Standardised list of documents across PHO, Immigration and Port Authority

1) Port Health Organization (PHO):

Below is the list of finalized documents to be exchanged with the PHO. These documents are for all type of vessels, irrespective of the type of cargo handled, whether it is container, dry bulk, or liquid bulk.

A0107. Pre-vessel arrival PHO clearance

Sr. No.	Name of document	Sender	Receiver
1	Maritime declaration of health	Shipping agent	PHO
2	Crew list	Shipping agent	PHO
3	Vaccination list	Shipping agent	PHO
4	Last 10 port of calls	Shipping agent	PHO
5	Medical log entries	Shipping agent	PHO
6	Ship Sanitation certificate	Shipping agent	PHO
7	Medicinal chest certificate	Shipping agent	PHO
8	Radio-free pratique / Limited pratique certificate	PHO	Shipping agent

Output: The PHO issues the Radio Free Pratique or Limited Pratique certificate as part of the pre-vessel arrival clearance.

A0203. Document verification by PHO for Vessel berthing and clearance

No documents are exchanged

Output: The PHO boarding officer boards the vessel to verify original documents submitted online prior to arrival and conducts a physical examination of the vessel.

A0304. Document submission and vessel sail out clearance from PHO

Sr. No.	Name of document	Sender	Receiver
1	Departure crew list	Shipping agent	PHO
2	Ship Sanitation certificate	Shipping agent	PHO
3	Medicinal chest certificate	Shipping agent	PHO

Sr. No.	Name of document	Sender	Receiver
4	Visitors Log for Ship During Port Stay	Shipping agent	PHO
5	Port health clearance	PHO	Shipping agent

Output: The PHO issues a Port health clearance certificate as part of the vessel sail-out clearances.

Note:
- *In the event of a pandemic or other exceptional situations, the Health Ministry may direct the Public Health Organization (PHO) to ask for additional documentation from the Shipping agent / Vessel master*
- *Above mentioned documentation is not required for Indian-flagged coastal vessels and foreign-flagged vessels with coastal conversion*

2) Bureau of Immigration:

Below is the list of finalized documents to be exchanged with the Bureau of Immigration. These documents are for all type of vessels, irrespective of the type of cargo handled, whether it is container, dry bulk, or liquid bulk.

A0108. Pre-vessel arrival intimation to Immigration

Sr. No.	Name of document	Sender	Receiver
1	Agency Letter (Immigration)	Shipping agent	Immigration
2	Crew list	Shipping agent	Immigration
3	Last 10 port of calls	Shipping agent	Immigration

Output: The Shipping agent informs the Bureau of Immigration about the vessel's arrival and its details prior to the vessel's arrival.

A0202. Document submission and verification by Immigration for Vessel berthing and clearance

Sr. No.	Name of document	Sender	Receiver
1	Agency Letter (Immigration)	Shipping agent	Immigration
2	Stowaway declaration	Shipping agent	Immigration
3	Nil list	Shipping agent	Immigration
4	Satellite phone declaration	Shipping agent	Immigration
5	Last port clearance - Customs	Shipping agent	Immigration
6	No Objection Certificate (NoC) from Immigration office of last port	Shipping agent	Immigration

Sr. No.	Name of document	Sender	Receiver
7	Ship/Vessel Particulars	Shipping agent	Immigration
8	Arms & ammunition declaration	Shipping agent	Immigration
9	Annexure 4: Vessel master undertaking	Shipping agent	Immigration
10	Crew list (signed by Immigration office of last port)	Shipping agent	Immigration
11	Arrival clearance	Immigration	Shipping agent
12	Conversion letter*	Shipping agent	Immigration

* *"Conversion letter," is an additional document required only for foreign vessels converted for coastal run*

Output: The Bureau of Immigration issues 'Arrival clearance' to the shipping agent once all documents are verified and the vessel is examined upon berthing.

