



**GUIDELINES FOR PREPARATION OF
SHIP SECURITY PLAN**

2004

In accordance with International Code for the Security of
Ships and of Port Facilities
(ISPS Code)

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1. Introduction

1.1 General

Ship security means the status reached when the designated ship and personnel, cargoes, equipment and operations onboard the ship get protected to prevent from the illegal activities and acts of terrorism. The purpose of mandatory implementation of the ISPS Code, establishment, implementation, maintenance and continuous improvement of ship security management system is to enable the company and the ship to control maritime security risk and to enhance the effect.

Each ship in service engaged on international voyages will encounter the risk of maritime security threat. The extent of the risk changes with the changing of the service environment of the ship. An effective ship security management system is to have an ability of responding to the change of security threat.

It is recognized that to ensure the safe operation of the ship is the basic responsibility and commitment of the company. Realization of security objective depends greatly on human elements. The alertness, prevention and responding effect of the ship in maritime security mainly depend on the crew's security skill, knowledge, experience and attitude. The preparation of an effective ship security plan is based on integrate security assessment of the specific ship. The effective implementation of the ship security plan is favorable to make the continuous improvement of the ship security practice, and will constantly improve the security culture.

The new requirements of Chapter XI-2 of SOLAS Convention and the ISPS Code cover the ships and port facilities, which require that both ships and port facilities must have a security plan, and form the international framework through which ships and port facilities can co-operate to detect and deter acts which threaten security in the maritime transport sector, by co-ordination and implementation of the ship security plan and the port facility security plan.

The Guidelines is prepared in accordance with the applicable requirements of Chapter XI-2 of SOLAS Convention and Part A and Part B of the ISPS Code, the purpose of which is to provide appropriate guidance for shipping companies in their making ship security plans, and also provide a sample of ship security plan for the reference of shipping companies in making ship security plans.

1.2 Definitions and abbreviations

1.2.1 For the purpose of the Guidelines, the following definitions used in the Guidelines are in conformity with those of SOLAS XI-2 and the ISPS Code:

- a. Ship security plan (SSP) means a plan developed to ensure the application of measures on board the ship designed to protect persons on board, cargo, cargo transport units, ship's stores or the ship from the risks of a security incident.
- b. Company security officer (CSO) means the person designated by the Company for ensuring that a ship security assessment is carried out; that a ship security plan is developed, submitted for approval, and thereafter implemented and maintained and for liaison with port facility security officers and the ship security officer.
- c. Ship security officer (SSO) means the person on board the ship, accountable to the master, designated by the Company as responsible for the security of the ship, including implementation and maintenance of the ship security plan and for liaison with the company security officer and port facility security officers.

- d. Port facility security officer (PFSO) means the person designated as responsible for the development, implementation, amendment and maintenance of the port facility security plan and for liaison with the ship security officers and company security officers.
- e. Security incident means any deliberate suspicious act threatening the security of a ship, including a mobile offshore drilling unit, its crew, passengers, store and cargo, or of a port facility.
- f. Security level means the qualification of the degree of risk that a security incident will be attempted or will occur.
 - .1 Security level 1: normal; the level at which ships and port facilities normally operate and for which minimum appropriate protective security measures are to be maintained.
 - .2 Security level 2: heightened; the level for which appropriate additional protective security measures are to be maintained for a period of time as a result of heightened risk of a security incident.
 - .3 Security level 3: exceptional; the level for which further specific protective security measures are to be maintained for a limited period of time when a security incident is probable or imminent, although it may not be possible to identify the specific target.
- g. Ship/port interface means the interactions that occur when a ship is directly and immediately affected by actions involving the movement of persons, goods or the provisions of port services to or from the ship.
- h. Port facility is a location, as determined by the Contracting Government or by the Designated Authority, where the ship/port interface takes place. This includes areas such as anchorages, waiting berths and approaches from seaward, as appropriate.
- i. Ship to ship activity means any activity not related to a port facility that involves the transfer of goods or persons from one ship to another.
- j. Declaration of Security means an agreement reached between a ship and either a port facility or another ship with which it interfaces specifying the security measures each will implement.
- k. Recognized security organization means the organization authorized to carry out assessment or approval or certification as required in Chapter XI-2 of SOLAS Convention or Part A of the ISPS Code, with appropriate security speciality and with appropriate knowledge in ship and port operations. The recognized organization mentioned in the Guidelines means China Classification Society.
- l. Contracting Governments mean the contracting Governments to 1974 SOLAS Convention and the ISPS Code, including flag States, port States, coastal States.

2. General requirements and preparation criteria of ship security plan

2.1 General requirement of ship security system

- 2.1.1 Each ship is to carry onboard a ship security plan approved by the Administration or the security organization recognized by the Administration.

- 2.1.2 The company security officer (CSO) has the responsibility of ensuring that a ship security plan (SSP) is prepared and submitted for approval. The content of each individual SSP is to vary depending on the particular ship it covers. The ship security assessment (SSA) will have identified the particular features of the ship and the potential threats and vulnerabilities. The preparation of the SSP will require these features to be addressed in detail. Advice on the preparation and content of a SSP prepared by the flag State Administrations is to be considered.
- 2.1.3 Preparation of an effective SSP is to rest on a thorough assessment of all issues that relate to the security of the ship, including, in particular, a thorough appreciation of the physical and operational characteristics, including the voyage pattern, of the individual ship.
- 2.1.4 The submission of a ship security plan, or of amendments to a previously approved plan, for approval is to be accompanied by the security assessment on the basis of which the plan, or the amendments, have been developed.
- 2.1.5 The Administration is to determine which changes to an approved ship security plan or to any security equipment specified in an approved plan shall not be implemented unless the relevant amendments to the plan are approved by the Administration. Any such changes are to be at least as effective as those measures prescribed in chapter XI-2 and the ISPS Code.
- 2.1.6 The nature of the changes to the ship security plan or the security equipment that have been specifically approved by the Administration, pursuant to 2.1.5, is to be documented in a manner that clearly indicates such approval. This approval is to be available on board and to be presented together with the International Ship Security Certificate (or the Interim International Ship Security Certificate). If these changes are temporary, once the original approved measures or equipment are reinstated, this documentation no longer needs to be retained by the ship.
- 2.1.7 If there is any subsequent failure of security equipment or systems, or suspension of a security measure for whatever reason after the ship has obtained International Ship Security Certificate from the Administration or the recognized security organization through its initial verification, equivalent temporary security measures are to be adopted, notified to, and agreed by, the Administration or the recognized security organization.
- 2.1.8 The ship security plan is to be written in the working language or languages of the ship. If the language or languages used is not English, French or Spanish, a translation into one of these languages is to be included.
- 2.1.9 The ship security plan may be kept in an electronic format. In such a case, it is to be protected by procedures aimed at preventing its unauthorized deletion, destruction or amendment.
- 2.1.10 The plan is to be protected from unauthorized access or disclosure.
- 2.1.11 Ship security plans are not subject to inspection by officers duly authorized by a contracting Government to carry out control and compliance measures in accordance with Reg. XI-2/9 of SOLAS Convention, unless:

If the officers duly authorized by a contracting Government have clear grounds to believe that the ship is not in compliance with the requirements of chapter XI-2 or Part A of the ISPS Code, and the only means to verify or rectify the non-compliance is to review the relevant requirements of the ship security plan, limited access to the specific sections of the plan relating to the non-compliance is exceptionally allowed, but only with the consent of the contracting Government of, or the master of, the ship concerned. Nevertheless, the following provisions in the plan are considered as confidential information, and cannot be subject to inspection unless otherwise agreed by the contracting Governments concerned:

- identification of the restricted areas and measures for the prevention of unauthorized access;
 - procedures for responding to security threats or breaches of security, including provisions for maintaining critical operations of the ship or ship/port interface;
 - procedures for responding to any security instructions contracting Governments may give at security level 3;
 - duties of shipboard personnel assigned security responsibilities and of other shipboard personnel on security aspects;
 - procedures to ensure the inspection, testing, calibration, and maintenance of any security equipment provided on board, if any;
 - identification of the locations where the ship security alert system activation points are provided; and
 - procedures, instructions and guidance on the use of the ship security alert system, including the testing, activation, deactivation and resetting and to limit false alerts.
- 2.1.12 Personnel conducting internal audits of the security activities specified in the plan or evaluating its implementation are to be independent of the activities being audited unless this is impracticable due to the size and the nature of the Company or of the ship.

2.2 Preparation criteria of ship security plan

- 2.2.1 Ship security plan is to be prepared and amended based on the thorough assessment on all aspects of the ship security; and relevant security measures in the plan are to be ranged in priority in accordance with the threats likely to be encountered by and the possibility of the threats happening to, the ship determined in the security plan.
- 2.2.2 Ship security plan is to be prepared in accordance with all applicable requirements to ship specified in Chapter XI-2 of SOLAS and Part A of the ISPS Code, and in addition, relevant guidance provided in Part B of the ISPS Code are to be considered. The functional requirements given in 3 of the Guidelines are to be considered necessary as a reference for the company in developing the ship security plan.

3. Content requirements for preparation of ship security plan

Ship security plan is to be prepared at least to satisfy the applicable requirements in Part A of the ISPS Code, and in addition, relevant guidance provided in Part B of the ISPS Code are to be considered. The specific requirements and recommendations to the ship security plan made in this Section are to be considered as follows by the company in developing the plan.

3.1 Content requirements of ship security plan

- 3.1.1 In accordance with the applicable requirements in Part A of the ISPS Code, ship security plan is at least to include the following:

- .1 Reg. A/6.1

The Company is to ensure that the ship security plan contains a clear statement emphasizing the master's authority. The Company shall establish in the ship security plan that the master has the overriding authority and responsibility to make decisions with respect to the security of the ship and to request the assistance of the Company or of any contracting Government as may be necessary.

.2 Reg. A/6.2

The Company is to ensure that the company security officer, the master and the ship security officer are given the necessary support to fulfill their duties and responsibilities in accordance with chapter XI-2 and Part A of the Code.

.3 Reg. A/7.2

At security level 1, the following activities are to be carried out, through appropriate measures, on all ships, taking into account the guidance given in Part B of the Code, in order to identify and take preventive measures against security incidents:

- a. ensuring the performance of all ship security duties;
- b. controlling access to the ship;
- c. monitoring restricted areas to ensure that only authorized persons have access;
- d. monitoring of deck areas and areas surrounding the ship;
- e. supervising the handling of cargo and ship's stores; and ensuring that security communication is readily available.

.4 Reg. A/7.3

At security level 2, the additional protective measures are to be implemented for each activity detailed in Reg.7.2.

.5 Reg. A/7.4

At security level 3, further specific protective measures are to be implemented for each activity detailed in Reg.7.2.

.6 Reg. A/9.1

The ship security plan is to make provisions for the three security levels as defined in the ISPS Code.

.7 Reg. A/9.4

The ship security plan is to address, at least, the following:

- a. measures designed to prevent weapons, dangerous substances and devices intended for use against people, ships or ports and the carriage of which is not authorized from being taken on board the ship;
- b. identification of the restricted areas and measures for the prevention of unauthorized access;
- c. measures for the prevention of unauthorized access to the ship;
- d. procedures for responding to security threats or breaches of security, including provisions for maintaining critical operations of the ship or ship/port interface;

- e. procedures for responding to any security instructions contracting Governments may give at security level 3;
- f. procedures for evacuation in case of security threats or breaches of security;
- g. duties of shipboard personnel assigned security responsibilities and of other shipboard personnel on security aspects;
- h. procedures for auditing the security activities;
- i. procedures for training, drills and exercises associated with the plan;
- j. procedures for interfacing with port facility security activities;
- k. procedures for the periodic review of the plan and for updating;
- l. procedures for reporting security incidents;
- m. identification of the ship security officer;
- n. identification of the company security officer including with 24-hour contact details;
- o. procedures to ensure the inspection, testing, calibration, and maintenance of any security equipment provided on board, if any;
- p. frequency for testing or calibration any security equipment provided on board, if any;
- q. identification of the locations where the ship security alert system activation points are provided; and
- r. procedures, instructions and guidance on the use of the ship security alert system, including the testing, activation, deactivation and resetting and to limit false alerts.

3.1.2 The specific recommendations are given for developing ship security plan as specified in Part B/8.1 to 13.8 of the ISPS Code, which are to be sufficiently considered in developing the plan. The applicable requirements for developing the ship security plan specified in Part B/8.1 to 13.8 are as follows:

.1 Reg. B/9.2

All SSPs are to:

- a. detail the organizational structure of security for the ship;
- b. detail the ship's relationships with the Company, port facilities, other ships and relevant authorities with security responsibility;
- c. detail the communication systems to allow effective continuous communication within the ship and between the ship and others, including port facilities;
- d. detail the basic security measures for security level 1, both operational and physical, that will always be in place;
- e. detail the additional security measures that will allow the ship to progress without delay to security level 2 and, when necessary, to security level 3;
- f. provide for regular review, or audit, of the SSP and for its amendment in response to experience or changing circumstances; and

g. reporting procedures to the appropriate contracting Governments contact points.

.2 Reg. B/9.5

CSO and ship security officer (SSO) are to develop the procedures to:

- a. assess the continuing effectiveness of the SSP; and
- b. prepare amendments of the plan subsequent to its approval.

.3 Reg. B/9.7

The ship security plan is also to establish the following which relate to all security levels:

- a. the duties and responsibilities of all shipboard personnel with a security role;
- b. the procedures or safeguards necessary to allow such continuous communications to be maintained at all times;
- c. the procedures needed to assess the continuing effectiveness of security procedures and any security and surveillance equipment and system, including procedures for identifying and responding to equipment or systems failure or malfunction;
- d. the procedures and practices to protect security information held in paper or electric format;
- e. the type and maintenance requirements, of security and surveillance equipment and systems, if any;
- f. the procedures to ensure the timely submission, and assessment, of reports relating to possible breaches of security concerns; and
- g. procedures to establish, maintain and up-date an inventory of any dangerous goods or hazardous substances carried on board, including their locations.

.4 Reg. B/9.50

The SSP is to establish details of the procedures and security measures the ship could adopt if the ship is at a higher security level than that applying to a port facility.

.5 Reg. B/9.51

The SSP is to establish details of the procedures and security measures the ship is to apply when:

- a. it is at a port of a state which is not a contracting Government;
- b. it is interfacing with a ship to which this Code does not apply;
- c. it is interfacing with fixed or floating platforms or mobile drilling unit on location; or
- d. it is interfacing with a port facility which is not required to comply with Chapter XI-2 of SOLAS and Part A of the Code.

.6 Reg. B/9.52

The SSP is to detail how requests for DoS from a port facility will be handled and the circumstances under which the ship itself is to request a DoS.

.7 Reg. B/9.53

The SSP is to establish how the CSO and the SSO intend to audit the continued effectiveness of the SSP and the procedure to be followed to review, update or amend the SSP.

- .8 Reg.B/9.8 to 9.49 address specifically the following security measures in to be taken at each security level, which are to be sufficiently considered in developing the ship security plan:
- a. access to the ship by ship's personnel, passengers, visitors, etc.;
 - b. restricted areas on the ship;
 - c. handling of cargo;
 - d. delivery of ship's stores;
 - e. handling unaccompanied baggage; and
 - f. monitoring the security of the ship.

3.1.3 The following security measures given in Reg. B/9.8 to 9.49 to be taken at each security level are as follows:

a. **access to the ship**

Reg. 9.9 The SSP is to establish the security measures covering all means of access to the ship identified in the SSA. This is to include any:

- .1 access ladders;
- .2 access gangways;
- .3 access ramps;
- .4 access doors, side scuttles, windows and ports;
- .5 mooring lines and anchor chains; and
- .6 cranes and hoisting gear.

Reg. 9.10 For each of these, the SSP is to identify the appropriate locations where access restrictions or prohibitions are to be applied for each of the security levels. For each security level, the SSP is to establish the type of restriction or prohibition to be applied and the means of enhancing them.

Reg. 9.11 The SSP is to establish for each security level the means of identification required to allow access to the ship and for individuals to remain on the ship without challenge, this may involve developing an appropriate identification system allowing for permanent and temporary identifications, for ship's personnel and visitors respectively. Any ship identification system is, when it is practicable to do so, to be coordinated with that applying to the port facility. Passengers are to be able to prove their identity by boarding passes, tickets, etc., but are not to be permitted to access to restricted areas unless supervised. The SSP is to establish provisions to ensure that the identification systems are regularly updated, and that abuse of procedures is to be subject to disciplinary action.

Reg. 9.12 Those unwilling or unable to establish their identity and/or to confirm the purpose of their visit when requested to do so are to be denied access to the ship and their attempt to obtain access is to be reported, as appropriate, to the SSO, the CSO, the port facility security officer (PFSO) and to the national or local authorities with security responsibilities.

Reg. 9.13 The SSP is to establish the frequency of application of any access controls particularly if they are to be applied on a random, or occasional, basis.

Security level 1

Reg. 9.14 At security level 1, the SSP is to establish the security measures to control access to the ship, where the following may be applied:

- .1 checking the identity of all persons seeking to board the ship and confirming their reasons for doing so by checking, for example, joining instructions, passenger tickets, boarding passes, work orders etc.;
- .2 in liaison with the port facility, the ship is to ensure that designated secure areas are established in which inspections and searching of persons, baggage (including carry on items), personnel effects, vehicles and their contents can take place;
- .3 in liaison with the port facility, the ship is to ensure that vehicles destined to be loaded on board cargo carriers, ro-ro and other passenger ships are subjected to search prior to loading, in accordance with the frequency required in the SSP;
- .4 segregating checked persons and their personal effects from unchecked persons and their personal effects;
- .5 segregating embarking from disembarking passengers;
- .6 identification of access points that are to be secured or attended to prevent unauthorized access;
- .7 securing, by locking or other means, access to unattended spaces adjoining areas to which passengers and visitors have access; and
- .8 providing security briefings to all ship personnel on possible threats, the procedures for reporting suspicious persons, objects or activities and need for vigilance.

Reg. 9.15 At security level 1, all those seeking to board a ship are to be liable to search. The frequency of such searches, including random searches, is to be specified in the approved SSP and is to be specifically approved by the Administration. Such searches may best be undertaken by the port facility in close cooperation with the ship and in close proximity to it. Unless there are clear security grounds for doing so, members of the ship's personnel are not to be required to search their colleagues or their personal effects. Any such search is to be undertaken in a manner which fully takes into account the human rights of the individual and preserves their basic human dignity.

