



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

F. No. 14-2501 1/10/2024-FA-DGS (Comp. No.30647)

Dated: 02.09.2025

OFFICE ORDER No. 105/2025

Subject: Notification of Procurement Checklists for compliance with Procurement Processes.

The Director General of Shipping, being the Competent Authority, hereby, issues the following order notifying the Procurement Checklists for compliance with Procurement Processes as notified in the Office Order 132/2024 of the Directorate General of Shipping.

Background:

1. A seven-step procurement process has been notified within the Directorate General of Shipping through the Office Order 132/2024 along with the institutionalization of the Finance, Accounts, Audit & Public Procurement.
2. The Director General of Shipping, being the competent authority is responsible for the approval and oversight of all public procurement at the Directorate General of Shipping.

Directives:

1. The Checklists attached in Annexure A are hereby notified to be followed and updated from time to time during the procurement process for each procurement.
2. The Checklists to be used are as follows:
 - a. **Checklist 1: Preparation of Procurement Note & AA** To obtain Procurement Note Approval & Administrative Approval from the Competent Authority.
 - b. **Checklist 2: RFP Publishing** To obtain Approval on RFP for Publication from the Competent Authority.
 - c. **Checklist 2A: RFP Publishing** To obtain Approval on RFP from Tender Evaluation Committee.
 - d. **Checklist 2B: Risk Mitigation & Allocation** To obtain Approval on RFP from Tender Evaluation Committee.
 - e. **Checklist 3: Award of Contract** To obtain approval on Award of Contract from the Competent Authority.

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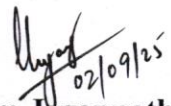
9वीं मंजिल, बीटा बिल्डिंग, आई थिंक टेक्नो कैम्पस, कांजुर गाँव रोड, कांजुरमार्ग (पूर्व) मुंबई- 400042

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- f. **Checklist 4: Contract Management** To obtain Financial Sanctions from the Competent Authority.
- g. **Checklist 5: Record of UC Checklist** To submit Utilization Certificate to the Competent Authority.

3. The filled and signed checklists along with the requisite annexures and documents as mentioned in the checklists are to be mandatorily presented to the Director General of Shipping for approval at various stages in the procurement process as mentioned above.
4. The responsibility for the processing of the checklists on file is incumbent on the Supervisory Custodian and the timelines to be followed for procurements are to be adhered to by the Primary Custodian and the Secondary Custodian. The responsibility should in no manner be devolved to the resources onboard as consulting support services as an interim arrangement. The emphasis is to create institutional strength in public procurement by following a structured and lucid procurement process compliant to the rule framework and the edificial principles of the GFR and the Manual of Procurement for Goods/ Consulting and Other Services / Works. The check list shall apply ubiquitously to all categories of procurement as these are generic and applicable to goods/ services or works procurement and the deeper scrutiny shall be supplemented with specific instructions separately on tender evaluation and specific procurement considerations on works/ goods and services.
5. The file movement as presented in the Annexure B is to be followed for the procurement process and approvals as highlighted above.
6. This directive is to be complied with strictly and shall be applicable with immediate effect.


(Shyam Jagannathan)
Director General of Shipping

Encl: As above

To,

- i. DG Secretariat
- ii. Office of the Addl. DGS.
- iii. PS to CS/NA/CSS
- iv. All the Officers of the DGS
- v. All Allied Offices.

Annexure A: Checklists

Checklist 1: Preparation of Procurement Note & AA

To obtain **Procurement Note Approval & Administrative Approval** from the Competent Authority.

Sr No	Item	Details (To be filled by Proposing Branch/ Wing/ Division)	FAAPP Remarks
Procurement Note			
1.	Is the Procurement Note prepared as per Annex. 1 of Order 132/2024?		(Yes/No)
2.	What is the Mode and Methodology of Procurement?	GeM/ CPPP/ Local Purchase Committee/ Single Source	(Yes/No)
3.	What is the Nature of Procurement?	Goods/Works/Consultancy Services/Other Services	(Yes/No)
4.	Is the Estimated Cost Included?		(Yes/No)
5.	Branch/Wing/Division:		(Yes/No)
6.	Primary Custodian:		(Yes/No)
7.	Secondary Custodian:		(Yes/No)
8.	Supervisory Custodian:		(Yes/No)
9.	Is due Justification for the Procurement and Mode of Procurement given?		(Yes/No)
10.	Major Head of Account		(Yes/No)
11.	Minor Head of Account		(Yes/No)
12.	Is the tentative Timeline for Procurement indicated?		(Yes/No)
13.	Is the tentative tenure of the Project once the contract is awarded mentioned?		(Yes/No)
Administrative Approval			
14.	Is the request for Administrative Consent submitted in the file as per Annex. 3 of Order 132/2024		(Yes/No)
15.	Is the Administrative Approval Accorded proposed in the file as per Annex. 3 of Order 132/2024		(Yes/No)
16.	Is the Proposed Framework & Timeline Submitted with detailed proposed timelines as per Annex. 4 of Order 132/2024		(Yes/No)