A0303. Document submission and vessel sail out clearance from Immigration

Sr. No.	Name of document	Sender	Receiver
1	Departure crew list	Shipping agent	Immigration
2	Agent request letter - giving departure notice	Shipping agent	Immigration
3	Crew change declaration	Shipping agent	Immigration
4	Annexure 7: Undertaking from Vessel master	Shipping agent	Immigration
5	Stowaway declaration	Shipping agent	Immigration
6	Crew list (signed by Immigration)	Immigration	Shipping agent
7	No Objection Certificate (NoC) from Immigration (2 copies)	Immigration	Shipping agent

Output: The Bureau of Immigration issues a 'Signed crew list' and two copies of the 'No objection certificate (NoC)' to the shipping agent for the vessel's sail out clearance.

3) Port Authority:

3.1) Vessel related processes

Below is the list of finalized documents to be exchanged with the Port Authority. These documents are for all type of vessels, irrespective of the type of cargo handled, whether it is container, dry bulk, or liquid bulk. They are categorized by the activities outlined below

A0101. Vessel profile registration & VCN generation

Below is the list of documents to be exchanged with the Port Authority at pre-vessel arrival.

Sr. No.	Name of document	Sender	Receiver
1	Registry certificate	Shipping agent	Marine Dept
2	Certificate of Class	Shipping agent	Marine Dept
3	International tonnage certificate	Shipping agent	Marine Dept
4	Safety Management certificate	Shipping agent	Marine Dept
5	P&I certificate (Should include blue cards like CLC for tankers excluding gas carriers, bunker, wreck and MLC)	Shipping agent	Marine Dept
6	International ship security certificate	Shipping agent	Marine Dept

Note:
- *In addition to the above documents, SMPK port may require additional documents including "Ship/Vessel particulars," "Cargo Type Declaration," and "Mode of Operation" for vessel profile registration and VCN generation*
- *In addition to the above documents, Cochin port may require an additional document, the "Coastal Conversion Certificate", if applicable, during vessel profile registration*

Output: Based on the documents submitted for vessel profile registration by the shipping agent, a unique Vessel Call Number (VCN) is generated.

A0102. Pre-Arrival Notification of Security (PANS) submission

Sr. No.	Name of document	Sender	Receiver
1	PANS	Shipping agent	Port Facility Security Officer (PFSO) / Marine Dept.
2	PANS	Shipping agent	Customs
3	PANS	Shipping agent	Immigration
4	PANS	Shipping agent	Maritime Rescue Coordination Center (MRCC)
5	PANS	Shipping agent	Director General of Shipping

Note:
- *Submission of PANS to additional authorities may be required depending upon individual port requirements such as submission to Indian Navy, Coast guard, Coastal Police or these may be routed through the Port Marine department only*

Output: All relevant stakeholders receive intimation (PANS) of the vessel's arrival prior to its arrival.

A0112. Document submission over Maritime single window

Sr. No.	Name of document	Sender	Receiver
1	FAL 01	Shipping agent	DG Shipping
2	FAL 02	Shipping agent	DG Shipping
3	FAL 03	Shipping agent	DG Shipping
4	FAL 04	Shipping agent	DG Shipping
5	FAL 05	Shipping agent	DG Shipping
6	FAL 06	Shipping agent	DG Shipping
7	FAL 07	Shipping agent	DG Shipping

Note:
- *FAL forms 01 to 07 includes General declaration, Cargo declaration, Ship's stores declaration, Crew's effects declaration, Crew list, Passenger list, Dangerous goods manifest respectively*

Output: It facilitates the online submission of documents related to the Arrival, Stay, and Departure of Ships, allowing for swift approval by various authorities, including Ports, Immigration, and Customs.

A0104. VRC/ CRC assessment & payment to port

No document submission is required. Complete process is undertaken through Port's Operating System.

Output: All vessel-related and cargo-related charges are paid to the port authority/terminal operator prior to the vessel's arrival.

A0105. Berth application & allocation

No document submission is required. Complete process is undertaken through Port's Operating System

Output: The Traffic Department allocates a berth number to the vessel based on the berth application and vessel readiness for berthing.

A0110. Sharing of BAPLIE between vessel agent/ terminal operator (for container cargo)

Sr. No.	Name of document	Sender	Receiver
1	Ship/Vessel Particulars	Shipping agent	Terminal operator

2	BAPLIE	Shipping agent	Terminal operator
3	Import Advance List (IAL)	Shipping agent	Terminal operator

Output: Based on the documents shared above, the terminal operator plans for the movement of containers (loading, unloading, stacking)

A0111. Draft survey of vessel (for bulk cargo)

Sr. No.	Name of document	Sender	Receiver
1	**Dry bulk -** Final survey report - signed by Surveyor, Stevedore and Vessel master	Shipping agent	Traffic Dept.
2	**Liquid bulk -** Final Ullage survey report – signed by Surveyor and Vessel master	Shipping agent	Traffic Dept.