Security level 2

Reg. 9.16 At security level 2, the SSP is to establish the security measures to be applied to protect against a heightened risk of a security incident to ensure higher vigilance and tighter control, which may include:

- .1 assigning additional personnel to patrol deck areas during silent hours to deter unauthorized access;
- .2 limiting the number of access points to the ship, identifying those to be closed and means of adequately securing them;

- .3 deterring waterside access to the ship, including, for example, in liaison with the port facility, provision of boat patrols;
- .4 establishing a restricted area on the shore-side of the ship, in close cooperation with the port facility;
- .5 increasing the frequency and detail of searches of persons, personnel effects, and vehicles being embarked or loaded onto the ship;
- .6 escorting visitors on the ship;
- .7 providing additional specific security briefings to all ship personnel on any identified threats, re-emphasizing the procedures for reporting suspicious persons, objects, or activities and the stressing the need for increased vigilance; and
- .8 carrying out a full or partial search of the ship.

Security level 3

Reg. 9.17 At security level 3, the ship is to comply with the instructions issued by those responding to the security incident or threat thereof. The SSP is to detail the security measures which could be taken by the ship, in close co-operation with those responding and the port facility, which may include:

- .1 limiting access to a single , controlled, access point;
- .2 granting access only to those responding to the security incident or threat thereof;
- .3 directions of persons on board;
- .4 suspension of embarkation and disembarkation;
- .5 suspension of cargo handling operations, deliveries etc;
- .6 evacuation of the ship;
- .7 movement of the ship; and
- .8 preparing for a hull or partial search of the ship.

b. **Restricted areas on the ship**

Reg. 9.18 The SSP is to identify the restricted areas to be established on the ship, specify their extent, times of application, the security measures to be taken to control access to them and those to be taken to control activities within them. The purpose of restricted areas is to:

- .1 prevent unauthorized access;
- .2 protect passengers, ship's personnel, and personnel from port facilities or other agencies authorized to be on board the ship;
- .3 protect sensitive security areas within the ship; and
- .4 protect cargo and ship's stores from tampering.

Reg. 9.19 The SSP is to ensure that there are clearly established policies and practices to control access to all restricted areas.

Reg. 9.20 The SSP is to provide that all restricted areas are to be clearly marked indicating that access to the area is restricted and that unauthorized presence within the area constitutes a breach of security.

Reg. 9.21 Restricted areas may include:

- .1 navigation bridge, machinery spaces of category A and other control stations as defined in chapter II-2;
- .2 spaces containing security and surveillance equipment and systems and their controls and lighting system controls;
- .3 ventilation and air-conditioning systems and other similar spaces;
- .4 spaces with access to portable water tanks, pumps, or manifolds;
- .5 spaces containing dangerous goods and hazardous substances;
- .6 spaces containing cargo pumps and their controls;
- .7 cargo spaces and spaces containing ship's stores;
- .8 crew accommodation; and
- .9 any other areas as determined by the CSO, through the SSA to which access must be restricted to maintain the security of the ship.

Security level 1

Reg. 9.22 At security level 1, the SSP is to establish the security measures to be applied to restricted areas, which may include:

- .1 locking or securing access points;
- .2 using surveillance equipment to monitor the areas;
- .3 using guards or patrols; and
- .4 using automatic intrusion detection devices to alert the ship's personnel of unauthorized access.

Security level 2

Reg. 9.23 At security level 2, the frequency and intensity of the monitoring of, and control of access to restricted areas are to be increased to ensure that only authorized persons have access. The SSP is to establish the additional measures to be applied, which may include:

- .1 establishing restricted areas adjacent to access points;
- .2 continuously monitoring surveillance equipment; and
- .3 dedicating additional personnel to guard and patrol restricted areas.

Security level 3

Reg. 9.24 At security 3, the ship is to comply with the instructions issued by those responding to the security incident or threat thereof. The SSP is to detail the security measures which could be taken by the ship. In close co-operation with those responding and port facility, which may include:

- .1 setting up of additional restricted areas on the ship in proximity to the security incident, or the believed location of the security threat, to which access is denied; and
- .2 searching of restricted areas as part of a search of the ship.

c. Handling of cargo

Reg. 9.25 The security measures relating to cargo handling are to:

- .1 prevent tampering; and
- .2 prevent cargo that is not meant for carriage from being accepted and stored on board the ship.

Reg. 9.26 The security measures, some of which may have to be applied in liaison with the port facility, are to include inventory control procedures at access points to the ship. Once on board the ship, cargo is to be capable of being identified as having been approved for loading onto the ship. In addition, security measures are to be developed to ensure that cargo, once on board, is not tampered with.

Security level 1

Reg. 9.27 At security level 1, the SSP is to establish the security measures to be applied during cargo handling, which may include:

- .1 routine checking of cargo, cargo transport units and cargo spaces prior to, and during, cargo handling operations;
- .2 checks to ensure that cargo being loaded matches the cargo documentation;
- .3 ensuring, in liaison with the port facility, that vehicles to be loaded on board car-carriers, ro-ro and passenger ships are subjected to search prior to loading, in accordance with the frequency required in the SSP; and
- .4 checking of seals or other methods used to prevent tampering.

Reg. 9.28 Checking of cargo may be accompanied by the following means:

- .1 visual and physical examination; and
- .2 using scanning/detection equipment, mechanical devices, or dogs.

Reg. 9.29 When there are regular, or repeated, cargo movement the CSO or SSO may, in consultation with the port facility, agree arrangements with shippers or others responsible for such cargo covering off-site checking, sealing, scheduling, supporting documentation, etc. Such arrangements are to be communicated to and agreed with the PFSO concerned.

Security level 2

Reg. 9.30 At security level 2, the SSP is to establish the additional security measures to be applied during cargo handling, which may include:

- .1 detailed checking of cargo, cargo transport units and cargo spaces;
- .2 intensified checks to ensure that only the intended cargo is loaded;
- .3 intensified searching of vehicles to be loaded on car-carriers, ro-ro and passenger ships; and

- .4 increased frequency and detail in checking of seals or other methods used to prevent tampering.

Reg. 9.31 Detailed checking of cargo may be accomplished by the following means:

- .1 increasing the frequency and detail of visual and physical examination;
- .2 increasing the frequency of the use of scanning/detection equipment, mechanical devices, or dogs; and
- .3 co-ordinating enhanced security measures with the shipper or other responsible party in accordance with an established agreement and procedures.

Security level 3

Reg. 9.32 At security level 3, the ship is to comply with the instructions issued by those responding to the security incident or threat thereof. The SSP is to detail the security measures which could be taken by the ship, in close co-operation with those responding and the port facility, which may include:

- .1 suspension of the loading or unloading of cargo; and
- .2 verify the inventory of dangerous goods and hazardous substances carried on board, if any, and their location.

d. Delivery of ship's stores

Reg. 9.33 The security measures relating to the delivery of ship's stores are to:

- .1 ensure checking of ship's stores and package integrity;
- .2 prevent ship's stores from being accepted without inspection;
- .3 prevent tampering; and
- .4 prevent ship's stores from being accepted unless ordered.

Reg. 9.34 For ships regularly using the port facility it may be appropriate to establish procedures involving the ship, its suppliers and the port facility covering notification and timing of deliveries and their documentation. There should always be some way of confirming that stores presented for delivery are accompanied by evidence that they have been ordered by the ship.

Security level 1

Reg. 9.35 At security level 1, the SSP is to establish the security measures to be applied during delivery of ship's stores, which may include:

- .1 checking to ensure stores match the order prior to being loaded on board; and
- .2 ensuring immediate secure stowage of ship's stores.

Security level 2

Reg. 9.36 At security level 2, the SSP is to establish the additional security measures to be applied during delivery of ship's stores by exercising checks prior to receiving stores on board and intensifying inspections.

Security level 3

Reg. 9.37 At security level 3, the ship is to comply with the instructions issued by those responding to the security including or threat thereof. The SSP is to detail the security measures which could be taken by the ship, in close co-operation with those responding and the port facility, which may include:

- .1 subjecting ship's stores to more extensive checking;
- .2 preparation for restriction and suspension of handling of ship's stores; and
- .3 refused to accept the ship's stores on board the ship.

e. Handling unaccompanied baggage

Reg. 9.38 The SSP is to establish the security measures to be applied to ensure that unaccompanied baggage (i.e. any baggage, including personal effects, which is not with the passenger or member of ship's personnel at the point of inspection or search) is identified and subjected to appropriate screening, including searching, before it is accepted on board the ship. It is not envisaged that such baggage will be subjected to screening by both the ship and the port facility, and in cases where both are suitably equipped, the responsibility for screening is to rest with the port facility. Close co-operation with the port facility is essential and steps are to be taken to ensure that unaccompanied baggage is handled securely after screening.

Security level 1

Reg. 9.39 At security level 1, the SSP is to establish the security measures to be applied when handling unaccompanied baggage to ensure that unaccompanied baggage is screened or searched up to and including 100 percent, which may include use of x-ray screening.

Security level 2

Reg. 9.40 At security level 2, the SSP is to establish the additional security measures to be applied when handling unaccompanied baggage which should include 100 percent x-ray screening of all unaccompanied baggage.

Security level 3

Reg. 9.41 At security level 3, the ship is to comply with the instructions issued by those responding to the security incident or threat thereof. The SSP is to detail the security measures which could be taken by the ship, in close co-operation with those responding and the port facility, which may include:

- .1 subjecting such baggage to more extensive screening, for example X-raying it from at least two different angles;
- .2 preparation for restriction or suspension of handling of unaccompanied baggage; and
- .3 refusal to accept unaccompanied baggage on board the ship.

f. Monitoring the security of the ship

Reg. 9.42 The ship is to have the capability to monitor the ship, the restricted areas on board and areas surrounding the ship. Such monitoring capabilities may include use of:

- .1 lighting;
- .2 watch-keepers, security guards and deck watches including patrols; and

.3 automatic intrusion detection devices and surveillance equipment.

Reg. 9.43 When used, automatic intrusion detection devices are to activate an audible and/or visual alarm at a location that is continuously attended or monitored.

Reg. 9.44 The SSP is to establish the procedures and equipment needed at each security level and the means of ensuring that monitoring equipment will be able to perform continually, including consideration of the possible effects of weather conditions or of power disruptions.

Security level 1

Reg. 9.45 At security level 1, the SSP is to establish the security measures to be applied which may be a combination of lighting, watch keepers, security guards or use of security and surveillance equipment to allow ship's security personnel to observe the ship in general, and barriers and restricted areas in particular.

Reg. 9.46 The ship's deck and access points to the ship are to be illuminated during hours of darkness and periods of low visibility while conducting ship/port interface activities or at a port facility or anchorage when necessary. While underway, when necessary, ships are to use the maximum lighting available consistent with safe navigation, having regard to the provisions of the International Regulation for the Prevention of Collisions at Sea in force.. The following are to be considered when establishing the appropriate level and location of lighting:

- .1 the ship's personnel are to be able to detect activities beyond the ship, on both the shore side and the waterside;
- .2 coverage is to include the area on and around the ship;
- .3 coverage is to facilitate personnel identification at access points; and
- .4 coverage may be provided through coordination with the port facility.

Security level 2

Reg. 47 At security level 2, the SSP is to establish the additional security measures to be applied to enhance the monitoring and surveillance capabilities, which may include:

- .1 increasing the frequency and detail of security patrols;
- .2 increasing the coverage and intensity of lighting or the use of security and surveillance and equipment;
- .3 assigning additional personnel as security lookouts; and
- .4 ensuring coordination with waterside boat patrols, and foot or vehicle patrols on the shore-side, when provided.

Reg. 9.48 Additional lighting may be necessary to protect against a heightened risk of a security incidents. When necessary, the additional lighting requirements may be accomplished by co-ordinating with the port facility to provide additional shore side lighting.

Security level 3

Reg. 9.49 At security level 3, the ship is to comply with the instructions issued by those responding to the security incident or threat thereof. The SSP is to detail the security measures which could be taken by the ship, in close co-operation with those responding and the port facility, which may include:

- .1 switching on of all lighting on, or illuminating the vicinity of, the ship;
- .2 switching on of all on board surveillance equipment capable of recording activities on, or in the vicinity of, the ship;
- .3 maximizing the length of time such surveillance equipment can continue to record;
- .4 preparation for underwater inspection of the hull of the ship; and
- .5 initiation of measures, including the slow revolution of the ship's propellers, if practicable, to deter underwater access to the hull of the ship.

3.2 Record requirements related to ship security plan (ISPS Part A/10 and Part B/10)

3.2.1 Records of the following activities addressed in the ship security plan is to be kept on board for at least the minimum period specified by the Administration, bearing in mind the provisions of SOLAS regulation XI-2/9.2.3 (to keep records of the information for the last 10 calls at port facilities):

- .1 training, drills and exercises;
- .2 security threats and security incidents;
- .3 breaches of security;
- .4 changes in security level;
- .5 communications relating to the direct security of the ship such as specific threats to the ship or to port facilities the ship is, or has been;
- .6 internal audits and reviews of security activities;
- .7 periodic review of the ship security assessment;
- .8 periodic review of the ship security plan;
- .9 implementation of any amendments to the plan; and
- .10 maintenance, calibration and testing of any security equipment provided on board, including testing of the ship security alert system.

3.2.2 In addition to the records of security activities required in 3.2.1 above, it is recommended that each security activity specified in the plan be fully taken into account in developing ship security plan, so as to form the records of other related security activities, and to verify the ship security plan being implemented.

3.2.3 The records of security activities required in 3.2.1 above are to be kept in the working language or languages of the ship. If the language or languages used are not English, French or Spanish, a translation into one of these languages is to be included.

3.2.4 The records may be kept in an electronic format. In such a case, they are to be protected by procedures aimed at preventing their unauthorized deletion, destruction or amendment.

- 3.2.5 The records are to be available to duly authorized officers of contracting Governments to verify the ship security plan being implemented.
- 3.2.6 The records format is not limited but are to be safeguarded to prevent their unauthorized access or disclosure.

4. Preparation and Sample of Ship Security Plan

4.1 Preparation of ship security plan

- 4.1.1 The company security officer has the responsibility of ensuring that a ship security plan is prepared and submitted for approval. The content of each individual SSP is to vary depending on the particular ship it covers. The preparation of the plan is to be based on the ship security assessment, to identify the particular features of the ship, the navigation information and the potential threats and vulnerabilities. The preparation of the SSP will require these features to be addressed in detail. Advice on the preparation and content of a SSP prepared by the flag State Administrations is to be considered. Determination of the security measures at different levels in the plan is to identify and optimize the security measures. It is to be beneficial to mitigating threats the ship is likely to be encountered, and practices and experiences of the company in ship security aspects can be reflected in the ship security plan.
- 4.1.2 The recognized security organization may prepare ship security plan for a specific ship. In such cases the recognized security organization is not to be involved in review and approval of that plan.

4.2 Approval responsibility for ship security plan

- 4.2.1 The approval of the ship security plan is up to the responsibility of the flag State Administration or its recognized security organization. The ship security plan submitted by the company for approval is to be finally satisfied by the flag State Administration or its recognized organization.

4.3 Instructions for using the sample of ship security plan

The Guidelines provides a sample of ship security plan, the content of which is referred to the annex. It is to be born in mind that the sample is not a model one, but is only a reference for the company in developing ship security plan, and that China Classification Society who developed the Guidelines will not bear any responsibility for the damage or loss due to the using of the sample of the plan. The sample of the ship security plan consists of 20 chapters. The company can change the order of the chapters when developing ship security plan. Anyhow the contents of the ship security plan are to cover at least but not limited to the following chapters:

- ship security organization structure;
- personnel training;
- drills and exercises;
- records and documents;
- responding to security levels;

- procedures for co-ordinating with port facilities and other ships;
- declaration of security;
- security communication;
- security equipment;
- access controls;
- restricted areas;
- cargo handling;
- delivery of stores and fuel;
- security monitoring;
- procedures for security emergency responding and security incident reporting;
- audit, review and amendment of plan.

Appendix: Sample of Ship Security Plan

Appendix

SHIP SECURITY PLAN

(SAMPLE)

Version 1.0

SHIP NAME: XXXXXXXX

Company: XXXXXXXX

{Note: Because this is a generic plan rather than a ship-specific plan, it is not marked as sensitive information. Typically, ship security plans should be plainly marked to warn personnel having access to the plan that it needs to be protected and should not be released. Also, companies will need to coordinate with their flag administration and port facility security officers to determine what specific security information protection measures apply.}

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Chapter 1 General

1.1 Brief introduction

- 1.1.1 The Diplomatic Conference on Maritime Security held in London in December 2002 adopted new provisions in the International Convention for the Safety of Life at Sea, 1974 and International Code for the Security of Ships and of Port Facilities (ISPS Code) to enhance maritime security, requiring the industry involved in ships and port facilities to cooperate with those undertaking security work for the national and local authorities to detect and deter illegal acts which threaten security in the maritime transport sector, and to form the international framework of ships and port facilities.
- 1.1.2 This ship security plan is prepared in accordance with Chapter XI-2 of SOLAS Convention and Part A of the ISPS Code, and the applicable requirements of Part B of the ISPS Code are considered. Measures and procedures for preventing illegal acts are developed in the plan to safeguard ships, crew, passengers, cargoes and port facilities.
- 1.1.3 This plan is approved by China Classification Society—the recognized security organization authorized by the Administration and continues to be valid.
- 1.1.4 The circulation of the authorized copy of this ship security plan must be under control so as to ensure that all holders of authorized plans can be available in time to the latest amended edition of this plan. The amended plan is to be issued by ship security officer after approved by the master and the company security officer. If there are major changes of this plan, it must be approved by China Classification Society — the authorized security organization.
- 1.1.5 This plan, being a confidential document, can only be distributed to the personnel related to implementation or assessment of this security plan. All copies of the plan are to be controlled, and when being transmitted, it must be declared that the information of the plan is sensitive and confidential. The contents of the plan are not allowed to disclose to unauthorized organizations or individuals.

