificate is valid for a period of 03 years from the date of issue.
3. M/s _____ is requested to apply for renewal at least 04 months before the expiry of this registration to concerned RHQs under intimation to CGHQ and respective HQ, CG Seaboards.
4. In case no application for renewal is received on the prescribed form as stated above, registration of M/s _____ will lapse and be automatically cancelled after its validity is over, without any further notice.
5. The approving authority reserves the right to cancel this Registration Certificate at any time during the validity of the certificate.
6. Changes, if any, in the substantive information submitted towards the registration including changes in address or constitution of the firm or major machinery/equipment or technology used at the time of registration should be intimated to the registration authority immediately on occurrence.
7. When an already registered firm having captive infrastructure, signs an MoU for sharing its facilities with other firms which are seeking registration for refit of ICG ships, then the total number of ships undergoing refit at firm's captive infra will be limited to the registered capacity of the yard having captive infra.
8. Participation in one RFP per year is mandatory to avoid cancellation of registration and for consideration for renewal/upgradation.

Date

Seal

Signed by

PD(FM)

HEADQUARTERS COAST GUARD SEABOARD (WESTERN/EASTERN)
OR
REGIONAL HEADQUARTERS (A&N)
(AS APPLICABLE)

CERTIFICATE FOR INITIAL/RENEWAL OF REGISTRATION

1. This is to certify that M/s _____, after verification and assessment of their capacity and capability are registered vide Registration No. _____ dated _____, Grade (Category and Class) _____ for undertaking refits of IB class of ships (specify number of ships) at _____ (specify locations).
2. This certificate is valid for a period of 03 years from the date of issue.
3. M/s _____ is requested to apply for renewal at least 04 months before the expiry of this registration to concerned RHQs under intimation to CGHQ and respective HQ, CG Seaboards.
4. In case no application for renewal is received on the prescribed form as stated above, registration of M/s _____ will lapse and be automatically cancelled after its validity is over, without any further notice.
5. The approving authority reserves the right to cancel this Registration Certificate at any time during the validity of the certificate.
6. Changes, if any, in the substantive information submitted towards the registration including changes in address or constitution of the firm or major machinery/ equipment or technology used at the time of registration should be intimated to the registration authority immediately on occurrence.
7. When an already registered firm having captive infrastructure, signs an MoU for sharing its facilities with other firms which are seeking registration for refit of ICG ships, then the total number of ships undergoing refit at firm's captive infra will be limited to the registered capacity of the yard having captive infra.
8. Participation in one RFP per year is mandatory to avoid cancellation of registration and for consideration for renewal.

Date
Seal

Signed by
DDG (Tech)/CSO (Tech)

Appendix E
[Refers to Para 9]

Reference No. _____

Date _____

From

M/s _____

To

Concerned CG authority

Subject: APPLICATION FOR RENEWAL/ UP-GRADATION OF REGISTRATION

Sir,

1. Kindly refer to our Registration Certificate No. _____ dated _____ which is due to expire on _____
2. As per the conditions of registration, we hereby apply for renewal of our registration for a further period of **three (03) years**.
3. The renewal of registration may be done for SRV/OPV/FPV/IB class of ships (indicate as applicable) for which we are already registered. We may also be assessed for SRV/OPV/FPV/IB (indicate as applicable) class of ships also as per details given in Annexure attached.
4. Changes in substantive information submitted by us for initial registration along with latest updated information in respect of our firm and related documents are attached at Annexure to this application.

Yours faithfully,

Signature of Authorised Signatory/
Representative of firm along with seal.

Annexure to Application for Renewal/ Up-gradation of Registration

Part I – GENERAL INFORMATION

1. Name of Firm: _____
2. Registered Office Address (with STD Code) : _____

Telephone No. _____ Email _____
Fax _____
3. Factory/Works Address with STD Code: _____

Telephone No. _____ Email _____
Fax _____
4. (a) Is there any change in address from last registration - Yes/No
(b) If Yes, give reason for change -
(Attach relevant documents of ownership or rent receipts)
5. Changes, if any, in the management or constitution of the firm -
(if so, give details and attach relevant documents)
6. Changes, if any, in the number and qualification/ experience of -
permanent personnel employed for production and quality control/
testing. If so, attach details, separately for each.
7. Changes, if any, in the financial status of the firm including -
availability of bank finance.
8. Following documents are attached:-
 - (a) Audited Balance Sheets, Profit & Loss A/c with total accumulated losses, if any and financial ratios (Current Ratio, Acid Test Ratio and Debt to Total Asset Ratio) for last three years, duly certified by Chartered Accountant.
 - (b) Firm's annual turnover for last three years.
 - (c) Present networth of the firm.
 - (d) Latest bank solvency certificate