Note:
- *Final survey report / final ullage survey report includes information about the initial, interim and final draft surveys undertaken by the parties and includes the quantity unloaded/loaded*

Output: The Traffic Department ascertains the quantity of cargo loaded onto a vessel through the draft survey of the vessel.

A0301. Issuance of No Demand Certificate from port for vessel sail-out clearance

Sr. No.	Name of document	Sender	Receiver
1	No Demand Certificate / No Dues Certificate	Finance Dept. / Marine Dept.	Shipping agent

Note:
- *Additional document "Change of Agent Declaration" is also required, in case of a change in the shipping agent, for the issuance of a No Demand Certificate*

Output: The port issues a No Demand Certificate / No Dues Certificate, confirming that no other dues are pending from the vessel's side.

A0305. Document submission and clearance from Mercantile Marine Department (MMD)

Sr. No.	Name of document	Sender	Receiver
1	Vessel stability booklet - hydrostatic table	Shipping agent	MMD

2	Registry certificate	Shipping agent	MMD
3	Ship/Vessel Particulars	Shipping agent	MMD
4	Safety Management certificate	Shipping agent	MMD
5	MMD clearance	MMD	Shipping agent

Output: The MMD issues sail-out clearance to the shipping agent for the vessel.

3.2) Container cargo handling and delivery related processes

Below is the list of documents to be exchanged with the Port Authority for cargo handling and delivery for import and export containers.

C0202. Truck gate in & gate out at port/ terminal (CFS bound) – Import containers

Sr. No.	Name of document	Sender	Receiver
1	EIR (Import)	Terminal Operator	CHA/CFS
2	EIR (Import)	Truck driver (CFS)	CFS Operator

Note:
- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*

Output: The above documents enable the movement of trucks for CFS-bound import containers.

C0401. Truck gate in & gate out at port/ terminal (Direct Port Delivery) – Import containers

Sr. No.	Name of document	Sender	Receiver
1	Bill of entry (BoE)	CHA	Terminal operator
2	Out of Charge (OOC)	CHA	Terminal operator
3	Shipping Line DO	CHA	Terminal operator
4	IGM	CHA	Terminal operator
5	SMTP	CHA	Terminal operator
6	EIR (Import)	Terminal operator	CHA

Note:
- *Documents including BoE, OOC, IGM, and SMTP are generated by Customs; however, they are submitted by the CHAs to various stakeholders*

- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*

Output: The above documents enable the movement of trucks for DPD based import containers.

C0204. De-stuffing of containers & cargo delivery from CFSs – Import containers

Sr. No.	Name of document	Sender	Receiver
1	Bill of entry (BoE)	CHA	CFS
2	Out of Charge (OOC)	CHA	CFS
3	Shipping Line DO	CHA	CFS
4	Invoice (CFS) – paid	CHA	CFS
5	CFS gate out pass	CFS	CHA

Note:
- *Documents including BoE, OOC are generated by Customs; however, they are submitted by the CHAs to various stakeholders*
- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*

Output: Cargo is de-stuffed from the containers and is ready for delivery to the end customer out of the CFS.

C0301. Container cargo gate in CFSs and container stuffing operations – Export containers

Sr. No.	Name of document	Sender	Receiver
1	Shipping Bill (SB)	CHA	CFS
2	Invoice	CHA	CFS
3	Packing list	CHA	CFS
4	CFS gate pass for the entry cargo	CFS	CHA
5	Form 13	CHA	CFS
6	Let Export Order (LEO)	CHA	CFS
7	CFS issued gate pass for out container	CFS	Truck driver

Note:
- *In SMPK Port, Form 13 is not applicable*
- *Documents including SB, LEO are generated by Customs; however, they are submitted by the CHAs to various stakeholders*
- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*

Output: Cargo is moved to the CFS, where it is cleared by customs and then stuffed into containers, ready for export