1.2 Definitions

- 1.2.1 Ship security plan (SSP) means a plan developed to ensure the application of measures on board the ship designed to protect persons on board, cargo, cargo transport units, ship's stores or the ship from the risks of a security incident.
- 1.2.2 Company security officer (CSO) means the person designated by the Company for ensuring that a ship security assessment is carried out; that a ship security plan is developed, submitted for approval, and thereafter implemented and maintained and for liaison with port facility security officers and the ship security officer.
- 1.2.3 Ship security officer (SSO) means the person on board the ship, accountable to the master, designated by the Company as responsible for the security of the ship, including implementation and maintenance of the ship security plan and for liaison with the company security officer and port facility security officers.
- 1.2.4 Port facility security officer (PFSO) means the person designated as responsible for the development, implementation, amendment and maintenance of the port facility security plan and for liaison with the ship security officers and company security officers.

- 1.2.5 Security incident means any deliberate suspicious act threatening the security of a ship, including a mobile offshore drilling unit, its crew, passengers, store and cargo, or of a port facility.
- 1.2.6 Security level means the qualification of the degree of risk that a security incident will be attempted or will occur.
- .1 Security level 1: normal; the level at which ships and port facilities normally operate and for which minimum appropriate protective security measures are to be maintained.
 - .2 Security level 2: heightened; the level for which appropriate additional protective security measures are to be maintained for a period of time as a result of heightened risk of a security incident.
 - .3 Security level 3: exceptional; the level for which further specific protective security measures are to be maintained for a limited period of time when a security incident is probable or imminent, although it may not be possible to identify the specific target.
- 1.2.7 Ship/port interface means the interactions that occur when a ship is directly and immediately affected by actions involving the movement of persons, goods or the provisions of port services to or from the ship.
- 1.2.8 Port facility is a location, as determined by the Contracting Government or by the Designated Authority, where the ship/port interface takes place. This includes areas such as anchorages, waiting berths and approaches from seaward, as appropriate.
- 1.2.9 Ship to ship activity means any activity not related to a port facility that involves the transfer of goods or persons from one ship to another.
- 1.2.10 Declaration of security means an agreement reached between a ship and either a port facility or another ship with which it interfaces specifying the security measures each will implement.
- 1.2.11 Recognized security organization means the organization authorized to carry out assessment or approval or certification as required in Chapter XI-2 of SOLAS or Part A of the ISPS Code, with appropriate security speciality and with appropriate knowledge in ship and port operations. The recognized organization mentioned in this plan means China Classification Society.
- 1.2.12 Contracting Governments mean the contracting Governments to 1974 SOLAS Convention and the ISPS Code, including flag States, port States, coastal States.

1.3 Security policy and objectives of the company

1.3.1 Security policy of XXXXXX Company:

(Security policy determined by the company is to be listed here)

1.3.2 Security objectives:

(Security objectives determined by the company are to be listed here)

1.4 Measures to realize security objectives

(Measures made by the company to realize security objectives are to be listed here)

1.5 Master's uppermost authorities and responsibilities

- 1.5.1 The master has the uppermost authorities and responsibilities to make decisions for the ship's safety and security, and to request his company or any contracting Government to supply assist where necessary.
- 1.5.2 The master is not to be constrained by the company, the charterer or any other person from taking or executing any decision which, in the professional judgement of the master, is necessary to maintain the safety and security of the ship. This includes denial of access to persons (except those identified as duly authorized by a contracting Government) or their effects and refusal to load cargo, including containers or other closed cargo transport units.
- 1.5.3 The master is to bear the final responsibilities for the ship security at any time. Even if it is at security level 3, the master may request clarifying or amending the instructions given by the organization responding to security incidents or security threats if he has reason to believe that the implementation of any instructions relating thereto may endanger the safety of the ship.
- 1.5.4 If, upon the professional judgement of the master, there is contradiction between the requirements for safety and security appropriate to the ship operations, the master is to implement the requisite requirements for maintaining the ship's safety. Under such circumstances, the master is to implement the temporary security measures and immediately to inform the Administration of the measures to be taken, and is also to inform the contracting Government where the ship is or the port of which the ship is intended to. Any such temporary security measures to be taken are to be equal, as far as possible, to the security level to be maintained.

1.6 The information of the company and the ship

1.6.1 The ship's particulars

Name of ship		Flag of ship	
Distinctive letters		IMO number	
Type of ship		Servicing area	
Overall length		Breadth of ship	
Gross tonnage		Net tonnage	
Summer draft		Summer loadline	
Displacement		Deadweight tonnage	
Class		Station C telex	
Station A telex		Satcom telephone	
Satcom fax			

1.6.2 The information of the company

Name of company:

Address:

Telephone:

Fax:

1.7 Responsibilities and commitments of the company

- 1.7.1 The company is to be sure of providing the master in time with the following information and to be obliged to update and keep the information current as and when changes occur:
- .1 parties responsible for appointing shipboard personnel, such as ship management companies, manning agents, contractors, concessionaires (for example, retail sales outlets, casinos, etc.) and their contact details;
 - .2 parties responsible for deciding the employment of the ship and their contact details;
 - .3 in cases when the ship is employed under the terms of a charter party, the contact details of those parties including time or voyage charterers.
- 1.7.2 The company promises to provide necessary human and material resources to ensure that the company security officer, the master, the ship security officer will fulfill their duties and responsibilities.
- 1.7.3 The company is to require all the personnel (the company security officer, the ship security officer, the master and all the crew) of the company to abide by relevant international conventions, relevant regulations and specifications of contracting Governments, to implement strictly the company security policy and the ship security plan, and to adhere to different operation procedures. For those violating the company security policy and abusing the procedures, the company will take administrative and/or disciplinary measures against them, including economic punishment, administrative reduction, and even dismissal if it is of a serious nature.

Chapter 2 Ship Security Organization Structure and Responsibilities

The Chapter describes the organization, personnel and posts of the ship security and the duties and responsibilities in security aspect, so as to ensure the effective implementation of the plan. When personnel are assigned to implement their security responsibilities, other specifications of STCW Convention are to be taken into account, especially the specifications for related rest time to prevent the personnel for over fatigue.

2.1 Organizational structure

(Note: the company must indicate the organizational structure of the ship security)

2.2 Company security officer

2.2.1 The company is to appoint XXXX to be the company security officer for the ship.

2.2.2 The contact details of the company are as follows:

.1 24-hour-contact of the company:

Telephone:

Fax:

E-mail:

.2 24-hour-contact of the company security officer:

Office telephone:

Home telephone:

Mobile phone:

Fax:

E-mail:

2.2.3 The company security officer is responsible for all the security affairs related to the ship.

2.2.4 The responsibilities of the company security officer includes:

- .1 advising the level of threats likely to be encountered by the ship, using appropriate security assessments and other relevant information;
- .2 ensuring that ship security assessments are carried out;
- .3 ensuring the development, the submission for approval, and thereafter the implementation and maintenance of the ship security plan;
- .4 ensuring that the ship security plan is modified, as appropriate, to correct deficiencies and satisfy the security requirements of the individual ship;
- .5 arranging for internal audits and reviews of security activities;
- .6 arranging for the initial and subsequent verifications of the ship by the Administration or the recognized security organization;

- .7 ensuring that deficiencies and non-conformities identified during internal audits, periodic reviews, security inspections and verifications of compliance are promptly addressed and dealt with;
- .8 enhancing security awareness and vigilance;
- .9 ensuring adequate training for personnel responsible for the security of the ship;
- .10 ensuring effective communication and co-operation between the ship security officer and the relevant port facility security officers;
- .11 ensuring consistency between security requirements and safety requirement;
- .12 ensuring that, if sister-ship or fleet security plans are used, the plan for each ship reflects the ship-specific information accurately;
- .13 ensuring that any alternative or equivalent arrangements approved for a particular ship or group of ships are implemented and maintained;
- .14 ensuring that security measures are to be taken into account in details that the ship's personnel can effectively work for a long time under convenient, relaxing and privacy protected conditions;
- .15 the company security officer having authority to contact directly the top management of the company, and responsible for development, implementation and improvement of the company security policies.

2.3 Ship security officer

The company is to designate XXXX to be the ship security officer who is to bear the responsibilities on behalf of the master and report the overall conditions and deficiencies of the ship's security policies, procedures and activities. In addition to those specified in other parts of the plan, the responsibilities of the ship security officer is at least to include:

- .1 undertaking regular security inspections of the ship to ensure that appropriate security measures are maintained;
- .2 maintaining and supervising the implementation of the ship security plan, including any amendments to the plan;
- .3 coordinating the security aspects of the handling of cargo and ship's stores with other shipboard personnel and with the relevant port facility security officers;
- .4 proposing modifications to the ship security plan;
- .5 reporting to the Company Security Officer any deficiencies and non-conformities identified during internal audits, periodic reviews, security inspections and verifications of compliance and implementing any corrective actions;
- .6 enhancing security awareness and vigilance on board;
- .7 ensuring that adequate training has been provided to shipboard personnel, as appropriate;
- .8 coordinating implementation of the ship security plan with the company security officer and the relevant port facility security officer;
- .9 ensuring that security equipment is properly operated, tested, calibrated and maintained;

- .10 implementing the company's procedures related to the security under the command of the master;
- .11 authorizing ship's personnel to implement relevant responsibilities in accordance with the security policies and procedures;
- .12 managing the ship security personnel;
- .13 forming close relationship with the judicial offices with all ports of call;
- .14 fulfilling Declaration of Security on behalf of the ship upon authorization by the master.

2.4 Master

(Part of the instructions for master's security responsibilities is given as follows. The company can determine the specific responsibilities of the master upon actual conditions)

2.4.1 The responsibilities of the master in security aspects are at least to include:

- .1 overall responsibilities for safety and security of the ship, crew and cargoes;
- .2 reporting to the company security officer the security vulnerabilities and acts breaching security;
- .3 determining the ship's action when responding to the port security level being heightened;
- .4 inquiring the agent or the port facility security officer about the specifications and customary rules related to personal search at the arrival port, and giving instructions in time to the watch-keeper.

2.4.2 The master has, at any time, the authority to determine part or whole measures to adopt higher security level upon the actual security conditions.

2.5 Crew responsible for security

(Note: the company is to define the responsibilities of other crew in security, and other crew's responsibilities at different security levels)

2.6 Other personnel on board

- 2.6.1 All personnel on board the ship have the responsibilities to report in time to the master and the ship security officer the illegal or suspected illegal acts happening on board the ship.
- 2.6.2 The master and the ship security officer may determine the responsibilities of the other personnel on board the ship upon the need of the ship security.

Chapter 3 Personnel Training

3.1 Training of the company security officer

The company is to ensure the company security officer to receive professional training of security knowledge approved by the flag Administration, and to obtain relevant qualification.

3.2 Training of the ship security officer

The company is to ensure the ship security officer to receive training of the following knowledge in accordance with the detailed specification of the flag State Government:

- .1 security administration;
- .2 relevant international conventions, codes and recommendations;
- .3 relevant Government legislation and regulations;
- .4 responsibilities and functions of other security organizations;
- .5 methodology of ship security assessment;
- .6 methods of ship security surveys and inspections;
- .7 ship and port operations and conditions;
- .8 ship and port facility security measures;
- .9 emergency preparedness and response and contingency planning;
- .10 instruction techniques for security training and education, including security measures and procedures;
- .11 handling sensitive security related information and security related communications;
- .12 knowledge of current security threats and patterns;
- .13 recognition and detection of weapons, dangerous substances and devices;
- .14 recognition, on a non discriminatory basis, of characteristics and behavioral patterns of persons who are likely to threaten security;
- .15 techniques used to circumvent security measures;
- .16 security equipment and systems and their operational limitations;
- .17 methods of conducting audits, inspection, control and monitoring;
- .18 methods of physical searches and non-intrusive inspections;
- .19 security drills and exercises, including drills and exercises with port facilities;
- .20 assessment of security drills and exercises;
- .21 the layout of the ship;
- .22 the ship security plan and related procedures (including scenario-based training on how to respond);

- .23 crowd management and control techniques;
- .24 operations of security equipment and systems; and
- .25 testing, calibration and whilst at sea maintenance of security equipment and systems.

3.3 Training of the crew responsible for security

3.3.1 The company security officer and/or the ship security officer is to ensure shipboard personnel having specific security duties to receive appropriate training of the following knowledge in accordance with the requirements of the Code, so that they can be familiar with and command the relevant knowledge and skills they are to have:

- .1 knowledge of current security threats and patterns;
- .2 recognition and detection of weapons, dangerous substances and devices;
- .3 recognition of characteristics and behavioral patterns of persons who are likely to threaten security;
- .4 techniques used to circumvent security measures;
- .5 crowd management and control techniques;
- .6 security related communications;
- .7 knowledge of the emergency procedures and contingency plans;
- .8 operations of security equipment and systems;
- .9 testing, calibration and whilst at sea maintenance of security equipment and systems;
- .10 inspection, control, and monitoring techniques; and
- .11 methods of physical searches of persons, personal effects, baggage, cargo, and ship's stores.

3.4 Training of other personnel on board the ship

3.4.1 The ship security officer is to be responsible for the security training of other personnel on board the ship, so as to ensure the shipboard personnel including contractors, no matter who is concurrent or full time, temporary or permanent, obtain the following knowledge through training or relevant work experience:

- a. relevant specifications of the ship security plan;
- b. comprehension of the requirements for the significance and results of different security levels, including emergency procedures and emergency plan;
- c. knowledge and detection of weapons, hazardous substance and apparatus;
- d. distinction of the characteristics and behaviour mode likely to threat the security officer on the basis of non-discrimination;
- e. techniques to avoid the security measures.

3.5 Training planning and arrangement

3.5.1 The ship security officer is to develop the training implementation scheme for the ship security plan in accordance with the navigation route, cargo capacity of the ship, implementation of the ship security plan, and the requirements for the work of the new crew, the use of the security equipment, combined with the training requirements mentioned above. The ship security training is to be carried out after the boarding of all the crew.

3.5.2 For the arrangement for the training scheme of the ship security, see the following table:

Security training arrangement			
Item	Participant	Frequency	Remark
Training for initial security awareness	Whole crew	Designated to the ship for the first time	
Enhance of ship security knowledge and awareness	Whole crew	Once half a year	
Security plan training	Designated crew	When new personnel is designated or security plan is amended	All the personnel related to security plan are to be involved
Training of ship security officers	All personnel designated as ship security officers	When new ship security officer is designated	Preparation base, development/ maintenance of security plan are to be brought into training plan
Training of security officers	All personnel having security duties	When new personnel having security duties are designated	Training may be amended upon law or security experience of designated personnel
Security equipment	Personnel designated to use equipment	Before designation	Operation procedures and training may be provided by device manufacturer
<i>(Note: The content here is only an example. The actual training plan arrangement may be prepared upon training requirements 3.2 – 3.4 and actual condition)</i>			

Chapter 4 Drills and Exercises

The purpose of security drills and exercises is to test shipboard personnel proficient in all assigned security duties at all security levels and is to ensure effective implementation of the ship security plan so as to enable the ship security officer to identify related security deficiencies which need to be addressed.

4.1 Ship security drills

4.1.1 The ship security officer is to carry out drills at least once every three months. In addition, in cases where more than 25 percent of the ship's personnel has been changed, at any one time, with personnel that has not previously participated in any drill on that ship, within the last 3 months, a drill is to be carried out within one week of the change. These drills are to be carried out together with non-security drills so as to ensure the ship security plan applicable.

4.1.2 Where the port facility organizes a drill when the ship is at the port facility, the ship is to participate in the drill under the condition that the normal operation is not hampered.

4.1.3 Each element of the security plan is to be tested in drills, including response to the following threats and security incidents. The ship's operation type, ship's personnel change and other related elements are to be considered in drills.

- .1 damage to, or destruction of, the port facility or of the ship, e.g. by explosive devices, arson, sabotage or vandalism;
- .2 hijacking or seizure of the ship or of persons on board;
- .3 tampering with cargo, essential ship equipment or systems or ship's stores;
- .4 unauthorized access or use including presence of stowaways;
- .5 smuggling weapons or equipment, including weapons of mass destruction;
- .6 use of the ship to carry those intending to cause a security incident and their equipment;
- .7 use of the ship itself as a weapon or as a means to cause damage or destruction;
- .8 attacking the anchoring or mooring ship from sea; and
- .9 attacking the ship from sea.

(Note: The company is to provide the list of physical drills, such as unauthorized access to the restricted areas, response to the alarm, and notify the judicial department)

4.1.4 The ship's type, navigation areas, ship's personnel and other related conditions are to be taken into consideration in drills. The samples of the drills are to include detection of unauthorized access to the restricted areas, response to the alarm and receiving the notification of the judicial department, etc.

4.2 Security exercises

4.2.1 Security exercises of the ship are to be arranged by the company security officer. It is to be carried out at least once each calendar year with no more than 18 months between the exercises.

4.2.2 Security exercise may be:

- .1 full scale or live;
 - .2 tabletop simulation or seminar; or
 - .3 combined with other exercises mentioned above.
- 4.2.3 Security exercises may be carried out only for ships, but it may be combined with the exercises of port facility and drills of security plan or port exercises.
- 4.2.4 Security exercises are to test communications, coordination, resource availability, and response.
- 4.2.5 Security drills and exercises are to fully test the security procedures. In such case, they are to include actual participation of the company security officer, the ship security officer, port facility security officer and the Administration concerned.

4.3 The plan of the ship drills and exercises

The plan of the ship drills and exercises is arranged in the following Table:

Arrangement of drills / exercises			
Bomb threats/bomb search exercises	Persons for searching bombs	Once a year	The exercises to be included in the training related to designated personnel
Watch-keeping at security level 3	All security watch-keepers	Once a year	
Introduction of contraband (e.g. counterfeit weapons)	Baggage checkers	Carrying out regularly upon equipment and procedures	Exercises carried out without knowledge of the inspector
<i>(Note: The content here is only an example. The specific drills/exercises are to be developed upon specific security threats and incidents, refer to Chapter 18)</i>			

Chapter 5 Management of Records and Documents

5.1 Records

5.1.1 The plan involved in the following activities is to be kept on board for a minimum period of time (at least for three years recommended) as specified by the Administration:

- .1 training: date, duration, description and participants;
- .2 drills and exercises: date, description, participants, brief assessment. Good experiences if obtained in drills and exercises to improve the plan are to be recorded;
- .3 security incidents and security tampering: date and time, location at the port, location onboard the ship, description, to whom they are described, to whom they are reported, response received etc.;
- .4 security threats: date and time, how to know, who to receive or identify, description, to whom they are reported, response received;
- .5 change of security level: who to issue the change of security level, date and time the notification received, time to complete the additional measures;
- .6 communications directly related to ship security status, such as the specific threats to the ship or the port facilities at which the ship is or once was;
- .7 Declaration of Security;
- .8 internal audit and review of security activities: including audit report (to be retained for at least 5 years);
- .9 regular review of ship security assessment;
- .10 regular review of the plan, including review report;
- .11 implementation of any amended part of the security plan;
- .12 any maintenance, calibration and testing of security equipment, including testing of the ship security alert system: date and time and equipment; and
- .13 other contents to be recorded as specified in the plan (the company is to determine the record form of the security activities and actual operations of the ship specified in the plan).