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Concurrence Remarks		
Sr No	Item	FAAPP Remarks
17.	Is the procurement included in the Annual Procurement Plan /If not, has the Competent Authority approved the procurement?	(Yes/No)
18.	Is there Availability/ Provision of funds in the relevant head?	(Yes/No)
19.	Is the Concurrence Remark accorded by DDG FAAPP as per Annex. 2 of Order 132/2024	(Yes/No)

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Checklist 2: RFP Publishing

To obtain **Approval on RFP for Publication** from the Competent Authority.

Sr No	Item	Details (To be filled by Proposing Branch/ Wing/ Division)	FAAPP Remarks (Yes/No)
1.	Is the Administrative Approval Accorded as per Annex. 3 of Order 132/2024?		
A: Publishing of EOI if value of Tender is above Rs 50 Lakhs			
2.	Has the EOI Prepared & Submitted?		
3.	Has the EOI been Opened?		
4.	Has the EOI Evaluation completed?		
B: Publishing of RFP			
5.	Has the RFP been made (as per Standard Bidding Document Format)?		
6.	Has the RFP been checked by Institutional Procurement Advisor (for all procurements)?		
7.	Has the RFP been checked by Sr. Strategic Technical Advisor (for IT related procurements)?		
8.	Has the RFP been checked Sr. E-Procurement Advisor (for IT related procurements)?		
9.	Has the RFP been approved by Tender Evaluation Committee?		
10.	Has the Checklist 2A been completed by the Tender Evaluation Committee?		

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Checklist 2A: RFP Publishing

To obtain **Approval on RFP** from Tender Evaluation Committee.

Sr No	Item	Details (To be filled by Proposing Branch/ Wing/ Division)	Tender Evaluation Committee Remarks (Yes/No)
1.	Has the RFP been made (as per Standard Bidding Document Format)?		
2.	Has the RFP been checked by Institutional Procurement Advisor (for all procurements)?		
3.	Has the RFP been checked by Sr. Strategic Technical Advisor (for IT related procurements)?		
4.	Has the RFP been checked Sr. E-Procurement Advisor (for IT related procurements)?		
5.	Is the timeline for the process, including Pre-bid, tender Closing date, tender opening date mentioned clearly?		
6.	Is the Eligibility Criteria clearly mentioned and appropriate for the given tender?		
7.	Is the Evaluation Process mentioned and explained clearly?		
8.	Is the Scope and the Assignment clearly defined without any ambiguity?		
9.	Are the Terms of Reference mentioned exhaustive, clear and without ambiguity?		
10.	Are the Key Deliverables & Milestones/ Key Resources mentioned clearly & without ambiguity?		
11.	Are the Bidding Templates attached as per the standard formats?		
12.	Has the Financial Proposal format been attached appropriately as per format and been checked for correctness?		
13.	Are the General Conditions of Contract mentioned clearly and as per standard template?		
14.	Are the Special Conditions of Contract mentioned clearly and as per standard template?		
15.	Is the Draft Contract mentioned clearly and as per standard format?		
16.	Does the Draft Contract clearly indicate Milestones/ SLA's and other required frameworks for Contract Management?		
17.	Has the Tender Evaluation Committee examined the RFP before publication as per the Risk Analysis Matrix template (Checklist 2B)		

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Checklist 2B: Risk Mitigation & Allocation

To obtain **Approval on RFP** from Tender Evaluation Committee.

