GUIDANCE NOTE
Maritime Authority of the Cayman Islands
Head Office
133 Elgin Avenue
PO Box 2256 Grand Cayman KY1-1107 Cayman Islands
Tel: +1 345 949 8831
Email: caymanregistry@cishipping.com
Website: www.cishipping.com

GUIDANCE NOTE 06/2021 (Rev 2)

ELECTRONIC STATUTORY CERTIFICATES

To: OWNERS, MANAGERS, MASTERS, PORT STATE CONTROL OFFICERS and RECOGNIZED ORGANIZATIONS.

1.   BACKGROUND

1.1   In accordance with IMO and ILO Conventions, as extended to the Cayman Islands, ships registered in the Islands are issued Statutory Certificates as evidence of compliance with convention requirements.

1.2   FAL.5/CIRC.39/Rev.2 – Guidelines for the use of Electronic Certificates, outlines the minimum functional and security requirements required for statutory certificates to be considered valid and "on board" vessels.

1.3   The Cayman Islands Shipping Registry (CISR) is updating the format of Statutory Certification issued to ships to a secure electronic format compliant with FAL.5/Circ.39/Rev.2

1.4   Details of the new format of Statutory Certificates, their security features and the methods of verification are given below.

2.   SCOPE

2.1   After 6th September 2021 the following certificates issued to vessels by CISR are electronic:

- International Safety Management
- International Ship Security
- Maritime Labour Convention + Declaration of Maritime Labour Compliance Pt1
- Cargo Ship Safety Radio + Form R
- Cargo Ship Safety Equipment + Form E
- Passenger Ship Safety + Form P
- International Oil Pollution Prevention & Form A
- Minimum Safe Manning Documents

- Red Ensign Group Yacht Code Pt A & Pt B, including YET CoCs
- Civil Liability for Nairobi Wreck Removal
- Civil Liability for Bunker Oil Pollution
- Civil Liability for Oil Pollution
- Continuous Synopsis Record

2.2 The following certificate will be issued electronically to companies certified under the ISM Code –

- Document of Compliance

2.3 After 6th September 2021 the following Certificates will continue to be issued in a paper format:

- Passenger Ship Statement of Operational Limitations

2.4 This update of format has no effect on the validity of existing paper certification issued prior to 6th September 2021. **All existing certificates continue to remain valid until expiry or reissue**, subject to the required annual and intermediate surveys/audits where applicable.

2.5 In exceptional circumstances, for clients that still wish to be issued with paper copies of certificates listed in 2.1 above, on request, verified copies can be printed on Cayman Islands certificate paper (crested edged and watermarked) with an original Signature and Stamp in addition to digital security features listed in section 3 below.

3. FORMAT

3.1 The electronic certificates issued by CISR contain the following security features (See Annex 1).

- **Unique Tracking Number** - Each electronic certificate issued will have a Unique Tracking Number (UTN) in the top right corner of every page of the document. An example format of the UTN will be: "CISR-SMC-###-21"

  Existing certificate numbers (which are not necessarily unique to the certificate) have a format of: "21/0######"

- **QR Code** - Each electronic certificate issued will have a Quick Response matrix barcode (QR Code) in the top right corner of the first page of the document. Each code is unique to the certificate in question and can be scanned with any QR reader on a mobile device to verify the certificate on the verification web portal.

- **Signature Text** - Each electronic certificate issued will have instructions on how to verify the certificate by means of a standardised text and stamp image instead of a surveyor's signature and unique numbered stamp. The standard text contains a reference to the circular FAL.5/Circ.39/Rev.2 and a link to the verification portal website. This standardised text will appear in way of certificate's initial signatures, annual/intermediate surveys/audits and extensions where applicable.

- **Electronic Signature** - The electronic signature embedded within the PDF document will have a "trusted identity" hosted, and validated by a 3rd party Certificate Authority, which will securely verify the integrity of the document and that it has not been modified or tampered with. In-order to confirm the integrity of the signature and the document, it must be viewed in an Adobe® application (see par.5.4) to see the blue bar across the top and the audit trail of the signature. Other Applications, such as internet browsers, may not be able to display and confirm this data

4   VERIFICATION

4.1   There are two methods to verify the validity of an electronic certificate issued by CISR.

4.2   **Website verification.** The verification portal's URL is https://survey.cishipping.com/CertificateVerification.mth.   This is also embedded in the standard signature text of the certificate. On this website a certificate can be verified by entering the following data -

- Unique tracking number (UTN), and either

    IMO number; or

    Document issue date

Note: It must be specified whether the document in question has been issued to a Vessel or a Company /ISM Technical Manager.

4.3   **QR Code**. The QR code on each certificate will have a URL unique to the certificate comprising the parameters required for the verification portal to return the search results. This is to eliminate the potential for any typographical errors in entering the UTN, IMO number or Date manually on the verification portal webpage

4.2   In accordance with FAL.5/Circ.39/Rev.2 the verification portal results include the following information, as applicable -

- Type
- Status

- Tracking Number
- Issue Date

- Expiry Date
- Ship/Company name
- IMO number
- Date of latest Endorsement (if applicable)
- Date of Extension (if applicable)
- Expiry Date of Extension (if applicable)

4.3   **Status of certificate.** Certificates can have the following Status -

- Active
- Expired
- Revoked

4.4   **Warning banners.** The following warnings banners may appear along with verification results depending on the certificates status –

- Certificate has expired
- Validity suspended due to overdue surveys or audits
- Certificate has not been found

4.5   **Superseded certificates**. Where a certificate has been superseded by a new version, the status of the certificate will display Expired, and the expiry date will update to one day prior to the issue date of the most recent certificate.