5.1.2 If the additional measures are adopted at security level 2 and 3 at any time, the necessary record is to be made, including (if applicable), but not limited to, the following:

- .1 name of assigned watch-keeper and lookout;
- .2 name of designated patrol personnel and frequency of patrol;
- .3 additional lighting measure taken;
- .4 name of the person monitoring cargo;
- .5 small craft implementing security monitoring;
- .6 time, fact and result of the local or entire search for the ship;

- .7 name of the person, body and post dealing with and instruction of response to security incidents onboard;
- .8 location of temporary restricted areas and security measures taken;
- .9 other significant security and incidents etc.

5.1.3 The record of security activities is to be filled in by the ship security officer in both Chinese and English.

5.2 Document confidentiality

5.2.1 This plan is a confidential document which is to be retained by the ship security officer in a secret place to avoid unauthorized access to or disclosure of. Except for the master and the ship security officer, other personnel can only know the part for implementing the plan within their security responsibilities. Any person cannot disclose any part of the plan without being authorized.

5.2.2 This plan is to be inspected by the officers duly authorized by the port State, flag State or coastal State Government under normal conditions. But if the officers have clear grounds to believe that the ship is not in compliance with the requirements of Chapter XI-2 of SOLAS Convention or Part A of the ISPS Code, and the only means to verify or rectify the non-compliance is to review the relevant requirements of the ship security plan, limited access to the specific sections of the plan relating to the non-compliance is exceptionally allowed, but only to the consent of the port State, flag State or coastal State Government or the master.

5.2.3 The following information in this plan is regarded as top secret information, access to which is not allowed unless otherwise mutually agreed by the port State or coastal State and flag State Government:

- .1 determination of the restricted areas and measures taken to prevent unauthorized access to the restricted areas;
- .2 procedures for responding to the damages of security conditions, including maintaining the ship or ship/ port interface;
- .3 procedures for responding to the instructions likely to be issued by the contracting Governments at security level 3;
- .4 onboard personnel having security duties and responsibilities of other onboard personnel in security aspects;
- .5 ensuring the procedures for inspection, testing, calibration and maintenance any security equipment on board;
- .6 indicating the location* of activating points of the ship security alert system;
- .7 use of the ship security alert system, including the procedures, instructions and guides* of testing, activating, closing and resetting and restricting miss alarm.

(* In order to avoid any inconvenience of the purpose for setting ship security system on board, a special document may be used to retain the information mentioned in .6 and .7 in the other part of the ship known by the other senior officers as so determined by the master, the ship security officer and the company.)

5.2.4 The record of the ship security activities is confidential information. The records and forms are to be retained by the ship security officer without unauthorized disclosure. They are to be shown to the officer duly authorized by the port State, flag State or coastal State Government if so required, to indicate that this plan is being implemented.

Chapter 6 Responding to Security Levels

6.1 Response principle to security levels

- 6.1.1 The Administration of the ship and port State Government may specify the heightening of the ship's security level. While the security levels may change from security level 1, through security level 2 to security level 3, it is also possible that the security levels will change directly from security level 1 to security level 3.
- 6.1.2 The ship security level is not to be lower than that at port facility the ship visits at any time.
- 6.1.3 Before or during the ship is at the port of the contracting Government, if the security level specified by the contracting Government is higher than that specified the Administration, the ship is to comply with the requirements of the security level specified by the contracting Government.
- 6.1.4 The master and the ship security officer are to liaise at the earliest opportunity with the port facility security officer of the port facility the ship is intended to visit to establish the security level applying for that ship at the port facility, the port facility security officer is to advise the ship of any subsequent change in the port facility's security level and it to provide the ship with any relevant security information.
- 6.1.5 The master and the ship security officer are to, in time, pay close attention to NAVTEX, EGC or to obtain security level information through contact points of the company security officer and the contracting Government.
- 6.1.6 Whenever the ship receives instruction by the Administration requiring changing the security level to security level 2 or security level 3, the ship is to respond to the Administration by confirming the receipt of the instruction.
- 6.1.7 Before or during the ship is at the port when the contracting Government determine the security level 2 or security level 3, the ship is to respond to the judicial department of the contracting Government by confirming the receipt of the instruction and to inform the port facility officer of the implementation of the appropriate measures and procedures listed in this plan. The ship is also to report any difficulty encountered during the implementation, and at the same time report to the company security officer, and to coordinate with port facility security officer the appropriate security acts to heighten rapidly the security level of the ship.
- 6.1.8 The master and the ship security officer are to respond to the change of the security level to a higher one, and to adopt the security measures of the security level specified in this plan upon requirement without undue delay.
- 6.1.9 The specific additional security instructions are to be given to the whole crew, indicating any determined threats, emphasizing and reporting the suspected persons, goods or procedures for acts, emphasizing the necessity of heightening vigilance.

6.2 Different security levels

If the ship is to set security level in accordance with the requirements of the Administration or is at the security level higher than that specified by the port it is to visit or it is at, the ship security officer or the company security officer is to notify the Administration of the contracting Government where the port facility is and the port facility security officer, and to ensure:

- a. liaison with the port facility security officer to evaluate the special cases so as to coordinate appropriate security action;
- b. making an agreement on the appropriate security measures they both are to take upon the assessment result. The security measures the ship is to take are not to be lower than the requirements for the relevant security level specified by the Administration;
- c. specific additional security instructions given to all crew, indicating any confirmed threats, emphasizing and reporting suspected persons, goods or action procedures, emphasizing the necessity for heightening vigilance;
- d. requiring completion of a declaration of security with signature.

6.3 Procedures for responding to any instructions likely to be given by a contracting Government at security level 3 (for reference only)

6.3.1 The flag State, coastal State or port State may give instructions at the same time at the specified level 3, and will provide the relevant security information. The master and the ship security officer are to abide by the instructions given by the organization responsible for responding to security incidents or threats. Upon receiving the instructions given by the contracting Government for heightening security level to security level 3, the master and the security officer are to:

- .1 confirm the receipt of the instructions to security authority of the contracting Government given the instructions;
- .2 confirm to the port facility security officer that the security levels and relevant measures and procedures listed in the ship security plan have been implemented; the appropriate measures and procedures listed in the instructions given by the contracting Government at security level 3 have been determined;
- .3 give special specific additional security instructions, indicating any confirmed threats emphasizing and reporting suspected persons, goods or action procedures, emphasizing again the necessity for heightening vigilance and for taking special preventive measures;
- .4 take and follow relevant measures and procedures immediately after receiving new instructions given by the contracting Government or by the Administration for taking and following new measures and procedures;
- .5 report immediately to the Administration giving instructions for heightening security level or to the port facility security officer;
- .6 coordinate with the port facility security officer to take appropriate security actions under the above mentioned conditions, including completing a Declaration of Security with signature, and ask the port facility security authority for providing the ship with security support so as to ensure the ship security level rapidly heightening and full and effective implementation of the instructions given by the port State Government or the Administration;
- .7 ask the Administration of the contracting Government to clarify the instructions they give or to revise the instructions they give for the ship security incidents or security threats if the master has ground to believe upon his professional judgement that the implementation of the relevant instructions may affect the safety of the ship.

Chapter 7 Procedures for co-ordinating with port facilities and other ships

At any security level, the master and the ship security officer are to keep interface contact and coordination with the person having security duties of the port facility or ship, so as to better exchange the security situation on both sides and to coordinate their security actions.

7.1 Information necessary to be provided

The master is to provide the following latest information for use of the officer duly authorized by the contracting port State, flag State or coastal State upon request:

- .1 who is responsible for designating crew or other personnel employed or working onboard as any professional posts;
- .2 who is responsible for determining use of the ship; and
- .3 who is the charter party and their contact details if the ship is employed in accordance with the charter contract.

7.2 Reporting security information before entering the port

7.2.1 If receiving the information related to security levels issued by the coastal State Government and being informed to keep alert, the ship is to report immediately to the Administration and any shore state nearby any information noticed likely to affect the maritime security of the area.

7.2.2 Before the ship enters the port, the master may provide the officer duly authorized by the port state with acceptable security information. The master may refuse to provide the following information, but he is to bear it in mind that his refusal of providing the information may result in the ship's being refused to enter the port. The information includes:

- .1 the ship has effective security certificate and the name of the organization issuing the certificate;
- .2 the security level the ship is at in service;
- .3 within 10 previous port facilities the ship visited, which security level the ship is at when the service of the ship in any port is carried out by means of ship/port interface activities;
- .4 within 10 previous port facilities the ship visited, any special or additional security measures have been taken in any port for ship/port interface activities;
- .5 within 10 previous port facilities the ship visited, appropriate ship security procedures have been maintained in any ship to ship activities;
- .6 other actual information related to security (but not the details of the ship security plan);
- .7 the information contained in Continuous Synopsis Record;
- .8 location of the ship when in reporting;
- .9 estimated time of arrival of the ship;
- .10 name of crew and passengers;
- .11 entire description of the shipboard cargo.

- 7.2.3 If the port State Government considers, upon the security information provided by the ship, that the ship is not in compliance with the port security requirements, the master is to be notified to take following steps:
- .1 requiring corrective actions for non-conformities;
 - .2 requiring the ship to make for a designated location in the territorial sea or in inland waters;
 - .3 inspecting the ship in the territorial sea; or
 - .4 refusing the ship to enter the port.

Upon receiving the information, the master is immediately to report the information to the company security officer and take various possible measures, including asking port facility security authority for cooperation, so as to satisfy the requirements of the port security. However, if the master's full effort cannot make the ship satisfy the requirements of the port, he may cancel the intention of entering the port. Time permitting, the master is to obtain the agreement of the company security officer before making such decision. If the master cancels the intention of entering the port, the port State has no right to continue the previous steps.

7.3 Historical records

- 7.3.1 The records of special or additional measures taken as so required in the security information report for the ship to provide 10 previous visited port facilities before entering the port include, but not limited to:
- .1 the records of measures taken at the port facility in the territory of a non-contracting party, especially the measures normally provided by the port facility in the territory of a contracting party;
 - .2 any declaration of security concluded with the port facility and other ships.
- 7.3.2 The appropriate security procedures maintained as so required in the security information report for the ship to provide the ship-to-ship activities of 10 previous visited port facilities before entering the port are generally not to include the records of pilot, custom's officer, immigration officer or security officer embarking from a traffic boat or disembarking the ship, nor to include the records of fuel operation, barging operation, stores loading and rubbish unloading of the ship at port facility because these activities are generally specified in the port facility security plan. The actual examples of the information possibly to be submitted include:
- .1 the records of the measures taken when ship-to-ship activities are carried out with a ship flying the flag of a non-contracting party, especially the measures provided by a ship flying the flag of a contracting party;
 - .2 the records of the measures taken when ship-to-ship activities are carried out with a ship flying the flag of a contracting party but not required to be in compliance with the specifications of Chapter XI-2 of SOLAS Convention and the ISPS Code, for example, duplicated copies of any security certificate issued for the ship in accordance with other specifications; and
 - .3 if there are persons rescued or goods gained from the sea onboard the ship, any known information related to the persons and the goods from the sea including their identities (if any) and the results of any checked carried out on behalf of the ship to establish the security status. The original intention of the specifications of Chapter XI-2 of SOLAS Convention and the ISPS Code are not to delay or prevent the persons rescued from the sea from being sent to a safe place. The only starting point of the specifications of Chapter XI-2 of SOLAS Convention and the ISPS Code is to provide the State with sufficient appropriate information to maintain the integrity of other securities.

7.4 Contact and report

7.4.1 Contact and report

- 7.4.1 The master or the ship security officer may require consultation or cooperation from the flag State, port State or the liaison point of the coastal State of the company security officer upon any issues related to the ship security.
- 7.4.2 The master or the ship security officer is to report any security issues related to other ships, tendency or communications to the flag State, port State or the liaison point of the coastal State.
- 7.4.3 If a security incident related to the ship happens, the master or the ship security officer is immediately to submit a report to the company security officer and flag state, port state and the liaison point of the shore state. If the liaison point cannot be contacted, the master or the ship security officer may ask the company security officer to transfer the report. The procedures and the contents of the report may be referred to in Chapter 18 of the plan.
- 7.4.4 The contact details of the liaison point of the contracting party (see Annex 1) are to be provided in time to the ship and to be renewed in accordance with the information provided by IMO.
- 7.4.5 When the ship is in port, the master or the ship security officer may submit, if possible, the report to the port facility security officer.

Chapter 8 Declaration of Security

8.1 Requirements and time for issuing Declaration of Security

- 8.1.1 The main purpose of Declaration of Security is to ensure the coordination of the security measures to be taken between the ship and port facility or other ships as so specified in their own approved security plan, and to reach the common recognition.
- 8.1.2 The higher security level may need Declaration of Security. That is to say, when the ship security level is higher than that of the port facility or another ship it is interfacing with, and when ship/port interface activities or ship/ship activities happen due to the cause of the ship itself, including the cause of the cargo loaded or the cause of passengers, or due to the cause of port facility environment or due to the combination of the factors mentioned above to form a higher risk of persons, asset or environment, the ship may require for filling in the Declaration of Security under following conditions:
- .1 the ship is operating at a higher security level than the port facility or another ship it is interfacing with;
 - .2 there is an agreement on Declaration of Security between contracting Governments covering certain international voyages or specific ships on those voyages;
 - .3 there has been a security threat or a security incident involving the ship or involving the port facility, as applicable;
 - .4 the ship is at a port which is not required to have and implement an approved port facility security plan;
 - .5 the ship is conducting ship to ship activities with another ship not required to have and implement an approved ship security plan;
 - .6 the master or the ship security officer considers it necessary in accordance with the security status and the ship's security requirements.
- 8.1.3 When the ship is required to conclude a Declaration of Security with port facility or another ship:
- .1 during ship/port interface activities before arrival of the ship, the master or the ship security officer is to reach a coordinating agreement with port facility security officer or his designated person coordinating security requirements and procedures upon the contents of Declaration of Security during the ship is at the port. After the arrival of the ship, before personnel embarkation and disembarkation, cargo loading and unloading, the port facility security officer or his designated person and the master and the ship security officer are to endorse a Declaration of Security;
 - .2 before ship to ship activities are carried out, each master and ship security officer is to coordinate security requirements and procedures, so as to reach unified coordination agreement on the contents of the Declaration of Security during the ship interface activities. After the ship interface activities are carried out, and before personnel embarkation and disembarkation, cargo loading and unloading, each master and ship security officer are to endorse a Declaration of Security.

- 8.1.4 At security levels 1 and 2, when multi-contacts are needed with port facility, the ship security officer may implement continuous Declaration of Security for multi-visits:
- .1 it is effective at the specific security level;
 - .2 the valid period at security level 1 is not to exceed 90 days; and
 - .3 the valid period at security level 2 is not to exceed 30 days.
- 8.1.5 The security requirements to be satisfied by the port facility and the ship (or the ship and other ships) are to be made in the Declaration of Security, and the responsibilities of each part are to be indicated.
- 8.1.6 If the port facility or other ships require the ship to complete the Declaration of Security with them, the master and the ship security officer are to reply and know the local security status well, evaluate the measures the ship is to take and is able to take. If the cooperation of the port facility security authority is required, the ship is to ask for in time and to indicate it in the Declaration of Security.
- 8.1.7 Declaration of Security is to be prepared by the master or the ship security officer on behalf of the ship and is to be endorsed by the port facility security officer and the ship security officer, or the security officers of the ship and another ship (where applicable), to indicate that it is in compliance with Chapter XI-2 of SOLAS Convention and the ISPS Code, and is to include its term of validity, related security level and contact details.
- 8.1.8 The changes of the security levels are to be supplemented in the Declaration of Security.
- 8.1.9 At any time and any security level, when the port authority considers it necessary, the ship security officer or the port facility security officer may be required together to complete and implement the declaration of security before the interface activities happen between ships or ship and port facility.
- 8.1.10 For the sample of the Declaration of Security, see Annex 3 of the plan.

Chapter 9 Security Communication

9.1 External communication

9.1.1 The following equipment onboard the ship can be used for external communication:

(Note: the following are samples of commonly used equipment for external communication. The company may make corresponding adjustment upon actual security needs and actual conditions)

Equipment	Use
Inmarsat-C	
Inmarsat-A	
MF/HF	
VHF	
NAVTEX	
Globe Wireless	
Hand VHF	

- 9.1.2 The master and the ship security officer are to ensure receiving all maritime security information from VHF, EGC or NAVTEX.
- 9.1.3 The master and the ship security officer are to ensure that at least one means of communications is available at any time so as to ensure the continuously effective communication contact with the company security officer, port facility security officer of another ship security officer involved in ship to ship interface operations, the flag State, coastal State and the port State security authorities. The master is to select the communication means applicable to the conditions to keep continuously effective communication.
- 9.1.4 The master and the ship security officer are to have an additional communication means at any time, and at security level 3, are to co-ordinate with the port facility security officer or flag State, coastal State and the port State security authorities to add a communication means.
- 9.1.5 When the ship is in port, the master and the ship security officer are to obtain the contact details of the port facility security officer or the security authorities or law executor through various means, so as to report to them in time the security incidents and threats happening to the ship.
- 9.1.6 The ship at the port is to establish effective contact with the port security authorities. If there are persons to the port facility onboard the ship, the contact means of the ship with the port facility is to be regarded as that of the ship with the port facility security officer, which is more direct and effective. The communication means are to be tested regularly. If failure in communication is detected, the appropriate measures are to be taken immediately to resume its function. If it can not be resumed, the master or the ship security officer is to report immediately to the company security officer.
- 9.1.7 At higher security level, personal or portable radio communication equipment is not allowed to use on board. If such communication equipment is used without authority, it will be confiscated.