No.	Risks	Suggested Mitigation by MeitY	Has the risk been properly mitigated in the RFP/Draft Contract?	Suggested Allocation by MeitY	Has the risk been properly allocated in the RFP/Draft Contract?
1.	Pre-Go Live risks	Institutionalized contract management process, regulations, laws and clear agreement on project outcomes		Institutionalized contract management process, regulations etc: Government Client Project outcomes: Both Parties	
2.	Technology risk	Obligation on Vendor to refresh technology as required from time to time to meet the output specifications. Penalty deductions for failure to meet output specifications.		Vendor	
3.	Latent defect risk	Wherever possible, the design and development of the Facilities required for a Project must be performed or procured by the Vendor. If the Project involves the take-over by the Vendor of existing Facilities, then the Vendor must undertake a thorough due diligence of these Facilities to uncover defects before the Signature Date. The procedure for and cost of the remediation of such discovered defects can then be pre-agreed. Reporting obligation on Vendor to promptly disclose discovered defects.		If the Vendor (or any of its subcontractors) designs and constructs the Facilities, the Vendor. If not, then the Government Client, but only if there is no or insufficient insurance available to mitigate this risk and if the Government Client's liability is capped (subject to VFM considerations).	
4.	Completion risks	Efficient project management. Timely approvals on the design documents.		Vendor, unless delay caused by Government Client	
5.	Design risk	Clear output specifications. Design warranty. Patent and latent defect liability.		Vendor	

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No.	Risks	Suggested Mitigation by MeitY	Has the risk been properly mitigated in the RFP/Draft Contract?	Suggested Allocation by MeitY	Has the risk been properly allocated in the RFP/Draft Contract?
		Consultation with and review by Government Client (but review must not lead to input specifications by Government Client). Independent Expert appointment to resolve disputes on expedited basis.			
6.	Cost over-run risk	Fixed price development contracts. Contingency provisions. Standby debt facilities / additional equity commitments (Shareholder and other funder commitments) provided these are made upfront and anticipated in the base case Financial Model. If the Project is not performing as anticipated in the base case Financial Model, these commitments may be implemented to rescue the Project, but prior approval of the Government Client is required if such commitments will increase its liabilities on termination.		Vendor	
7.	Planning risk	The Government Client must identify at the feasibility phase any planning approvals that can be obtained before the detailed designs are finalized. These approvals must be obtained before the Project is put to tender/bid. The Vendor must identify before the Signature Date all planning approvals required for its proposed design inputs and make provision for such approvals in its development programme.		Non-design and implementation specific planning approval: Government Client Design or implementation specific planning approval: Vendor	
8.	Availability risk	Relief Event. Clear output specifications. Performance monitoring.		Vendor	

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No.	Risks	Suggested Mitigation by MeitY	Has the risk been properly mitigated in the RFP/Draft Contract?	Suggested Allocation by MeitY	Has the risk been properly allocated in the RFP/Draft Contract?
		Penalty regime.			
9.	Market, demand or volume risk	In a Unitary Payment type contract, the Unitary Payment must be paid based on availability (not actual usage by the Government Client).		Unitary Payment funded Project: Government Client Revenue generating Project: Vendor	
10.	Utilities supply risk	Emergency back-up facilities (e.g., generators). Emergency supply contracts Special insurance.		Vendor, unless utilities are supplied by Government Client and not covered by special insurance	
11.	Insolvency and outside creditor risk	SPV structure to ring-fence project. Security over necessary Project Assets. Limitations on debts and other funding commitments of the Vendor outside the Project. Reporting obligations on litigation, financial information, disputes with creditors. Substitution of Vendor in terms of Direct Agreement.		Vendor	
12.	Sub-contractor risk	Subcontractors must have expertise, experience, and contractual responsibility for performance obligations. Substitution of subcontractors. Due diligence by Government Client on first-tier subcontracts to confirm pass-through of risks to subcontractors is provided for in the Project subcontracts.		Vendor	
13.	Operating risk	Clear output specifications.		Vendor	
14.	Maintenance risk	Penalty regime and performance monitoring. Adequate O&M contract. Substitution rights. Security and special insurance.		Vendor	
15.	Force Majeure	Define "Force Majeure" narrowly to exclude		Insurable risks: Vendor	

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No.	Risks	Suggested Mitigation by MeitY	Has the risk been properly mitigated in the RFP/Draft Contract?	Suggested Allocation by MeitY	Has the risk been properly allocated in the RFP/Draft Contract?
	(act of God) risks	insurable risks or those better addressed via Relief/Compensation Events. Relief and Compensation Events. Termination.		Non-insurable risks: Shared, with Government Client possibly compensating	
16.	Political risk	Limit to Changes in Law and to expropriation, nationalization, or privatization ("expropriating actions") of the Government Client's services or assets. Distinguish between General and Discriminatory Changes in Law. In relation to Discriminatory Changes: Termination by Vendor with compensation.		Discriminatory Changes in Law and expropriating actions: Government Client General Changes in Law: Vendor	
17.	Regulatory risk	Legal scan by Government Client at feasibility phase to identify all approvals. Implementation of liaison with government authorities before procurement. Due diligence by Vendor to identify operating requirement approvals. Obtain approvals before Signature Date.		Non-operating requirement approvals before Signature Date: Government Client Vendor operating requirements: Vendor	
18.	Tax rate change risk	Compensation for tax increases or new taxes from Changes in Law.		In relation to tax increases or new taxes: Government Client	
19.	Inflation risk	Index-linked adjustment to Unitary Payments or user charges, but only to specified input items.		Shared between Vendor and Government Client for specified input items	
20.	Residual value risk	Obligations on Vendor to maintain and repair. Audit towards end of Project Term. Security in favour of Government Client (e.g., final condition bond or deduction from Unitary Payment). Reinstatement obligations on Vendor.		Vendor	