C302. Truck gate in & gate out at port/ terminal (CFS bound) – Export containers

Sr. No.	Name of document	Sender	Receiver
1	Shipping Bill (SB)	CHA	Customs
2	Invoice	CHA	Customs
3	Packing list	CHA	Customs
4	Let Export Order (LEO)	CHA	Customs
5	Form 13	CHA	Customs
6	Gate pass	Customs	CHA

Note:
- *In SMPK Port, Form 13 is not applicable, in its place Shed Release Order (SRO) is provided by the Traffic Dept. to the CHAs based on submission of three documents including Annex C, Export application, and Checklist of Shipping Bill; SRO is further used for generating truck chit or gate pass for container movement*
- *Documents including SB, LEO are generated by Customs; however, they are submitted by the CHAs to various stakeholders*
- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*

Output: The above documents enable the movement of trucks for CFS-bound export containers.

C0501. Truck gate in & gate out at port/ terminal (Direct Port Entry) – Export containers

Sr. No.	Name of document	Sender	Receiver
1	Shipping Bill (SB)	CHA	Customs
2	Invoice	CHA	Customs
3	Packing list	CHA	Customs
4	Form 13	CHA	Customs
5	Let Export Order (LEO)	CHA	Customs
6	Gate pass	Customs	CHA

Note:
- *In SMPK Port, Form 13 is not applicable; Cart-In Order, issued by the Container Lines to Port / Terminal is used for generating gate pass (RFID permit) for entry of containers*
- *Documents including SB, LEO are generated by Customs; however, they are submitted by the CHAs to various stakeholders*
- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*

Output: The above documents enable the movement of trucks for DPE based import containers.

3.3) Bulk cargo handling and delivery related processes

Below is the list of documents to be exchanged with the Port Authority for cargo handling and delivery for import and export bulk cargo.

C0101. Plot booking application & payment of storage charges

Sr. No.	Name of document	Sender	Receiver
1	Storage Area Plot Booking Application	Cargo owner or its agent	Traffic Dept.
2	Agent authorization letter	Cargo owner or its agent	Traffic Dept.

Output: A plot is booked and allotted to the cargo owner or their agent for the storage of import or export cargo within the port premises for a definite time period.

C0102. Cargo loading/ unloading to/ from vessel and storage in yard

Sr. No.	Name of document	Sender	Receiver
For import/export cargo			
1	Ship/Vessel Particulars	Shipping agent	Stevedore
2	Stowage plan	Shipping agent	Stevedore
3	Loading sequence (For export cargo)	Shipping agent	Stevedore
4	Discharge sequence (For import cargo)	Shipping agent	Stevedore
5	Notice of Readiness (NOR)	Vessel Master	Stevedore
6	Royalty Payment application (Stevedoring job payment)	Stevedore	Traffic Dept
7	Royalty payment invoice	Stevedore	Traffic Dept.
8	Requisition for Crane hire	Cargo owner or its agent	Traffic Dept.
9	Crane hire payment invoice	Stevedore	Traffic Dept.
10	Daily working report	Stevedore	Traffic Dept.
11	Statement of Fact	Stevedore/cargo owner agents	Traffic Dept.
For export cargo (Cargo from plot to berth)			
12	Let Export Order (LEO)	CHA	Traffic Dept.
13	Wharfage payment receipt (CRC)	CHA	Traffic Dept.

Sr. No.	Name of document	Sender	Receiver
14	Permission for bulk cargo movement	CHA	Traffic Dept.
15	Permission for bulk cargo movement - endorsed by Port traffic	Traffic Dept.	CHA

Note:
- *In case of commodity being iron, Transportable Moisture Limit (TML) Report is an additional document required to be submitted to the Traffic department*
- *Loading sequence and discharge sequence are also submitted in copy to Traffic department by the Stevedore*
- *In case of barge operations, boat note is required to be submitted by the CHA to Traffic department*
- *In most of the ports, Mate receipt is an additional document shared by vessel master to cargo owner or its agent after loading operations are completed, and is applicable for all bulk cargo commodities - Dry bulk, Liquid bulk and break bulk*

Output: The above documentation allows the movement of cargo from the berth to the storage yard and vice versa.