9.2 Internal communication

9.2.1 The equipment used for internal communication on board is as follows:

(Note: the following are samples of commonly used equipment for internal communication. The company may make corresponding adjustment upon actual security needs and actual conditions)

Equipment	Use
Internal com. telephone	
External com. telephone	
Speakerphone	
Telegraph broadcast system	
Hand VHF	For additional inter-communication system, functioning as a speakerphone.

9.2.2 The ship security officer is to ensure the security patrol and watch-keeper to keep effective contact with the officer on duty or the ship security officer. A special person is, when necessary, designated to be responsible for delivering information.

9.2.3 For security affairs needed to inform the whole personnel on board, the master or the ship security officer may issue them by means of telephone, telegraph broadcast, bulletin board, meeting etc. if for the time being, or the incident is urgent, or the master considers it necessary, the master may use alarm bell to activate the security emergency signal to assemble the whole personnel on board for issuance (the company may establish the alarm bell signal appropriate to the ship security emergency alert).

9.3 Means of emergency communications and confidentiality

9.3.1 When the ship is or close to the area where an attack is happening or likely to happen, the operator of the radio communications must keep on his post. If the officer on duty bears the responsibility for radio operation, he is additionally to be provided with an appropriate, qualified, officer for radio communication lookout, so as to ensure that there is an officer to operate in the navigation bridge when the ship is going through the potential hazardous area.

9.3.2 Before the ship enters the area where attack once happened or is likely to happen through inference, the radio operator must be familiar with relevant radio operation procedures, and ensure the full operation of the transmitting equipment including the satellite earth station. At the same time, he is to ensure the immediately effective operation upon encountering security threats.

9.3.3 When the ship encounters piracy, armed robbery / attack, the special rules of DSC equipment are to be applied. The DSC information must be revised to be applicable to the needs of security emergency communication.

9.3.4 The company is responsible for the company security officer and the ship security officer to keep contact with the coastal State and the port Administration, and renew in time the contact list attached to the plan.

9.3.5 In the area where attack once happened, or is likely to happen through inference or under any risk status, the ship is to keep contact with navy and the shore Administration by means of radio communication with safe frequency at 2182 kHz, VHF 16.

9.3.6 The master and the ship security officer are to ensure the monitoring of all security information.

- 9.3.7 The master and the radio operator aware of the potential attack are to monitor the ship/shore contact and deliberately intercept communication signal, and special attention to the status and value of the related cargo, ship's stores of the information transmitted.

9.4 Emergency information to threats

- 9.4.1 The master and senior officers are to keep contact with emergency rescue centre and to report the suspected actions and attack likely to happen.
- 9.4.2 If the master believes that the movement of another ship will directly threaten his own ship or will endanger the navigation, he is to send CQ "dangerous signal" and report it to RCC. The dangerous signal is to be sent by means of working frequency at VHF16 in Chinese, or through safe priority channel of DSC at VHF70. All the information is to be sent in priority (security) of safe signal.
- 9.4.3 Aware of the threat to the safety of the ship, the master is to:
- .1 inform the emergency rescue centre of CQ "emergency information" through VHF16 at 2182 kHz or other appropriate means of radio communication contact (e.g. INMARSAT). The information is to be sent in priority using an appropriate emergency signal (PAN PAN), or through DSC at VHF70 and/or at 2187.5 kHz;
 - .2 have authority to activate the ship security alert system or to use appropriate danger alert system (Mayday, SOS, DSC, etc) to send "danger" signal when the attack is happening, and the crew and ship are in severely dangerous condition;
 - .3 be sure that the danger signal is to be used only in dangerous condition, not in other cases.

9.5 Ensuring ship security communications readily available

(The company is to arrange for ensuring ship security communications readily available, including the requirements of maintenance)

Chapter 10 Security Equipment

10.1 General requirements

10.1.1 The ship security officer is responsible for the storage and control of all the shipboard security equipment, including identity identification system.

10.1.2 All the security equipment is to used, maintained and repaired, in accordance with the suggestions made by the manufacturer to ensure the equipment for long-term use (including the consideration of use under extreme weather condition or under the condition of sudden interruption of power supply).

(Note: the company is to add specific maintenance requirements)

10.1.3 All the security equipment is to be inspected, tested and calibrated in accordance with the suggestions made by the manufacturer.

(Note: the company is to make frequency requirements for inspection, testing, calibration and maintenance of the shipboard equipment)

10.1.4 The ship security officer is responsible for keeping the records of maintenance, repair and inspection/testing of the security equipment.

10.1.5 Any failure of the devices or systems is to be reported immediately.

10.2 Types of security equipment

The security equipment of the ship includes

Equipment	Number	Location	Use

(Note: the numbers of all the security equipment to be used with the locations and the functions are listed in the table)

10.3 Ship security alert system

Alert system	Alert activating location

(Note: the locations of alert and activating alert each time on board the ship are to be listed in the table which is to be retained in the documents of other places on board the ship known by the master, the ship security officer and the senior officer designated by the company)

10.4 Procedures for using security equipment

(Note: the particular procedures for correctively using shipboard security equipment are to be listed in this part. Most information can be found in the User's Manual by the manufacturer. If the information is included in the Security Training Manual, not in the ship security plan, this Manual may be quoted here)

(Note: because the security alert system of the ship is a special project, the following contents must be made clear in this part:

- a. the activating location of the ship security alert system;
- b. procedures for using the ship security alert system, including the setting of the alert activation, alert cancellation and resetting;
- c. procedures for testing alert system under non-false alarm condition).

Chapter 11 Ship's Implementation of the Responsibilities of Ship Security

11.1 Requirements for implementing the responsibilities of ship security

11.1.1 The maintenance of the ship security status is dependent on the effective implementation of the plan and the effective operation of the ship security management system. In order to ensure the correct implementation of the security responsibility on board, the ship security officer is to organize, but not limited to, the following activities:

- .1 clarifying the responsibilities and commitment of the person who has the security duties on board, and ensuring that they can correctly understand and implement these responsibilities and commitment through appropriate training, drills and exercises;
- .2 the ship security officer's regular inspection of the ship security to ensure that the appropriate security measures on board are maintained
- .3 keeping effective inter-communication and keeping continuously effective communication contact with the company, port facility, other ships and the related authorities;
- .4 assessment of the security equipment, security activities and security procedures (including the procedures for failure or invalidity of equipment or system) so as to keep them continuously effective;
- .5 protecting the sensitive security information in writing or in e-mail edition so as not to be disclosed to the unauthorized persons or organizations;
- .6 maintaining regularly the ship security system and equipment so as to ensure them to be in effective status;
- .7 submitting and evaluating in time the report the security specifications likely to be violated and take immediate corrective actions so as to improve further the effective implementation of the security specifications of the ship;
- .8 establishing, maintaining and renewing the list of dangerous cargo and harmful substance and their stowage location, and laying emphasis upon protection of the dangerous cargo and harmful substance listed.

11.2 Requirements and time of ship security inspections

11.2.1 Requirements of security inspections

In order to ensure the effective implementation of the ship security plan and ensure the plan to be applicable to the needs of the ship security, the ship security officer is to carry out regularly the security inspections which is regarded as basis of the regular ship security assessment, so as to ensure the necessary security measures for resisting the potential threats encountered by the ship in port, at anchorage, and in the sea. The inspections include the following:

- deck and ship side lighting;
- control of boarding access;
- control of boarding personnel and their effects;
- security alert and communication system;

- control of restricted areas;
- control of cargo loading and unloading and delivery of ship's stores;
- emergency plan and security equipment.

For detailed inspections, see appendix – List of Ship Security Inspections.

11.2.2 Time of security inspections:

- .1 the company security officer is required to implement the security assessment of the ship to amend the ship security plan;
- .2 the ship is going to navigate in the area where security risk is higher, and the master or SSO considers it necessary;
- .3 regular inspection is carried out quarterly.

Chapter 12 Control of Boarding Points

12.1 Boarding access

12.1.1 The company is to specify that in addition to the decision, of opening the access, made by the master out of the operation needs, other boarding access is to remain closed. All the open access is to be protected in accordance with the same standards.

The possible boarding access of the ship is as follows:

- 1 access gangways;
- 2 access ramps;
- 3 access doors, side scuttles, windows and ports;
- 4 mooring lines and anchor chains;
- 5 cranes and hoisting gear;
- 6 pilot ladder and crew ladder;
- 7 oil/water hoses;
- 8

12.1.2 Decision of opening the boarding access

The master is responsible for decision of the locations and numbers of the boarding access to be opened. When making decision, the master is to consider all the operation needs of the ship, potential security influence, distribution of security officers and the security level at which the ship is, so as to ensure the normal operation of the ship.

12.1.3 Responsibilities for control of access and doors

The ship security officer is responsible for the following work and reporting to the master the general security conditions of the ship:

- patrol on the deck and monitoring areas surrounding the ship including oversee and dock area;
- inspecting regularly whether all the doors are closed, whether side openings and their related security facilities are complete;
- inspecting the forecastle and other deck areas to ensure whether there is any sign of unauthorized access;
- making full inspection to ensure that opening of all the doors is in the charge of the persons related to the work. Watch-keepers or exceptionally added security officers are to heighten their vigilance, keep on the post, patrol regularly to fulfill their duties.

12.1.4 Approval procedures for opening the access/doors

- while the ship is at sea, the boarding access can not be opened without being permitted by the master;

- while the ship is in port, the boarding access can be opened only to the approval by the officer on duty;
- at security level 3, the danger of security incidents changes to a higher level, and only one access is open, which is approved by the ship security officer, for the persons responding to the security incidents or the threats. Other personnel are not allowed to get on and off the ship.

12.1.5 Control of access

.1 General requirements

- the (deputy) department manager in charge of the control of the access is to ensure all the watch-keepers to have sufficient rest time. The watch-keepers are not to leave their posts under any circumstance, at any time or for any reason, until their turns are taken;
- deck department is to control all the access doors to support the ship security officer or the designated security person to implement their duties. The officer on duty is to cooperate the ship security officer in providing sufficient human resources to protect the safety of all the access to the ship;
- gangway security is the initial responsibility of the ship security officer and the designated security officer;
- the ship security officer is to decide the security measures through consultation with the dock operator, including security guard and fence apparatus.

.2 Operation requirements

(The company is to make requirements for specific operation control of possible boarding access)

12.2 Control of persons and their effects

12.2.1 Procedures for search

- a. the ship security officer is to search persons intended to board the ship upon appropriate security level and upon his own professional judgement. Anyone who is unwilling to be searched may be refused to board the ship. The search is to be carried out under the close cooperation of the port facility and the ship. Sample search is to be adopted;

(Note: the company is to specify the search frequency under different security level.)
- b. any baggage brought on board is to be controlled, monitored, checked and searched. Anyone who is unwilling to be searched may be refused to board the ship;
- c. every person boarding the ship, including visitor, contractor and crew is to be checked, ensuring whether he is carrying with him weapons, ammunition, flammable or explosive substances, drugs etc.;
- d. check the accompanying baggage in accordance with the requirements of the security level;
- e. the ship is to designate or cooperate with the port facility to designate a safe area for checking persons, baggage (including accompanying baggage), personal effects, transport tools and the articles inside;

- f. unless there are clear security grounds for doing so, members of the ship's personnel are not to be required to search their colleagues or their personal effects. Any such search is to be undertaken in a manner which fully takes into account the human rights of the individual and preserves their basic human dignity;
- g. keep close contact with the port facility department to ensure the designated numbers of the transportation tools to be carried to the vehicle carrier, ro-ro passenger ship. The tools are to be checked before loading;

(The company is to give the appropriate numbers of the transportation tools.)
- h. segregating checked persons and their personal effects from unchecked persons and their personal effects;
- i. co-operating with the port to ensure together any individual transportation tool to have been checked when loading on a passenger ship.

12.2.2 Personnel access

a. General requirements

- in addition to the normally opened boarding access and temporarily boarding access, other potential boarding access is not to be embarking and disembarking.
- the ship security officer is to indicate clearly at the normally boarding point the following contents:
 - .1 all the persons boarding the ship are to show their credentials, and to be checked or searched;
 - .2 boarding the ship means that one accepts being checked or searched;
 - .3 no weapons, drugs or other contrabands boarding;
 - .4 no boarding except on business.
- those who do not abide by the requirements mentioned above are refused to board the ship, which is to be reported to the relevant authorized person including the ship security officer, the company security officer and the port security authorities etc.

(This part is to include the relevant procedures for the company reporting to the organ of power. It is also to include the response to the illegally entered persons detected and how to expel them)

b. Identity identification system

The company establishes an identity identification system, and is to coordinate with the port facility in the system under practicable circumstances. The system is to be renewed regularly. Those who misuse the system will be punished.

(The company is to make a sample and requirements for the ship to establish the specific identity identification system.)

c. Crew identity identification

All the shipboard personnel are to have valid identity identification cards issued by the company. This card may be made of fire resistant material, is to prevent being altered. The ship security officer is to establish the database of the shipboard personnel.

Crew employment:

Crew employment is to be carried out by the personnel agency designated by the company. All the spare crew is to receive background inquiry or may submit the evidence indicated on the document before being employed. The way of background inquiry will be described below.

(Note: this part is to record the resources used by the company to employ new crew (e.g. through agencies, offices and direct employment) For each of the resources, the extent of the background inquiry applicable to the employment in compliance with the qualifications is to be indicated (e.g. any record of a crime or public security check))

- d. The company's identity identification card/control procedures
 - a) The ship security officer is responsible for issuing identity identification cards to the crew and persons approved by the company security officer.
 - b) If the contract signed with the person having the company identity identification card expires, the card is to be withdrawn, when the person receives disembarking permit or when his identity identification card expires.
 - c) The ship security officer is responsible for issuing the company identity identification card reappplied due to loss of the original one. However the responsible department is to inquire about the matter beforehand and submit an inquiring report to the ship security officer.
 - d) If the company identity identification card is lost once more, the company is to give the person a formal writing warning upon procedures.
- e. Visitor's permit/control procedures

The company is to control the visitors by means of issuing visitor's permit:

 - a) At the visiting time, the ship security officer is to issue the visitor's permit after the approval by the master.
 - b) The visitor's permit is to be issued to contractor, service provider and port agencies etc. Only the identity and boarding ground is confirmed, can the ship security officer issue the visitor's permit.
 - c) The visitor is to wear the visitor's permit while he is on the ship, and is to hand back to the security officer on duty when is to disembark.
 - d) For the visitor embarking and disembarking several times due to the need of business, the ship security officer is to issue an interim permit to him, and is to take measures to prevent the permit from unauthorized use.
 - e) The master has the authority to approve the permit requirement under any exceptional condition.
- f. Guide for implementation of the visitor's permit
 - a) The issue of the visitor's permit must be in compliance with the ship procedures required for the company security.

- b) Visiting notification is to be sent to the ship security officer in advance before the ship arrives at the visiting port. When the visitor arrives at the gangway, his effective identity card with government photo on is to be detained and the visitor's permit is to be issued instead. The company staff without the company's permanent identity identification card must wait at gangway for the department representative related to the ship. The representative is to accompany the staff throughout the activities on board. All the visitors are to be informed clearly the condition for issuing the permit before they sign for the permit.
 - c) All the visitor's permits are to be kept in a security locker/box. The security person is to confirm each permit not yet handed in before the ship leaves the port and report it to the ship security officer. The ship security officer is to ensure that all the official businessmen and other visitors have disembarked before the ship leaves the port. Any permit lost is to be recorded and necessary actions are to be taken.
 - d) For the visitors on business or those without appointment in advance, the security person on duty is to confirm their identity from relevant department manager. Only after confirmation, can the visitor's permit be issued and the identity card with photo on be detained. The relevant department is to send a person to the gangway to meet the visitor and accompany him with the activities on board. If the security person on duty cannot contact the relevant department manager, he may apply for the approval by the ship security officer or the officer on duty. All the visitors are to be informed clearly the condition for issuing the permit before they sign for the permit.
 - e) As exception, if government functionary in uniform or in ordinary clothes has identity card with photo on, which can show his post of, say, the Customs Office, Immigration Office, Health Department, Agricultural Bureau etc., it is unnecessary for him to have the visitor's permit. The relevant department is to send a person to meet and accompany him.
 - f) If the security person on duty feels doubtful of the visitor to be given the visitor's permit, he is to notify the ship security officer or the officer on duty of it.
 - g) Visitors are generally not allowed to be engaged in business activities on board, unless it is exceptionally arranged and approved by the company.
- g. Identification and control of loader identity
- a) Identification and control of loader identity is in the charge of the dock operator.
 - b) The company security officer and the ship security officer are to try their hard to ensure that the port is to have sufficient control of the staff identity identification and to have control of the entrance of the restricted area in port.
 - c) The activities of the loaders on board are to be restricted in the designated working areas. They are not allowed to get into the other parts of the ship. If they are found to be in other unauthorized areas, they are to be questioned and sent back to the designated working area.
 - d) Loaders are not allowed to use the crew canteen room facility on board.

Chapter 13 Restricted Areas

This Chapter specifies the restricted areas, time on board, and the security measures to be taken to control of the access to them and those to be taken to control the activities within them, so as to ensure:

- prevention of unauthorized access;
- protection of the crew, personnel of the port facility and other persons authorized to board;
- protection of the sensitive security areas on board; and
- prevention of cargo and spare parts on board from being damaged.

13.1 Restricted areas and their control

13.1.1 Protection of the restricted areas

- a. All the restricted areas possible to be locked are to be locked for protection in addition to the equipment control room and engine room decided by the master or needed for operation by senior officials. Only the authorized person can be provided with a key.
- b. Each security patrol is to check the restricted areas and to make a brief record in the Log.
- c. Only workers to the shipping company can enter the restricted areas. Other persons including personnel on the ship, contractor, businessman and other visitors can enter the restricted areas only by the permission of the master.
- d. Unless otherwise instructed by the master or the ship security officer, the personnel on the ship may be allowed at any time to enter any restricted area necessary for living or implement their responsibility.
- e. Government official boarding for exercising a public function can enter any restricted area if necessary, but is to be accompanied by the ship's person having authority to enter these areas, unless under emergency case, such as to enter a certain area where there exists major danger, the master may agree that the government official enter alone to carry out special task.