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Checklist 3: Award of Contract

To obtain **approval on Award of Contract** from the Competent Authority.

Sr No	Item	Details (To be filled by Proposing Branch/ Wing/ Division)	FAAPP Remarks (Yes/No)
Bid Management Process Checklist			
1.	Was the RFP Published on CPPP/GeM?		
2.	Was the Newspaper Box Ad. Published (for CPPP Procurement greater than INR 2 Lakhs)?		
3.	Was the NIT published on DGS website?		
4.	Was the Prebid Meeting carried out (compulsory for CPPP)?		
5.	Were the Responses to Prebid & Corrigenda (if any) checked by Tender Evaluation Committee?		
6.	Were the responses to Prebid & Corrigenda (if any) checked by the Competent Authority?		
7.	Were the Responses to Prebid published (as per Standard Bidding Document Format)?		
8.	Were the Corrigenda Published (if needed, as per Standard Bidding Document Format)?		
9.	Has the Technical Bid Opening completed?		
10.	Has the Online Technical Evaluation Meeting recorded?		
11.	Has the Preliminary Yes/No Scrutiny published (if applicable)?		
Award of Contract Checklist			
1	Is the Recommendation note by the Tender Evaluation Committee with a summary of all stages for the Competent Authority approval (as per Annex. 5 of Order 132/2024) submitted?		
2	Has the Revalidation/ revision of Administrative Approval been done as per the price discovery?		
4	Has the Letter of Intent been issued?		
5	Has the bidder submitted Acceptance of the Letter of Intent?		
6	Has the bidder Submitted the Performance Security Deposit (if applicable)?		
7	Has the Earnest Money Deposit (EMD) of unsuccessful bidders been returned?		
8	Has the Draft Contract & Work Order been prepared?		
9	Has the Draft Contract been checked Institutional Procurement Advisor?		
10	Has the Draft Contract been checked by Sr. Strategic Technical Advisor (for IT related procurements)		
11	Has the Draft Contract been Sr. E-Procurement		

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	Advisor (for IT related procurements?)		
12	Has the Draft Contract been approved by Tender Evaluation Committee?		
13	Has the Competent Authority accorded approval for Award of Contract (as per Annex. 6 of Order 132/2024)?		

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Checklist 4: Contract Management

To obtain **Financial Sanctions** from the Competent Authority.

Sr No	Item	Details (To be filled by Proposing Branch/ Wing/ Division)	FAAPP Remarks (Yes/No)
1	Has the Contract Management Committee formed and duly been notified?		
2	Has the committee carried out Milestone-wise /SLA-wise monitoring and issued approval?		
Payment & Financial Sanction #1			
1	Has the Contract Management Committee issued a report to FAPPP? (Annex. 7 of Order 132/2024)		
2	Has the FAAPP validated the submission of the Contract Management Committee? (Annex. 8 of Order 132/2024)		
3	Has the Financial Sanction been issued by the Competent Authority (DG(S) or the officer having delegation of financial powers) as per Annex. 9 of Order 132/2024?		
4	Has the Drawing & Disbursing officer issued the Certificate of Financial Propriety? (Annex. 10 of Order 132/2024)		
5	Has the Release of Payment happened?		
Payment & Financial Sanction #2 (to be repeated as many times as required)			
1	Has the Contract Management Committee issued a report to FAPPP? (Annex. 7 of Order 132/2024)		
2	Has the FAAPP validated the submission of the Contract Management Committee? (Annex. 8 of Order 132/2024)		
3	Has the Financial Sanction been issued by the Competent Authority (DG(S) or the officer having delegation of financial powers) as per Annex. 9 of Order 132/2024?		
4	Has the Drawing & Disbursing officer issued the Certificate of Financial Propriety? (Annex. 10 of Order 132/2024)		
5	Has the Release of Payment happened?		