4.6   **Existing certificates.** Certificates issued prior to 6th September 2021 cannot be validated via the verification portal website.

5   ACCEPTANCE BY PORT STATE CONTROL

5.1   IMO Resolution.A.1138(31) – Guidelines on Port State Control, outlines in Chapter 2.2.3.2 –

"where the ship relies upon electronic certificates:

> *.1 the certificates and website used to access them should conform with the Guidelines for the use of electronic certificates (FAL.5/Circ.39/Rev.2 and Corr.1);*

> *.2 specific verification instructions are to be available on the ship; and*

> *.3 viewing such certificates on a computer is considered as meeting the requirement that certificates be "on board"."*

5.2   Considering paragraph 5.1 above, in accordance with FAL.5 Circ.39 Rev.2 Paragraph 4.3 -

"Shipowners, operators and crews on ships that carry and use electronic certificates should ensure that these certificates are controlled through the safety management system, as described in

section 11 of the International Safety Management Code."

6.0   REFERENCES

6.1   FAL.5/Circ.39/Rev.2– Guidelines for the use of Electronic Certificates can be downloaded HERE[1].

6.2   IMO Resolution.A.1138(31) – Guidelines on Port State Control can be downloaded HERE[2].

6.3   Globalsign article on eSignature validity

The Certificate Authority CISR are using for maintaining the necessary "trusted Identity" has published an in-depth article on electronic signature integrity and identifying compromised signatures and documents. Available at the link below:
https://www.globalsign.com/en/blog/electronic-signatures-vs-digital-signatures

6.4   Adobe Reader

This industry standard program is required to verify the authenticity of the electronic signature and to show if the document has been tampered with.
https://get.adobe.com/uk/reader/

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[1] https://wwwcdn.imo.org/localresources/en/OurWork/Facilitation/Documents/FAL.5-Circ.39-Rev.2%20-%20Guidelines%20For%20The%20Use%20Of%20Electronic%20Certificates%20(Secretariat).pdf
[2] https://wwwcdn.imo.org/localresources/en/OurWork/IIIS/Documents/A%2031-Res.1138%20-%20PROCEDURES%20FOR%20PORT%20STATE%20CONTROL,%202019.pdf

ANNEX 1 – Example Certificate

Signed and all signatures are valid.

Signature Panel

Signatures

Validate All

Rev. 1: Signed by Maritime Authority of The Cayman Islands

Signature is valid:

Source of Trust obtained from Adobe Approved Trust List (AATL).

Document has not been modified since this signature was applied

Signer's identity is valid

The signature includes an embedded timestamp.

Signature is LTV enabled

Signature Details

Reason: Newly Issued or Endorsed Digital Certificate

Location: George Town, Grand Cayman

Certificate Details...

Last Checked: 2021.09.04 16:43:36 +01'00'

Field: Embedded_Signature (invisible signature)

Click to view this version

CISR-SMC-I-24-21

INTERIM SAFETY MANAGEMENT CERTIFICATE
Issued under the provisions of the
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA,
1974, as amended
under the authority of
the Government of the Cayman Islands
by
THE CAYMAN ISLANDS SHIPPING REGISTRY
of
THE MARITIME AUTHORITY OF THE CAYMAN ISLANDS

PARTICULARS OF SHIP

NAME OF SHIP	**Example Ship**
DISTINCTIVE NUMBER OR LETTERS	**GXOPCISR**
PORT OF REGISTRY	**George Town**
TYPE OF SHIP	**Oil Tanker**
GROSS TONNAGE	**3500**
IMO NUMBER	**7654320**
NAME AND ADDRESS OF COMPANY *	**Example Shipping Ltd.** **Shipping House, Any Street, District 1, Capital City, AB12 3CD, United Kingdom**
COMPANY IDENTIFICATION NUMBER	**5678910**

THIS IS TO CERTIFY that the requirements of paragraph 14.4 of the ISM Code have been met and that the Document of Compliance / Interim Document of Compliance of the Company is relevant to this ship.

This Interim Safety Management Certificate is valid until **2 March 2022** subject to the Document of Compliance / Interim Document of Compliance remaining valid.

ISSUED AT:
(Place of issue of certificate)
DATE OF ISSUE:
SIGNED:
(Signature of authorized official)

Southampton, UK

4 September 2021
This document is signed electronically in accordance with IMO FAL.5/Circ.39/Rev.2. Validation and authentication can be obtained at https://survey.cishipping.com/certificateverification.mth by using the Unique Tracking Number found at the top of this certificate
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Example Surveyor

* See paragraph 1.1.2 of the ISM Code

Interim Safety Management Certificate   Page 1 of 2   Cert 1421 Rev. M6
This certificate is issued by or on behalf of the Cayman Islands under the responsibility of the United Kingdom as Flag State under the Convention.

ANNEX 2 – Verification Panel