13.1.2 The following areas of the ship are defined as the restricted areas (to be determined in accordance with the security assessment and actual condition of the ship):

- a. navigation bridge;
- b. machinery space;
- c. central compartment;
- d. hydraulic pump control room;
- e. CO₂ room (fire control station);
- f. control points of security equipment and its system;
- g. fresh water tank;
- h. access door to the water tank;
- i. ship's store room;

- j. galley;
- k. mess store;
- l. emergency generator room;
- m. computer room;
- n. crew living areas;
- o. dispensary;
- p. security office;
- q. cargo areas;
- r. air conditioner room;
- s. battery room;
- t. additional restricted areas determined by the master and the ship security officer when the security level changes from level 2 to level 3.

13.1.3 In addition to the designated restricted areas, the following areas are defined as the vulnerable areas on board which are to be locked in normal times. (to be determined in accordance with the security assessment and actual condition of the ship)

- a. air conditioner room;
- b. battery room;
- c. CO₂ room;
- d. oxygen, acetylene store room;
- e. measuring hole, air hole, and water injection hole of fresh water tank.

13.1.4 The restricted areas on board are to be identified clearly. Warning identification is to be clearly indicated such as “Restricted Area Authorized Personnel Only”. The billboard is at least 20 cm high and 30 cm wide, with red letters and white background. The letters are at least 5 cm high.

13.2 Control of keys

- a. Distribution of the keys on board is to be strictly controlled, especially the master key. It is to be ensured that only the person having the authority to enter the area can have the key to the area.
- b. The master have the authority to take measures to protect the lockers used onboard.
- c. All the keys are to be controlled recorded by the chief officer. Control location of all the keys (including master key) and of control system (key card) of other means of access and control of key holder are to be indicated. Distribution of all the keys is to be recorded and renewed in time. Each key distributed is to be signed by the user.
- d. When any of the crew leaves the ship, he is to pass the key on to the person who takes over him, which is to be indicated in writing in the report. If there is no one takes over him, he is to hand the key back to the chief officer who is to make a record in distribution book.

- e. If the key to the restricted area is lost or stolen, the following measures are to be taken:
- Report to the ship security officer immediately, and take appropriate actions to ensure that the area mentioned is locked and unauthorized access is not allowed.
 - The chief officer may distribute a new key if he has sufficient ground to prove that the key has fallen into the water cannot be recovered.
 - If the cause of the key lost is not clear, all the locker which the key can open are to be changed if possible. Otherwise, all the areas with the lockers which the key can open are to be monitored.
 - The person responsible for the loss or theft of the key is to submit a report in writing to indicate the cause or condition of the loss or theft.
 - After completion of the inquiry about loss or theft of the key, the result, conclusion and suggestions are to be submitted to the master where necessary.
 - If loss or theft of the key results in a pilferage, the master is to submit a report to the company security officer as soon as possible.

Chapter 14 Cargo Handling

The Chapter makes the requirements for security operation of the ship's cargo handling, so as to ensure:

- the prevention of the cargo damage;
- the prevention of the unexpected cargo loading or storage on board the ship, so as to avoid happening of security incident resulted from cargo elements.

14.1 Responsibilities

- The master and chief officer are responsible for check the conformity of the cargoes to be loaded and cargoes listed, and for ensuring that only permitted cargoes can be loaded on the ship. If they are not in conformity, they can refuse the cargoes to be loaded on the ship.
- The ship security officer is responsible for the monitoring of the cargo handling. If a suspected case is detected, he is to contact the port facility officer, shipper or other relevant party to arrange detailed inspection of the cargoes.
- The officer on duty is responsible for the monitoring during cargo handling and normal inspection of cargo unit upon the handling instructions given by the chief officer, and for ensuring the loading cargo complete and without damage.
- If the items in the contact signed with the shipper or other responsible party cover the contents of allopatic inspection, box sealing, date arrangement and bill providing etc., the company security officer and the ship security officer are to notify the port facility security officer of the contact and have him agree on it.

14.2 Requirements for cargo handling control

.1 Control of the cargo areas

- a. All the cargo areas are to be inspected before commencement of the operation.
- b. The cargo areas are permitted to enter while the ship is at sea.
- c. During cargo handling, unauthorized persons are not allowed to enter the cargo areas.
- d. Entrance to the dangerous cargo areas are to be strictly controlled.
- e. The cargo handling equipment is to be fastened when it is not in use.

.2 Control of cargo handling

- a. Before loading, the master is to check the written cargo information submitted by the shipper or the charterer, so as to ensure the safety of the cargo to be loaded on the ship or to be unloaded to the harbor. If there is any suspected case, he is to report to the company and the relevant party of the cargo.
- b. The officer on duty is to carry out the normal check of the cargo, cargo carriage unit and cargo areas before or during cargo loading to ensure the cargoes being loaded on the ship matches the cargo documentation.

- c. Check the paper strip seal or other means to prevent being damaged, so as to ensure the cargoes not changed.
- d. Before commencement of the operation of the cargo handling, all the cargoes and cargo hauling equipment are to be checked to see whether there are weapons, ammunition, flammable or explosive substance, drugs and contraband. The check of the cargoes may be carried out by means of the following:
 - visual and physical examination;
 - sample examination of the loaded cargoes (at least 25%) is to be carried out with scanning/detection equipment, mechanical devices or dogs.
- e. Sample check of the identification number of the empty containers and the non-container carried cargoes is to be carried out upon the cargo documentation (where applicable).
- f. Keep close contact with the port facility department to ensure that the transportation tools of with designated percentage are to be loaded on the vehicle carrier and the ro-ro ship and passenger ship. Check is to be carried out before loading. (The company is to determine the appropriate percentage)

14.3 Inventory of dangerous goods or hazardous substances carried on board and their locations

- 14.3.1 If dangerous goods or hazardous substances are carried on board, the list of their names and loaded place is to be made. The loaded place is to be strictly monitored and the goods or substances are to be guarded by a designated person upon their nature and the security status of the ship where necessary.
- 14.3.2 The loading, storage, unloading of all dangerous goods or hazardous substances are to be monitored by the chief officer at site, and the list is to be made and renewed in time upon the loading conditions.

14.4 Dealing with suspected cargo

- 14.4.1 Once the suspected cargo is detected on board, the operation of the cargo handling is to be ceased, which is to be reported to the chief officer, ship security officer and company security officer.
- 14.4.2 The ship security officer is to contact the port facility security officer requiring co-operation in full and more detailed inspection.
- 14.4.3 Cooperate with the emergency responding body and the port facility security officer in full check of the dangerous goods loaded on board and their locations, and cooperate with the emergency responding body in handling of the suspected goods in accordance with the relevant instructions given by the emergency responding body.
- 14.4.4 It is to be reported as the “report of illegal actions”.

Chapter 15 Delivery of Ship's Stores and Fuel

The Chapter provides the guidance for taking security measures at delivering ship's stores including spare parts, so as to avoid happening of security incidents resulted from the supplying elements of the ship's stores. The ship is to:

- ensure checking of the ship's stores and package integrity;
- prevent the ship's stores from being accepted without inspection;
- prevent the stores from being damaged or being accompanied by other articles;
- prevent the ship's stores from being accepted unless ordered.

15.1 Control of suppliers

(The company is to make requirements for control of suppliers of ship's stores, including the requirements for inquiring about the security backgrounds)

15.2 Delivery of ship's stores

- 15.2.1 Before delivery of the ship's stores, the company is to provide the ship in time with the list of the stores ordered including name of the supplier, address, liaison, telephone and fax, etc.
- 15.2.2 Before delivery of the stores, the supplier is to notify the ship, indicating the date and time they are to be delivered.
- 15.2.3 Ensure the stores mentioned in the list provided by the company to match the spare stores on board. Only after satisfactory examination, can they be loaded on board; otherwise, they are to be refused.
- 15.2.4 At an appropriate security level, the packages of the stores integrity are to be check before they are loaded so as to ensure the stores without being damaged or without being accompanied by other articles.
- 15.2.5 At an appropriate security level, visual and physical inspections are to be given to all the stores including using scanning/detection equipment, mechanical devices or dogs to sample the loaded cargo to see whether there are weapons, ammunition, flammable or explosive substance, drugs and contraband.
- 15.2.6 After being accepted, the ship's stores are to be stockpiled and fastened in time. It is to be ensured that they are to be guarded before being stored to avoid tampering.
- 15.2.7 The ship's stores are to be stored in restricted area after delivery.

15.3 Delivery of ship's fuel

- 15.3.1 Before delivery of the ship's oil, it is to be checked whether the category, brand and amount of the oil filled match those of the oil ordered.
- 15.3.2 At an appropriate security level, a person is specially arranged for the security duty during oil filling, so as to monitor effectively the whole process of oil filling.

15.4 Dealing with suspected stores

- 15.4.1 Once the suspected store is detected on board, receiving of the stores is to be ceased, which is to be reported to the chief officer, ship security officer and company security officer.
- 15.4.2 The ship security officer is to contact the port facility security officer requiring co-operation in full and more detailed inspection.
- 15.4.3 Co-operate with the emergency responding body and the port facility security officer in full check of the dangerous goods loaded on board and their locations, and co-operate with the emergency responding body in handling of the suspected goods in accordance with the relevant instructions given by the emergency responding body.
- 15.4.4 It is to be reported as the “report of illegal actions”.

Chapter 16 Ship Security Monitoring

The chapter provides the guidance for ship security monitoring, so as to ensure the ship not to be violated by any illegal action, and that the crew may take necessary measures before hand to protect the ship or the shipboard personnel.

16.1 Responsibilities

When the ship is in the following conditions, the master is to determine to take measures of the ship security monitoring appropriate to the security status:

- while the ship is navigating in the area where the extent of the security threat is higher;
- while the ship is operating at the port;
- while the ship is at anchorage;
- other status considered necessary for passing security inspection and assessment.

16.2 Ship security monitoring areas

The monitored areas mainly include the restricted areas, vulnerable areas and the surrounding areas of the ship including likely boarding access.

16.3 Measures for security monitoring

The measures for the ship security monitoring include:

16.3.1 Security lighting:

- While the ship is at sea, on the premise of securing the safe navigation, the lights are to be switched on as many as possible, and sufficient lights are to be provided for both sides and stern of the ship. The searchlight is to be added to enhance the visibility over the water surface surrounding the ship. Marker light is also to be switched on. The person on duty is often to use Morse code light and strong light torch for the sea surface to show that the ship is capable of defending itself. The light for the cargo area is to be switched on and the stern light is also to be added when necessary.
- While the ship is at mooring or anchorage, all the lightings on the deck and inside the ship are to be kept in good condition. At night, the lights are to be switched on to ensure the lighting for the deck, stern areas and access points of the ship, so that the crew can see the conditions of the areas over the ship including dock side and waterside, and the conditions inside and outside the ship and of the areas surrounding the ship. At higher security level, the lighting is to be cooperatively used for dock facility. The additional lights include strong spot light to be used for both sides and the stern of the ship to enhance the visibility of the deck and the water surface surrounding the ship.

16.3.2 Security persons are to be arranged for as watch-keepers on the deck including patrol.

16.3.3 While the ship is at sea, the equipment such as radar, binoculars etc. can be used for detailed search for the suspected target over the sea.

16.3.4 Audial and/or visual alarm is to be activated, such as siren warning and searchlight warning for suspected target.

16.3.5 Or all the means mentioned above can be combined in use.

16.4 Requirements for deck lighting or lighting inside the ship

16.4.1 At dark night or under poor visibility condition, when the ship/port facility interface activities, mooring or anchoring operations are carried out, the lighting for the deck, the area of the stern and access points of the ship are to be ensured.

16.4.2 While the ship is at dock, at anchorage or is at sea, the deck and the ship sides in darkness or in poor visibility are to be provided with appropriate lighting upon the security level and the judgement of the master. But it is not to affect the navigating light or the safety of navigation.

16.5 Security patrols

Security patrols are organized and arranged by the ship security officer mainly for inspecting the security status of the ship and the areas around the ship. The procedures of security patrols are as follows:

- The master and the ship security officer are to discuss and decide the patrol frequency upon the security situation. The ship security officer is responsible for arrangement of security patrols;

(The company is to specify the minimum patrol frequency necessary on board determined upon security assessment)

- The patrols are to be carried out at an irregular interval.
- The patrols and the persons on duty are to keep effective contact with the officer on duty and the ship security officer.
- The security patrols are to make inspection tour of various areas of the ship including the areas over side of the ship, and to pay special attention to each restricted area. If the restricted area is locked, the lock condition is to be checked, and any suspected condition occurring in the patrol areas is to be observed.
- The patrols themselves are not to handle any suspected condition detected, but to report to the ship security officer immediately.
- If unauthorized access to the restricted areas is detected, the patrols are to search the unauthorized person as appropriate to ensure that he has not damaged any equipment and material in the restricted areas. If he is the person allowed to board, he is to be accompanied to the designated working location, which is, at the same time, reported to the ship security officer. If he is unauthorized to board, the patrols are to report to the ship security officer immediately, and inform the port facility security authority of it for handling.
- If the patrols detect the security status tampering, such as a locker picked, they themselves do not handle it, nor destroy the site. They are to report to the ship security officer to inspect the security status, and report to the port facility authority when necessary.

16.6 Notification of security information

Upon appropriate security level, the security threats likely to happen are to be issued to all the shipboard personnel, including suspected persons, suspected matters and activities. The shipboard personnel are urged to heighten their vigilance.

Chapter 17 Corresponding Security Measures at Each Security Level

The Chapter clarifies the particular security measures to be taken at each security level. It is the result obtained from the security assessment of the ship in accordance with the international requirements and appropriate guidance regulations. When the content here shows that the particular measures are to be implemented over the scope of a security level, the content and measures of a higher security level are likely to be added.

17.1 General measures for ship security

Protection measures	Security level		
	1	2	3
All crew are to be familiar with their own security duties through security drills and training	Y*	Y*	Y*
Security information is to be provided to all crew and security persons including security level and any security threats	Y	Y@	Y@
Ship security officer is to cooperate with port and/or dock facility personnel in protection measures	Y	Y#	Y#
Note: * Security drills are to be carried out quarterly. # Co-operate in additional security measures. @ Additional information of the confirmed threats is to be provided for all shipboard personnel.			

17.2 Security measures for monitoring restricted areas to ensure the access only by authorized personnel

Protection measures	Security level		
	1	2	3
Monitoring and/or locking the entrance of restricted areas @	Y	Y	Y
Designating personnel to guard restricted areas or to patrol	N	Y*	Y#
Restricting to enter the areas adjacent to the entrance	N	Y	Y**
Details for enhancing patrol frequency and monitoring restricted areas include: * to designate persons to guard and patrol in restricted areas. # to designate persons to guard restricted areas in turn and/or designate persons to patrol in restricted area and the neighboring areas in turn, and double the patrol frequency. @ i. except for the areas that cannot be locked due to the need for operation decided by the master or the main senior officers; ii. the door for escape route is to be opened towards escaping way without the key to satisfy the need for escaping. ** access to other areas is restricted.			

17.3 Measures for controlling access to the ship

Protection measures	Security level		
	1	2	3
Access point to be closed @ or continuously guarded to prevent the unauthorized access to the ship	Y	Y#	Y#
Whether deck access, storage room and the areas generally not guarded (such as storage room, auxiliary engine room to be locked® and preventive measures to be taken to prevent unauthorized access	Y	Y	Y
The unguarded areas adjacent to the areas where visitors are allowed to enter are to be locked or are not allowed to enter	Y	Y	Y
The amount of the access of the ship to be reduced to the minimum+	N	Y	Y*
Keep close cooperation with the port facility, and establish restricted areas at the port side of the ship	N	Y	Y
Carry out overall and local search of the ship	N	Y	Y**
Ship shifting and bearing off	N	N	Y
Evacuation from the ship	N	N	Y
Take measures, including low speed of the propeller under practicable conditions, so as to inspect whether there is any person to move close to the hull	N	N	Y
When unauthorized access to the ship is detected&	Y	Y	Y
<p>* Only one boarding access available.</p> <p>** Prepare for complete or partial search of the ship, and the restricted areas is the requisite part to be researched.</p> <p>@ The door for escape route is to be opened towards escaping way without the key to satisfy the need for escaping.</p> <p>+ The exit points of the ship are not to be restricted under emergency condition.</p> <p># Add persons to guard the boarding access as so designated in the security plan.</p> <p>& Inquire about the identity and cause, give warning, report to the officer on duty and the ship security officer for handling the relevant matters.</p>			

17.4 Measures for monitoring decks and surrounding areas of the ship

Protection measures	Security level		
	1	2	3
Arrange security lookout and/or security patrol	Y	Y	Y*
Light the deck and access points at dawn and at dusk or during the period of poor visibility so as to have full visual identification of the person to board®	Y	Y**	Y**
Sufficient lighting to be provided while the ship is in port so as to make the crew see the dock and the surface of the sea overside, including the areas of and around the ship®	Y	Y**	Y**
Switch on the lights as many as possible while the ship is at sea, including additional light to be provided overside for lighting the surface of the sea, but it is not to affect the safety of navigation	N	Y	Y
Coordinate with the port facility in boat patrol at waterside, patrol on foot or by vehicle on shore	N	Y#	Y#

Before or at the arrival of the ship, or where it is necessary, designate a diver to inspect the hull or under water facility of the dock, and prepare for inspection of the bottom of the ship under water	N	N	Y [#]
<p>@ Co-ordinate with the port facility in providing lighting scope.</p> <p>* Add the number of security persons and frequency of security patrol (the number of security persons is to be doubled, and so is the frequency of security patrol):</p> <p>§ when the operation of the ship reduced, add the frequency of security patrol to ensure the continuous monitoring;</p> <p>§ small craft patrol at the sea surface overside to ensure the continuous monitoring.</p> <p>** When the security level is heightened, security persons are to coordinate with the port facility side in adding lighting to ensure the sufficient lighting on shore. The lighting added includes:</p> <p>§ using spotlight and floodlight to add the visibility of the deck and surrounding areas of the ship;</p> <p>§ using lighting to enhance the visibility of the surrounding water area or water surface.</p> <p># Take the measures as so required by the port facility or when responding to exceptional threat information.</p>			

17.5 Control measures for boarding persons and their effects

Protection measures	Security level		
	1	2	3
The cause of the person to board the ship through checking their boarding pass, work instructions, document of pilot, document of inquiry, government certificate or other means	Y	Y	Y
Each person is to be correctly identified before boarding such as crew, temporary accompanying person*, pedlar, visitor and other person	Y	Y	Y
Visitors without definite purpose are refused to board the ship	不	Y	Y
New crew who is to work on board is to be identified	Y	Y	Y
Stop embarking or disembarking	N	不	Y
Check boarding persons, baggage, effects and clothes to prevent contraband, weapons, flammable and explosive substances carried	Y [#]	Y [@]	All
Security brief is to be introduced to all the shipboard personnel before the ship leaves the port, including specific and necessary security threats, security vigilance and how to report suspected persons, material or activities	N	Y	Y
Designate persons to guard the designated inspection areas	N	Y	Y
Only crew and other authorized persons can board the ship	N	Y	Y***
All the persons providing service to the ship are to be accompanied by relevant crew while they are on the ship	N**	Y**	Y**
<p>* Temporary accompanying persons are to be provided with security instructions.</p> <p># This is to be considered as sample check of boarding persons about 5-20%.</p> <p>@ The percentage of sample check is to be up to 25-50%, and the detailed extent of the check is to be enhanced.</p> <p>** Persons to board the ship can be allowed to board after they are identified.</p> <p>*** Only persons responding to security incidents or security threats, cooperating with responding persons and facility personnel are allowed to board the ship.</p>			

17.6 Measures for monitoring cargo handling and handling of ship's stores

Protection measures	Security level		
	1	2	3
Verifying the name and amount of the cargo are to match those mentioned in the document	All	All	All
General security inspection is to be carried out to cargo and cargo areas to ensure the cargo complete without tampering and hidden trouble	All	All [@]	All [@]
Enhance cargo security measures together with shipper or port facility authority or other part	N	Y	Y
Contact the port facility department to check paper strip seal or other protection measures for preventing cargo tampering	Y	Y	Y
Verifying the name and amount of the stores to be loaded to match those in the application document (or the document confirmed by the person in charge of the stores)	All	All	All
Check the ship's stores and supplies	Y	Y	All
Restrict or stop handling of the cargo and stores	N	N	Y
Refuse the stores to be onboard	N	N	Y
Be ready to co-operate with responding persons and facility personnel	N	N	Y
Check and verify the list and location of all the dangerous goods or hazardous substances on board	N	N	Y
<p>[@] Compulsory inspection of cargo or cargo area to add inspection contents and increase the extent of the details.</p> <p>[#] To be completed by means of sample verification to verify the stores and/or supplies of 5-20%.</p> <p>⁺ Increase the frequency and details of the check of, say, 25-50%.</p>			

17.7 Measures for ensuring port facility communication

Protection measures	Security level		
	1	2	3
Inspect regularly the communication equipment	Y	Y	Y
Provide alternative communication methods	Y	Y	Y [#]
# provide different safe communication ways			

Chapter 18 Procedures for Security Incidents and Emergency Plan

This Chapter is to provide the Master with procedures for addressing threats or breaches of ship security and for responding to information issued by contracting Government on security level 3, aimed at minimizing loss to the ship and port facility.