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Checklist 5: Record of UC Checklist

To submit **Utilization Certificate** to the Competent Authority.

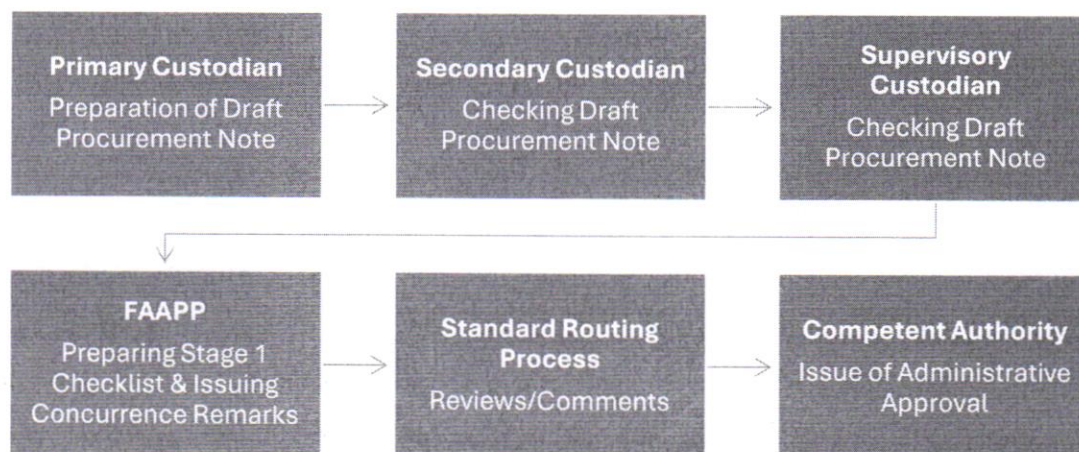
Sr No	Item	Status	Date
1	Has the Performance Bank Guarantee been released?		
2	Has the Contract been closed?		
3	Has the FAAPP recorded the Utilization Certificate?		
4	Has the FAAPP submitted the Utilization Certificate submitted to the Competent Authority?		

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Annexure B: File Movement for Approvals

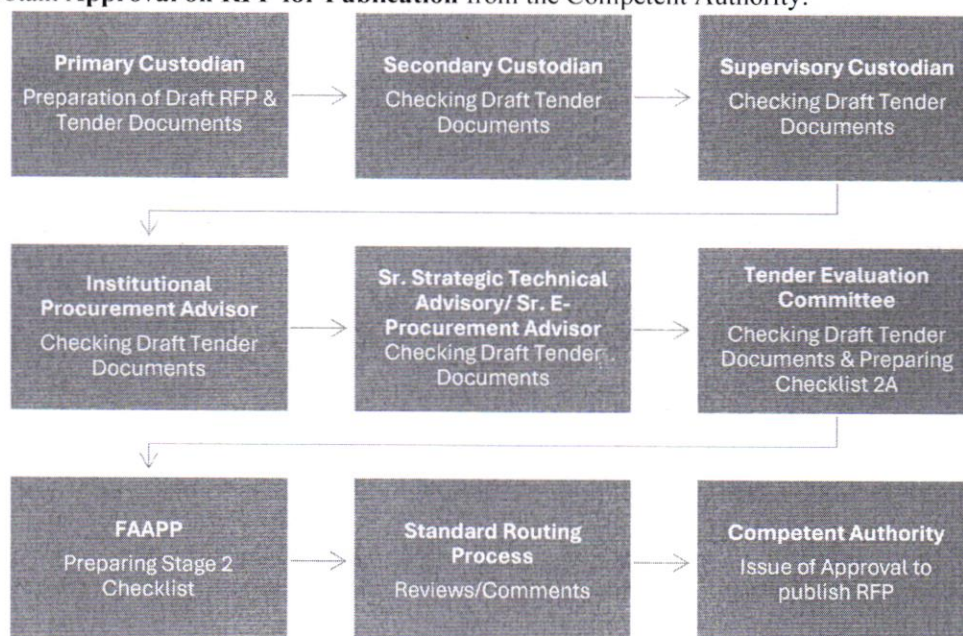
Checklist 1: Preparation of Procurement Note & AA

To obtain **Procurement Note Approval & Administrative Approval** from the Competent Authority.



Checklist 2: RFP Publishing

To obtain **Approval on RFP for Publication** from the Competent Authority.