- (e) Income Tax Certificate for last three years.
- (f) GST Registration Certificate
- (g) Military Receivable Order (MRO) of assessment fee of requisite amount deposited to the Govt. at the time of application.
- (h) Latest Receipt of EPF/ESIC contribution of permanent employees.
- (i) Copies of latest partnership deed or affidavit of sole proprietorship.
- (k) Relevant information with complete details about sister concerns/ subsidiaries, if any.
- (l) Details of workshops facility, manpower and capability changes, if any during the last registration period.
- (m) An Affidavit w.r.t. the fact whether any of the relatives of the proprietor/ partner of the yard is in employment of Coast Guard. If yes, provide details.
- (n) An affidavit to the effect that the firm is not banned/blacklisted/debarred for registration by any Central/State Govt Depts/PSUs.

PART II - TECHNICAL INFORMATION

- 1. Changes, if any, in the technical infrastructure from the last registration
- 2. Additional type of refits for each class of ship, if any, for which registration is sought
- 3. Justification in support of request in para 2 above.
- 4. Details of refits undertaken during the last three years:-

Sl	Ship	Type & duration of Refit	Contract No & Date	Value (in Rs)	Date		Delay and LD/Penalty thereon	Warning, Arbitration (if any)
					Started	Completed		

5. Additional comments/inputs, if any, in support of renewal of registration for a further period of three years.

Certified that the information given in Part I & Part II above is correct to the best of our knowledge. If the same is found to be incorrect/false at any time, we fully understand that our registration will be cancelled, besides any other action against us as deemed appropriate by CGHQ.

Signature of authorized
Representative of the firm
with seal

Date :

Place :

Enclosures _____ nos. Details as per index attached.

Note

- (a) Information given in Part I & Part II should be related to the information given at the time of last registration.
- (b) Where necessary, details may be given on separate sheets attached.
- (c) All relevant documents and separate sheet may be serially numbered and indexed properly.

REFIT YARD/ FIRM PERFORMANCE RATING PERFORMA

Ship _____ Refit Type _____ Refit Duration _____ to _____

Refit Yard _____ COA _____

1. **Quality Rating (To be filled by SS).** Quality should be assessed based on following:-

Sl.	Aspect	Poor	Needs Improvement	Sat	Good	Excellent
a)	Quality control set up and awareness	1	2	3	4	5
b)	Knowledge level of employees	1	2	3	4	5
c)	Submission and adherence to QAP	1	2	3	4	5
d)	Quality of accommodation provided	1	2	3	4	5
e)	Safety standards followed	1	2	3	4	5
f)	Near miss incidents, if any and response (Nil incident - max rating, If any, then rating should be based on response by firm)	1	2	3	4	5
g)	Security	1	2	3	4	5
h)	Provision of Yard services (Galley , water , Garbage collection , toilets etc)	1	2	3	4	5
j)	Fire and flooding safety	1	2	3	4	5
k)	Provision of shore supply/ generator	1	2	3	4	5

2. **Delivery Rating (To be filled by CGRPT).** Delivery rating of firm is to be calculated by comparing the actual delivery with the contractual delivery date.

Sl.	Aspect	Poor	Needs improvement	Sat	Good	Excellent
a)	Refits completed on time	1	2	3	4	5
b)	Adherence to PERT chart submitted	1	2	3	4	5
c)	Speed of execution of refit jobs	1	2	3	4	5

d)	Raising of indents, rendering of quotes and delivery of spares	1	2	3	4	5
e)	Compliance to complete work package without deletion (No deletion earns max rating. If defect list serials worth more than 5% of basic refit cost is deleted by firm, the rating should not be more than 2)	1	2	3	4	5
f)	Completion of all jobs without delinking	1	2	3	4	5

3. **Service Rating (To be filled by RHQ).** Service rating on basis of support rendered by firm during the refit, promptness in rectifying guarantee defects etc.

Sl.	Aspect	Poor	Needs improvement	Sat	Good	Excellent
a)	Promptness in attending to guarantee defects	1	2	3	4	5
b)	Commitment to completion of guarantee defects on time	1	2	3	4	5
c)	Efforts by employees to maintain conducive behaviour with SS	1	2	3	4	5
d)	Provision of workshop area	1	2	3	4	5
e)	Provision of storage space for ship's items during refit	1	2	3	4	5
f)	Subcontractor (Work quality and supervision)	1	2	3	4	5
g)	Service report rendition	1	2	3	4	5