This Chapter is intended to provide a framework through which the Master can address the imminent security threats or breaches of security, but not all contingencies are included. The procedures defined in this Chapter is not to constrain the Master and the SSO from taking the actions they deem necessary for the safety of the ship, crew, and passengers in situations where these procedures do not apply.

18.1 General procedures for security incident and contingency response

When a security incident happens to the ship or the security status is under threat or breach, the general procedures for the ship's contingency response are as follows:

- .1 anyone reports doubt on any matter of security threats or breaches is to report in time to the ship security officer;
- .2 when receiving the report, the ship security officer is to investigate and analyze the suspected matter. If the case is urgent, the ship security officer is to call assembly of all the shipboard personnel immediately and inform them of the security threats likely to happen and the need to heighten their vigilance, and ask them to report any suspected person, goods or action;
- .3 take contingency actions in accordance with the results of investigation and analysis;
- .4 no access to the incident involved area;
- .5 no embarking except for the contingency response personnel;
- .6 where necessary, take security measures as the ship is at security level 3, including stop cargo handling;
- .7 pause the non-critical operations other than those necessary for maintaining the ship security and the security measures, such as maintenance of the ship and cleaning the cargo holds etc., to assemble persons and concentrate the efforts on responding to security threats or breaches;
- .8 if security threats or breaches are ensured to exist, alert is to be given to the vicinity ships and shore security authority in accordance with the requirements related to communications mentioned in Chapter 9, and it is to be reported to the company security officer, the Administration, the port State or the security authorities near the liaison points of the coastal State;
- .9 if the security incident threatens the safety of the ship or the shipboard personnel, and if it is safer to evacuate the ship without authorization, the persons without security task are to evacuate the ship subject to the permission and monitoring of the port facility security authorities.

18.2 Bomb threat

18.2.1 Anyone who receives bomb threat is to report to the master and the ship security officer immediately. Upon receiving the report or threats, the master and the ship security officer are to:

- .1 report immediately to the company security officer and nearby security authority. If the ship is in port, the master and the ship security officer seek for support of the port facility authorities;
- .2 determine as appropriate part of or all personnel to evacuate to the safe area;
- .3 determine as appropriate while the ship is in port to employ a diver to search the under water part of the hull;
- .4 organize an emergency responding team to search bomb if they can not obtain the support by the port facility security authorities;
- .5 determine whether the frightener is only to frighten, not really to set bomb. He may be making practical joke. He may also want to break the normal operation of the ship, such as the ship's navigation or the ship's normal security operations;
- .6 maintain the normal operation of the ship as far as possible on the premise of safety of the personnel, especially the key operations to affect safety of the ship, such as the ship's navigation or the ship's normal security operations.

18.2.2 Anyone who receives telephone about bomb threat is to:

- .1 remain calm;
- .2 if possible, get more than one person to listen to the call;
- .3 keep the caller on the line as long as possible;
- .4 ask the caller to repeat the message and record every word spoken by the caller;
- .5 listen for voices or speech peculiarities and/or accents;
- .6 be alert for words or phrases that may be repeated;
- .7 try to distinguish background noises that might help identify or locate the caller;
- .8 record the conversation if possible;
- .9 notify the SSO immediately. If available, provide the location of the bomb and the threatened time of detonation;
- .10 do not hang up the phone if the call is made from the ship's internal telephone system.

18.2.3 General procedures for searching bomb/explosive

The following are the steps to be taken when the ship encounters bomb threat or when there is evidence to show that bomb/explosive are likely to have been set on board:

- .1 get support from bomb expert and nearby security authorities if possible;
- .2 considering evacuation of personnel, determine as appropriate part of or all personnel to evacuate to the safe area. If the area encountering the threats of bomb/explosives can be determined, the restricted area is to be established there and persons are to be arranged for to keep watch. No unauthorized access is allowed;

- .3 arrange reasonably for searchers and make search plan upon the extent of the suspect area and location. The designated searcher is to be familiar with the condition of the area so as to find new and unidentified objects. The designated searcher is also to receive appropriate training for identifying bomb and explosive devices and for the measures to be taken after find such devices;
- .4 implementation of search is to be organized and monitored by the ship security officer;
- .5 the areas searched are to be marked or recorded;
- .6 the searcher, the ship security officer and the master are to establish good communication liaison, but any radio communication equipment can not to be used near the site unless it is instructed by an expert;
- .7 there may be more than one bomb/explosive. If a suspected object is found, no action is to be taken for it. It is to be reported to the ship security officer before continue search.

18.2.4 Search procedures for bomb and explosive in port

(Note: this part is to make search procedures for bombs when the ship is in port. The procedures must include the designated person and arrangement, and the shipboard security equipment used (such as explosive gas detector). Evacuation procedures are also to be considered while the ship is in port)

18.2.5 Search procedures for bomb while the ship is at sea

(Note: this part is to make search procedures while the ship is at sea, including designated the person and arrangement, and the shipboard security equipment used (such as explosive gas detector)

18.3 Unidentified object/explosive

18.3.1 General instruction

- .1 Objects threatening all crew and the ship or both belong to unidentified objects/explosives except drugs. They include, but are not limited to, explosive weapons, chemical weapons, biological weapons or other weapons.
- .2 Make a comprehensive survey of the changing situation of the world today, these objects or explosives may be brought on board at any place of the world.
- .3 If such devices are found on board while the ship is at the port, the master or the ship security officer are to evacuate the shipboard personnel in accordance with the emergency plan. Only persons enough to provide technical support for safety body are to be left on board.
- .4 If such devices are found while the ship is at sea, the master is to make response upon the factors such as the size and location, the ship's location and time etc., until the arrival of the safety body and other safety body and other assistant department.

18.3.2 The response of the master is to include the following measures:

- .1 need to enter into general contingency status;
- .2 need to evacuate every person in the area upon the evacuating route, and clear thoroughly the surrounding ground with suspect objects;
- .3 tell all the shipboard personnel to keep away from the doors, windows, hatch covers extending from the areas with such devices, so as to avoid being hurt from explosion;

- .4 be possible to seek help from any person to security body;
- .5 avoid being ignited so that the ship will not be damaged and will keep its stable status;
- .6 need to build walls around the devices to absorb explosive force;
- .7 anyone in any case is not allowed to touch or move the suspect object or anything attached on it.

18.3.3 Initial actions

- .1 Notify the company and the nearest port agency and describe accurately the object, such as the location on the ship, its appearance, size, color, and anything attached to it.
- .2 Do not put the suspect object in the water, or spray water on it, which is likely to have short cut resulting in ignition.
- .3 Do not run near the suspect object
- .4 VHF/SHF band radio is not to be used within three meters of the suspect object.
- .5 Do not take hold of, touch, open or move the suspect object or suspect device.
- .6 Do not cut or pull the wire, fuse or thin rope above.
- .7 Do not cut off the fuse.
- .8 Do not hand metal tools near the suspect device.
- .9 Do not move switches, loose hook or fasten rope.
- .10 No smoking nearby.
- .11 Do not make too close visual inspection.
- .12 Do not move the suspect device away from the crowd — evacuate the crowd from the suspect device.
- .13 Do not move close to the bomb.

18.3.4 Follow-up actions

- .1 Sand bags or mats are to be laid around the suspect object.
- .2 Clear the areas around, above and below (all six sides).
- .3 Find the dangerous area, and command the crew not to move close to any of the area.
- .4 Open the doors and side scuttles to reduce as far as possible the initial damage.
- .5 Abide by the instructions or relevant shore authorities.

18.3.5 If the bomb explodes without warning, wherever it is on board or near the ship, the master is to:

- .1 ensure the watertight integrity and stability;
- .2 take first-aid measures when necessary;
- .3 take fire protection measures;
- .4 assemble personnel, and determine the casualties and names;

- .5 notify the company and authorities (in port), emit distress signal if necessary;

18.4 Weapon/explosive/unidentified object accidentally found

When weapon/explosive/unidentified object is found on board, the master or the ship security officer is to:

- .1 report immediately to the company security officer and appropriate/ security authorities;
- .2 get support from bomb expert and nearby security authorities if possible;
- .3 determine as appropriate part of or all the personnel to evacuate to the safe area;
- .4 use procedures for searching weapon/explosive/unidentified object, and searching other parts whether there is any other weapon/explosive/unidentified object;
- .5 investigate the cause of the weapon/explosive/unidentified object existing, evaluate the vulnerabilities of the ship security measures reflected and make corrective suggestions

18.5 Evacuation of the ship

(Note: this part is to determine the responsibilities and procedures for giving evacuation instructions or duties necessary for any evacuation)

18.6 Emergency shifting of the ship

(Note: this part is to determine the responsibilities and procedures for giving evacuation instructions or duties necessary for any evacuation)

18.7 Responding to the actions, breaching security or suspected, happening on board or around the ship

(In order to prevent dangerous condition, vigilance to suspect actions and appropriate response to the incident really breach security is the basic requirement each of the crew is to satisfy. This part is to determine the response to the suspected actions and to the major incident of breaching security including response to suspect craft and the following special security threats etc.)

18.8 Stowaways or illegal intruders detected

(Note: this part is to determine the response procedures for the stowaways or illegal intruders detected or the duties for any necessary response)

18.9 Piracy and armed attack

(Note: this part is to determine the responsibilities and procedures for piracy and armed attack or the duties for any necessary response)

18.10 Hijacking the ship or seizure of the shipboard personnel

(Note: this part is to determine the response procedures for hijacking the ship or seizure of the shipboard personnel or the duties for any necessary response)

18.11 Procedures for reporting security incidents

18.11.1 At each security level, the company is to ensure that the ship security officer and other security persons may:

- a. response to different dangers or incidents breaching security, and maintain the operations of the ship and ship — port interface, including:

1. no access to the affected areas;
 2. refusal of other persons boarding except for emergency response personnel;
 3. security measures implemented on board at the security level 3;
 4. stop of the cargo handling; and
 5. report the relevant emergency incidents to shore body or other ships;
- b. evacuate the shipboard personnel when crisis or incident breaching security exists;
 - c. report the security incidents, including:
 1. suspect actions;
 2. incident breaching security;
 3. transmit security incident (TSI);
 - d. brief introduction to all the crew the danger likely to happen, requiring them to heighten vigilance to suspect persons, substances or incidents and report if any;
 - e. ensure the operations under non-emergency conditions put aside the energy for dealing with unexpected incidents.

18.11.2 The master or the ship security officer is responsible for filling in the security incident report and submit it to the company security officer within 24 hours after the breaching actions are detected. The format of the report is as follows:

a. Description of the ship or the port facility

Name of Ship: _____

Flag: _____

Master: _____

Port Facility Security Officer: _____

Ship Security Officer: _____

b. Brief description of incident or threat

c. Date, time, and place (lat/long) of incident or threat

d. Number of alleged offender(s)

Crew: _____ Other: _____

e. Details of offender(s)

Name: _____ Nationality: _____ DOB/POB _____

Name: _____ Nationality: _____ DOB/POB _____

Name: _____ Nationality: _____ DOB/POB _____

Name: _____ Nationality: _____ DOB/POB _____

f. Number of alleged victim(s)

Crew: _____ Other: _____

g. Details of victim(s)

Name: _____ Nationality: _____ DOB/POB _____

Name: _____ Nationality: _____ DOB/POB _____

Name: _____ Nationality: _____ DOB/POB _____

Name: _____ Nationality: _____ DOB/POB _____

h. Natures and severity of injury sustained

Name: _____ Injury: _____

Name: _____ Injury: _____

Name: _____ Injury: _____

Name: _____ Injury: _____

i. Type of dangerous substances or devices used (full description)

Weapon: _____

Explosives: _____

Other: _____

j. Method used to introduce dangerous substances or devices into the port facility or ship

Persons: _____

Baggage: _____

Cargo: _____

Ship Stores: _____

Other: _____

a) Where were the devices/items described concealed?

b) How were the items described in Section 5 used and where?

c) How was the security measures circumvented?

k. What measures and procedures are recommended to prevent a recurrence of a similar event?

l. Other pertinent details (Use additional sheets if required)

m. Upon receipt of a security incident report, the CSO files a written report of said incident, to the appropriate authorities.

(Note: in a specific security plan, it is to be clarified that the report is to be submitted to the organ of power and how it is to be submitted)

Chapter 19 Audit and Amendment to Ship Security Plan

This Chapter provides the internal audit of the ship security activities and the periodical review of the plan and the procedures for amendment when necessary, the purpose of which is to monitor the effective operations of the ship security system, and amend and renew it upon experience and changing of the environment, so as to ensure the plan continuously effective.

19.1 Internal audit of the security activities

19.1.1 The company security officer is to carry out the internal audit of the plan's implementation and the ship security activities once a year. The interval of two audits is not to be more than 12 months. But the first audit is to be carried out within 12 months after the plan is approved. Where necessary, the company security officer may arrange an additional internal audit of the ship. The internal audit of the ship may be carried out together with the internal audit of the ISM Code, but an independent audit report is to be prepared.

19.1.2 If major alteration happens to the structure, emergency responding procedures, security measures or operation of the ship or other matters related to security of the ship, the company security officer is also to arrange an internal audit of the ship.

19.1.3 The auditors for internal audit of the ship security are to be selected from appropriate and qualified personnel of the company by the company security officer. Personnel engaged in internal audit or review of the ship security activities are to be independent of the activities to be audited.

19.1.4 The audit is not to affect the normal operations of the ship if possible, and in any case is not to affect the safety of the ship.

19.1.5 The auditors for internal audit of the ship security are to collect and verify implementation information of the plan, and are to confirm the objective evidences of the effectiveness in implementing the documented procedures, including the general inspection for the status of the ship security equipment.

19.1.6 The audit is to be carried out in accordance with the following procedures:

(Note: the company may make specific procedures for internal audit and review of the security activities upon the actual conditions of the ship and the company. The following are only for reference)

- .1 Examine whether the crew are familiar with the security duties they are to undertake as so specified in the plan through oral test which is requisite for the master and the ship security officer. Sample test is to be carried out to the other crew. The total number of the crew to be tested is not to be less than 20 %, in which at least one emergency group member is to be tested.
- .2 Audit documents and records. Examine whether each inspection record and assessment of the ship is ready for the audit in accordance with the requirements of documented procedures, especially pay attention to examining whether the ship has filled in the Declaration of Security upon the requirements and has made records of taking appropriate security measures.
- .3 Audit the records of training, drills and exercises. Examine whether the ship carries out the training, drills and exercises in accordance with the requirements of the plan, and whether makes brief assessment of the result.

- .4 Make site examination, including site inspection of the security measures taken for the ship and general inspection of the ship's security equipment to obtain the overall impression in implementation of the ship security plan.
- 19.1.7 After completing the audit, the auditor is to fill in the Internal Audit Report of the Ship Security, the contents of which are to include at least:
 - .1 name of ship, port, audit date;
 - .2 method of audit and its result;
 - .3 operation status of the ship's security equipment;
 - .4 summary of the implementation condition of the ship security plan, and whether the plan is to be amended .
- 19.1.8 Internal Audit Report of the Ship Security is to be submitted to the company security officer, and a copy is to be submitted to the ship security officer for retention.
- 19.1.9 Internal Audit Report of the Ship Security is to be retained on board for [X] years for reference of next internal security audit.