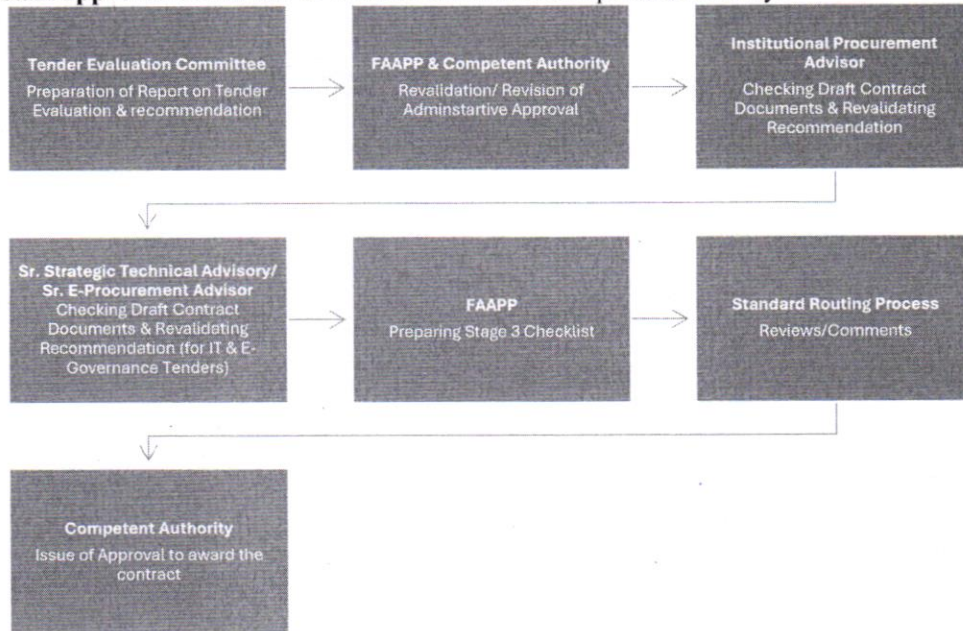


Note: Same process to be followed for publication of Corrigenda if any.

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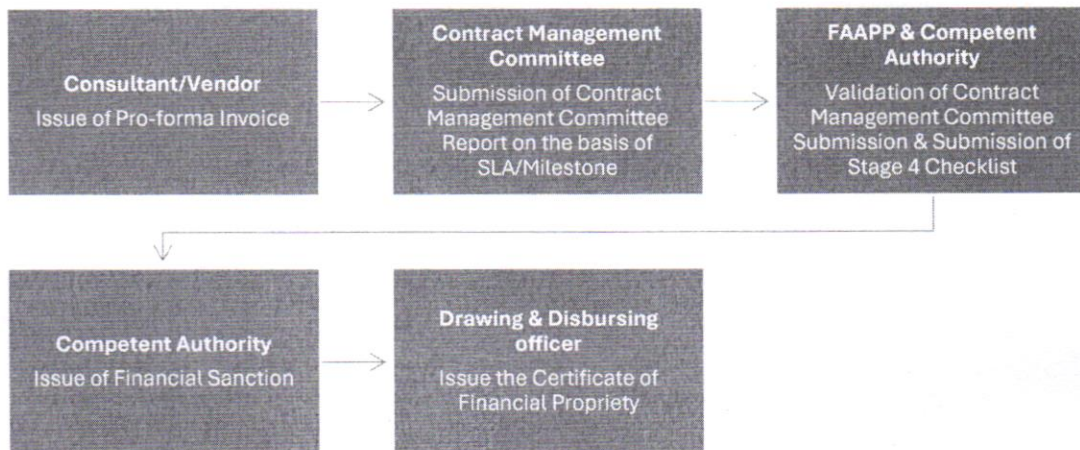
Checklist 3: Award of Contract

To obtain **approval on Award of Contract** from the Competent Authority.



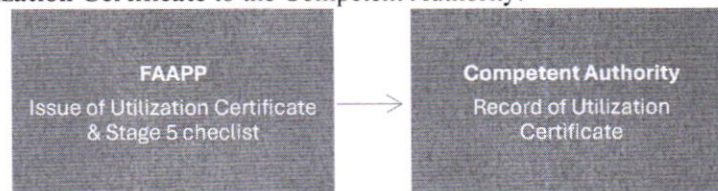
Checklist 4: Contract Management

To obtain **Financial Sanctions** from the Competent Authority.



Checklist 5: Utilization Certificate

To submit **Utilization Certificate** to the Competent Authority.



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