C0601. Truck gate in & gate out at port/ terminal – Import bulk cargo

Sr. No.	Name of document	Sender	Receiver
1	Permission for bulk cargo movement	CHA	Traffic Dept.
2	Bill of entry (BoE)	CHA	Traffic Dept.
3	Out of Charge (OOC)	CHA	Traffic Dept.
4	Shipping Line DO	Shipping agent	Traffic Dept.
5	Entry permit for entry and exit of truck	Traffic Dept./ Port Authority	Transporter
6	Gate pass	Traffic Dept.	CHA
7	Gate pass	Truck driver	Traffic Dept. (At gate)

Note:
- *In Mumbai Port, proof of Stamp Duty paid is required to be submitted to the Traffic Department for dry and liquid bulk*
- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*
- *In some ports, the customs related documents such as BoE and OOC are shared directly by the Customs to the Traffic department*

Output: The above documents enable the movement of trucks for import bulk cargo.

C0603. Delivery of liquid bulk cargo (through pipeline) – Import bulk cargo

Sr. No.	Name of document	Sender	Receiver

1	NOC from the terminal	Tank terminal	CHA
2	Discharge permission – issued from customs	CHA	Traffic Dept.
3	Permission for bulk cargo movement	CHA	Traffic Dept.
4	Permission for bulk cargo movement – Endorsed by Traffic Dept.	Traffic Dept.	CHA
5	Out of Charge (OOC)	CHA	Tank terminal

Note:
- *In Mumbai Port, proof of Stamp Duty paid is required to be submitted to the Traffic Department for dry and liquid bulk*

Output: The above documents enable the movement of import liquid bulk cargo through the pipeline.

C0602. Rake gate in & gate out at port/ terminal – Import bulk cargo

Sr. No.	Name of document	Sender	Receiver
1	Permission for bulk cargo movement (Forwarding note (letter with details such as cargo type, qty, etc.)	CHA	Traffic Dept.
2	Out of Charge (OOC)	CHA	Traffic Dept.
3	Shipping Line DO	CHA	Traffic Dept.
4	Carting Permission (endorsed forwarding note)	Traffic Dept.	CHA
5	Release order	Importer or its agents	Traffic Dept.
6	Release order	Traffic Dept.	Indian Railways
7	Railway Receipt (RR)	Importer or its agents	Traffic Dept.

Output: The above documents enable the movement of rakes for import bulk cargo.

Note:
- *In Mumbai Port, proof of Stamp Duty paid is required to be submitted to the Traffic Department for dry and liquid bulk*
- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*
- *In some ports, the customs related documents such as BoE and OOC are shared directly by the Customs to the Traffic department*
- *Documents listed above for rake gate in & gate out are required for the purpose of storage of bulk cargo in the port; in case of only transit cargo, two documents – Gate opening and Cart In permission is only required*
- *In some ports, RR is sent directly via Indian railways to the Traffic department*

C0701. Truck gate in & gate out at port/ terminal - Export bulk cargo

Sr. No.	Name of document	Sender	Receiver
1	Plot booking confirmation	Exporter or its agents	Traffic Dept.
2	Entry permit for entry and exit of truck	Traffic Dept. / Port Authority	Transporter
3	Gate pass	Traffic Dept.	CHA

Note:
- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*
- *In addition to the documents for truck gate in & gate out, the CHA also provides the traffic department with truck arrival details*

Output: The above documents enable the movement of trucks for export bulk cargo.

C0702. Rake gate in & gate out at port/ terminal - Export bulk cargo

Sr. No.	Name of document	Sender	Receiver
1	Railway Receipt (RR)	Exporter or its agents	Traffic Dept.
No other documents are required for the movement of export cargo by rake to port			

Note:
- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*

Output: The above documents enable the movement of rakes for export bulk cargo.

C0703. Delivery of liquid bulk cargo (through pipeline) - Export bulk cargo

Sr. No.	Name of document	Sender	Receiver
1	Let Export Order (LEO)	CHA	Tank terminal
2	Mate Receipt	Vessel Master	Traffic Dept.

Note:
- *There is no requirement for submitting any documents to CISF; however, a copy will be available with the cargo owner or its agents for CISF inspection/verification, whenever required*

Output: The above documents enable the movement of export liquid bulk cargo through the pipeline.