19.2 Periodical review and renewal of the ship security plan

- 19.2.1 The ship security officer is to carry out the review of the implementation of the plan within the interval not more than 12 months to evaluate the continuous effectiveness of the plan, and to determine whether the plan needs amending. But the ship security officer is also to make review of the plan under following conditions:
 - .1 a ship security incident happens to the ship;
 - .2 major hidden security trouble is detected in the security audit of the ship;
 - .3 major hidden security trouble is detected during the security drills of the ship;
 - .4 the company security officer requires the ship to be reviewed.
- 19.2.2 If the result of the internal audit shows it necessary to amend the plan, or if the port State or flag State Administration requires the plan to be amended in its report of the security inspection, or if the changing of outside security ambient or regulations makes it necessary to amend the plan, the company security officer is to reorganize the ship security assessment

19.3 Review of the security activities

- 19.3.1 The review of the ship security activities is at least to include following contents:
 - .1 examine the ship security and security equipment, which is to emphasize on whether the ship security equipment, security facility and security hardware conditions are in compliance with the requirements of the plan, e.g.; whether the security equipment is in normal conditions; whether the mark of the restricted areas is clear; whether the stores of lamps are sufficient; whether locking and closing devices in the restricted areas are effective etc.;
 - .2 examine the implementation conditions of the ship security measures, e.g., whether the persons can control the boarding points in accordance with the requirements of the specifications and the procedures; whether security patrol can carry out their duty in accordance with the requirements, and visitors are accompanied etc.;

- .3 any security incident has happened to the ship since last review;
 - .4 any administrative has been taken to the ship by the flag state, port state security authorities due to security issues since last review;
 - .5 how many times of training have been carried out to the ship and what are the training contents since last review;
 - .6 how many security drills have been carried out to the ship and what are the results since last review;
 - .7 whether the crew can be familiar with their own security duties through training and drills;
 - .8 whether the records related to the ship security are accurate and kept in good condition;
 - .9 whether the plan is well implemented in the ship? Is there any difficulty encountered while implementing the plan;
 - .10 in accordance with the above mentioned review, whether necessary amendment is to be made to the plan? And details are to be described about how to amend it.
- 19.3.2 After review, the ship security officer is to fill in Review Form of the Ship Security Activities, and submit it to the company security officer after reviewed and signed by the master. The company security officer is to review the result given by the ship security officer. If the company security officer considers it necessary to amend the ship security plan, he is to organize re-assessment of the ship security.
- 19.3.3 The company security officer is to amend the security plan upon the assessment result and submit it together with the assessment result to the Administration or the recognized security organization for review. The amended plan is to be implemented on the ship after it is approved.

19.4 **Handling and resolving of issues**

The master and ship security officer are responsible for reporting in time to the company security officer the issues detected during internal audit, periodical review, security inspection and compliance verification of the ship security, and responsible for handling and resolving them. The company security officer is to be responsible for providing necessary support, ensuring that the issues detected during internal audit, periodical review, security inspection and compliance verification of the ship security are to be handled immediately.

19.5 **Ship security assessment and its periodical review**

(The company may prepare its own assessment procedures and review requirements by referring to the sample of assessment procedures given and the requirements for periodical review made in Guidelines for Ship Security Assessment by the Society)

Chapter 20 Activities Inapplicable to ISPS Code

20.1 Categories of activities

If the ship's activities are inapplicable to ISPS Code, i.e., ship/port interface and ship to ship activities, and the port or another ship do not have the security system in compliance with the approved ISPS Code, the ship is to take particular consideration to security risk existing in the activities which include:

- .1 the ship is in a port of a non-contracting Government of the ISPS Code;
- .2 the ship is interfacing to another ship inapplicable to the ISPS Code;
- .3 the ship is interfacing to a fixed floating platform or a mobile offshore drilling unit in its position;
- .4 the ship is interfacing to a port or port facility not required to be in compliance with SOLAS XI-2 and the ISPS Code; or
- .5 other activities not specified by the Code, such as dock repair.

20.2 Security risk assessment

Before the activities mentioned above, the ship security officer is to know the security condition and the security measures of its interfacing partner by different means, such as pilot, agency, foreman, etc., so as to analyze and evaluate the security risk of the activities.

20.2.1 If the ship is to carry out ship/port interface operations with the port facility, it is to lay emphasis on but not limit to whether there exist vulnerabilities from the following factors:

- a) how is the political status and security status of the area in which the port is located;
- b) whether the port has sufficient physical/geographical obstacles to prevent the ships and personnel in the port from security attack;
- c) whether the port has appropriate measures for personnel control and identification;
- d) whether the port has sufficient security persons appropriate to the local security situation;
- e) whether the port can keep good security communications with the ship;
- f) whether the ship/port interface activities between the ship and the port has important and symbolic meanings in both political and economic aspects;
- g) whether any security incident ever happened to the port.

20.2.2 If the ship is to carry out ship/ship interface operations with another ship, it is to lay emphasis on, but not limit to, whether there exist vulnerabilities from the following factors:

- a) whether the ship has security certificate of any kind;
- b) how is the political status and security status of the area where the ship is;
- c) is there any area nearby which can be made use of by the attacker;
- d) is there any person among the shipboard personnel who is likely to cause security threats;

- e) whether the security measures the ship takes are sufficient to response the security risk;
- f) whether the ship/port interface activities between two ships has important and symbolic meanings in both political and economic aspects;
- g) whether any security incident ever happened to the ship.

20.2.3 If the ship is in dock repair or subject to a long term repair

(Note: this part is to determine the personnel in the company bear the responsibilities for the ship security when the ship is in dock repair or maintenance (where normal arrangement of personnel is inapplicable). It is important to be sure that there will not have any security issue when the ship is put into operations again (e.g. hidden weapons, security device out of work etc.))

20.3 Measures to be taken

- 20.3.1 Before any activity inappropriate to ISPS Code is taken, the ship security officer is to consult with the person or authorities, responsible for security, of another ship or port facility in taking additional security measures for the vulnerabilities detected in security risk assessment and enhancing own security duties. If it is agreed upon, both sides are to fill in a Declaration of Security or conclude a security agreement.
- 20.3.2 If both sides conclude a Declaration of Security, during the above mentioned activities, the ship security officer is often to observe the condition of security duties specified in Declaration of Security implemented by the port facility or another ship or the security status of the port facility or another ship. If the security status of port facility or another ship is found worsening, or if the security authorities of the port facility or another ship is not able to implement effectively the commitment mentioned in the Declaration of Security, the ship security officer is to take immediate corrective actions, including implementation of part of or all measures for heightening security level on board. He is also to contact the security authorities of the port facility or another ship, requiring implementation of the security commitment specified in Declaration of Security.
- 20.3.3 If no response is made to the requirement suggested by the ship for concluding Declaration of Security, the master and the ship security officer are to evaluate the vulnerabilities detected upon security risk and to take relevant additional measures so as to maintain the ship security. Under such circumstance, the ship security officer is to put down in Ship Security Notebook the fact that the port facility or another ship made no response to the requirement for concluding Declaration of Security, the brief assessment of the security status at that time, the security measures trying to take with the port facility or another ship and the effectiveness, and the additional measures the ship takes.
- 20.3.4 During the activities mentioned above, if the ship is unable to keep normal security contact with the port facility or another ship, the ship security officer is to stop interface activities and to take relevant security measures upon security conditions at that time, which is to be reported to the company security officer who is to try to coordinate with the Administration or the custodian of both ship.
- 20.3.5 During the activities mentioned above, all ships are to keep heightened vigilance, and are always ready to handle all the security risk and security threats likely to occur.

Annexes:

- 1 Contact points of contracting Governments**
- 2 General arrangement of the ship**
- 3 Sample of Declaration of Security**
- 4 Forms/Checklists related to Security**

(Other annexes likely to be determined by the company)

Checklist of Ship Security Inspection

Ship: _____ Type: _____ Route: _____

Inspection date: _____ Inspected by: _____

Part 1 — Security Management

Security Code Ref.	Security measures	Y	N	Remark
1. Company security management and policy				
A	Are the master, ship security officer (SSO), and crew familiar with the company's security objective and policy?			
	Are adequate resources, including shore based support, provided for the ship to meet the goals of the company security policy?			
2. Company security officer (CSO)				
	Are the ship security officer and master knowledgeable about how to contact the CSO?			
A	Does the CSO arrange for internal audits of security activities?			
A	Is the CSO promptly addressing deficiencies and non-conformities?			
A	Does the CSO provide adequate training for personnel responsible for the security of the ship?			
A	Is the CSO ensuring effective communication and co-ordination between the ship security officer and the relevant port facility security officer?			
A	Is there evidence that the CSO is working to enhance the security awareness and vigilance onboard?			
3. Ship security officer (SSO)				
A	Is the SSO qualified as a security specialist (e.g., through special training and/or education)			
A	Is the SSO aware of his responsibilities and duties, including his reporting lines?			
A	Is there evidence that the SSO is undertaking regular security inspections of the ship			
A	Is there evidence that the SSO is reporting all security deficiencies, non-conformities, and security incidents?			
A	Is there evidence that the corrective actions are implemented?			
4. Master				
A	Is it established in the SSP that the master has the overall responsibility for the ship's safety and security?			
	Is there evidence that the master is aware of his full responsibilities, e.g.: <ul style="list-style-type: none"> • Ship security plan, • Ship security implementation and maintenance • Master's responsibility to request company assistance if necessary 			
	Master has available onboard updated documented information on who appoints the crew, who decided and decides the employment of the crew, and who signed and signs the charter party.			

Security Code Ref.	Security measures	Y	N	Remark
	Is there evidence that master (and the SSO) is providing ongoing motivation of crew with respect to ship security, as described in the SSP?			
5. Ship's personnel				
	Is the crew familiar with the company security policy and the related procedures, as described in the SSP?			
	Is there evidence about the crew's awareness in security related issues (e.g., access control of people, cargo control, restricted areas onboard, responsibilities in case of security threats, etc)?			
	Does the crew know who is appointed to the different security duties?			
	Does the crew know how to respond to an attack or threat situation? (e.g., activate alert system?)			
6. Training and qualifications				
A	Are needs for security training identified and onboard training programs made for new and existing crew?			
A	Have the crew received adequate training in security matters, as described in the SSP?			
A	Is the security training properly recorded?			
7. Ship security plan				
A	Is periodical review of the ship security plan carried out as specified?			
A	Are all changes to the security plan in compliance with the requirements, and approved by the Administration?			
A	Is the security plan properly protected from unauthorized access or disclosure?			
	Is the ship protecting security sensitive information, available either electrically or on paper?			
8. Ship security surveys, security audits				
A	Are (internal) security audit performed onboard in accordance with the procedures in the SSP?			
A	Are the internal audits carried out by personnel independent of the activities being audited?			
A	Is security inspection carried out periodically			
9. Security records				
A	Are records of training, drills and exercises kept onboard?			
A	Are records of reports of security incidents kept onboard?			
A	Are records of breaches of security kept onboard?			
A	Are records of changes in security level kept onboard?			
A	Are maintenance, calibration and testing of security measures and related equipment kept onboard?			
A	Are records of communications relating to the ship kept onboard?			
A	Are records of internal audits and reviews of security activities kept onboard?			
	Are records with memos from onboard security meetings kept onboard?			
10. Ship/shore interface				

Security Code Ref.	Security measures	Y	N	Remark
	Is the SSO communicating and co-ordinating security issues with the PFSO?			
	Is port specific information (e.g. threats and their protective measures) readily available?			
	Are PFSO/CSO/contracting security Administration informed of fact that the security level of the ship is higher than that of the port in accordance with the relevant procedures			
	Is a Declaration of Security issued onboard? Are the reason and content of the issuance in compliance with the requirements?			

Part 2 — Onboard security measures

Security Code Ref.	Security measures	Y	N	Remark
1. Access to the ship				
	Are access ladders identified and monitored?			
	Are access gangways identified and monitored?			
	Are access ramps identified and monitored?			
	Are access doors, side scuttles, windows and ports identified and monitored?			
	Are mooring ropes and anchor chains identified and monitored?			
	Are cranes and hoisting gear identified and monitored?			
	Are other access points identified in the SSA?			
	Are identity documents of all persons seeking to board the ship checked?			
	Are there procedures and records available for how to check this?			
	Are the reasons for the people boarding the ship confirmed by checking joining instruction, passenger tickets, boarding passes, work orders etc?			
	Are the personnel effects of passengers controlled?			
	Is the embarkation of crew controlled? Is the bulletin board put up at boarding entrance?			
	Are the personal effects of crew controlled?			
	Are there procedures on how to check any other people accessing the ship (e.g. visitors, vendors, repair technicians, port facility personnel etc)?			
	Are the designated secure areas established (in coordination with the port facility) where inspections and searching of people, baggage (including carry on items), personal effects, vehicles and their contents can take place?			
	Are vehicles destined to be loaded onboard car carriers, ro-ro and other passenger ships searched prior to loading in accordance with the frequency required in the SSP?			
	Are checked persons and their effects segregated from unchecked persons and their effects?			
	Is the embarking passengers segregated from the disembarking passengers?			

Security Code Ref.	Security measures	Y	N	Remark
	Are unattended spaces adjoining areas to which passengers and visitors have access secured, by locking or other means?			
	Are security briefings provided to all ship personnel on possible threats, the procedures for reporting suspicious persons, objects or activities and the need for vigilance?			
	Are there procedures for how to raise alarm and to react if unauthorised boarding is detected?			
	Are there procedures for checking persons boarding the ship as a result of a rendering assistance at sea?			
	Are locations and functions of each actual or potential access point to the ship identified?			
	Are evacuation routes and assembly stations defined and maintained?			
2. Restricted areas				
A	Are restricted areas defined, and where relevant, clearly marked?			
A	Is the ship's personnel (master, SSO, crew) able to identify the restricted areas onboard?			
	Is surveillance equipment (e.g. CCTV) used to monitor the restricted areas?			
	Are guards or patrols used to monitor the restricted areas?			
	Are automatic intrusion detection devices used to alert the ship's personnel of unauthorised access?			
	Are there measures to prevent unauthorised persons to access the navigation bridge?			
	Are there measures onboard to prevent unauthorised persons to access the machinery spaces (Category A)?			
	Are there measures onboard to prevent unauthorised persons to access the control stations (defined in ISPS Code, Chapter II-2)?			
	Are there measures onboard to prevent unauthorised persons to access the spaces containing security and surveillance equipment and systems and their controls and lighting system controls?			
	Are there measures onboard to prevent unauthorised persons to access ventilation and air-conditioning systems and other similar spaces?			
	Are there measures onboard to prevent unauthorised persons to access spaces with access to portable water tanks, pumps, or manifolds?			
	Are there measures onboard to prevent unauthorised persons to access spaces containing dangerous goods or hazardous substances?			
	Are there measures onboard to prevent unauthorised persons to access spaces containing cargo pumps and their controls?			
	Are there measures onboard to prevent unauthorised persons to access cargo spaces and spaces containing ship's stores?			
	Are there measures onboard to prevent unauthorised persons to crew accommodation?			
	Are there measures onboard to prevent unauthorised persons to access any other areas as determined by the CSO, through the SSA to which access must be restricted to maintain the security of the ship?			
	Are restricted areas searched as part of the search of the ship?			

Security Code Ref.	Security measures	Y	N	Remark
	Is the management of the keys onboard in compliance with the specification?			
	Are the locks and paper strict seals in good conditions?			
3. Handling of cargo				
	Are there routines in place for checking of cargo, cargo transport units and cargo spaces prior to, and during, cargo handling operations?			
	Is there evidence, through records, that the procedures (cargo control) are followed?			
	Is the handling of cargo supervised by the ship personnel (SSO)?			
	Is there procedures for handling of dangerous goods or hazardous substances?			
	Is an updated inventory kept on any dangerous goods or hazardous materials carried onboard?			
	Are any checks carried out to ensure that cargo being loaded matches the cargo documentation?			
	Are there procedures ensuring, in liaison with the port facility, that vehicles to be loaded on board car-carriers, ro-ro and passenger ships are subjected to search prior to loading, in accordance with the frequency required in the SSP?			
	Is checking of seals or other methods used to prevent tampering?			
	Is the cargo checked visually or by examinations?			
	Is scanning or detection equipment, mechanical devices or dogs being used for checking?			
4. Ship's stores				
	Are there procedures in place for supervision of the delivery of ship's stores (to prevent acceptance without inspection)?			
	Are there procedures for handling of ship's stores to prevent acceptance unless ordered?			
	Is there evidence, through records, that the procedures (ship's store control) are followed?			
	Is the ship's stores and package integrity being checked?			
	Are stores checked if matching the order prior to being loaded on board?			
	Is immediate secure stowage of ship's stores ensured?			
5. Unaccompanied baggage				
	Are there procedures in place for how to handle and where to store unaccompanied baggage?			
	Is there evidence the procedures are followed?			
	Is any unaccompanied baggage been appropriately screened (100%) and searched (by port or ship), before it is loaded onboard the ship?			
	Are there procedures and measures in place for close cooperation with the port facility to ensure that unaccompanied baggage is handled securely after screening			
	Is the ship refusing to accept unaccompanied baggage on board?			
6. Monitoring the security of the ship				

Security Code Ref.	Security measures	Y	N	Remark
A	Are there procedures for inspection, testing, calibration and maintenance of any security equipment onboard?			
	Are the restricted areas being monitored? (see also item 2)			
	Are the deck areas being monitored?			
	Are the surrounding areas being monitored?			
	Is the security communication equipment readily available?			
	Is the security information readily available onboard?			
	Is security equipment installed onboard maintained, working properly, and readily available?			
	Are the ship's deck and access points illuminated at all times while carrying out ship/port interface activities or at a port facility or anchorage?			
	Is the ship using the maximum lighting available while underway, consistent with safe navigation? (Having regard to the provisions of the 1972 COLREGS)			
	Is the lighting sufficient to ensure the ship's personnel to be able to detect activities beyond the ship, on both the shore side and the water side?			
	Is the lighting coverage including the area on and around the ship?			
	Is the lighting coverage facilitating personnel identification at access points?			
	Is the lighting coverage provided through coordination with the port facility?			
7. Security levels 2, 3				
	Has the security level been raised onboard?			
	Is the ship responding the change of the security levels in accordance with the requirements of the plan?			
	Is the responding security measures taken in accordance with the requirements of the plan?			
Others				
A	Is the security alert system working normally? (Does the alert system onboard activate when information is sent ashore?)			
A	Are there at least two points onboard at which the alert system can activate (one in navigation bridge and at least another one at other location)?			
A	Will the security alert system turned on unconsciously			
A	Are there procedures for the use of the security alert system onboard?			
A	Is the place where alert system can activate determined? (It must be recorded in the restricted / confidential document)			
	Can the AIS be normally operated at any time?			