



**CHINA CLASSIFICATION SOCIETY**

**RULES FOR CERTIFICATION OF SHIP  
SECURITY SYSTEM  
2004**

Effective from December 1 2004

**Beijing**

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# Chapter 1 GENERAL

## 1.1 Application

- 1.1.1 China Classification Society (hereinafter referred to as “the Society”) provides the service for certification of ship security system in accordance with the Rules for Certification of Ship Security System (hereinafter referred to as “the Rules”).
- 1.1.2 The Rules is applicable to the security system of the following types of ships engaged on international voyages:
- (1) passenger ships, including high speed passenger craft;
  - (2) cargo ships, including high speed craft, of 500 gross tonnage and upward; and
  - (3) mobile offshore drilling units.
- 1.1.3 The Society carries out the certification of ship security system based on an application submitted by the Company.
- 1.1.4 If the Society, as a recognized security organization (RSO) authorized by the Government of a flag State, has been involved in either the conduct of the ship security assessment or the development of the ship security plan or its amendments for a specific ship entitled to fly the flag of that State, the Society is not to accept the ship’s application for review and approval of its ship security plan or for verification and certification of its security system in order to avoid the interest conflict.

## 1.2 Equivalent

Where the Society considers that a ship security system is equivalent in its effect to one complying with the requirements of the Rules, the said ship security system may be deemed to be in compliance with the Rules.

## 1.3 Definitions and abbreviations

For the purpose of the Rules, unless otherwise specified, the following definitions apply in the Rules.

- 1.3.1 SOLAS means the International Convention for the Safety of Life at Sea, 1974, as amended.
- 1.3.2 ISPS Code means the International Code for Security of Ships and of Port Facilities adopted on 12 December, 2002 by Resolution 2 of Conference of Contracting Governments to SOLAS.
- 1.3.3 The criteria for verification mean ship security requirements as deemed necessary by the Society as follows:
- (a) SOLAS reg. XI-2 / 4, 5, 6, 7 and 8;
  - (b) SOLAS reg. XI-1 / 3, 5 and SOLAS reg. V / 19;
  - (c) sections A/1.3, 5 to 13 of ISPS Code;
  - (d) sections B/8 to 13 of ISPS Code;
  - (e) special requirements of flag Administration (if any);
  - (f) approved ship security plan.
- 1.3.4 Ship security system means the system in place onboard the ship which implements the procedures, documentation and associated records which are examined to verify compliance with the requirement of the ISPS Code.
- 1.3.5 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.

1.3.6 Verification means an audit through a representative sample that the ship security system (1.3.4) is being implemented effectively, verification that all security equipment specified in SSP complies with applicable requirements.

1.3.7 Security equipment means the equipment used in the implementation of security measures specified in SSP.

Note: 1 Security equipment is one or more installations or measures installed, fitted and provided at one or more positions on a ship, used for prevent, monitor, detect, observe any potential security threat. Broadly speaking, security equipment includes equipment, apparatus, technical system, identification, closing appliance of a structure, etc.

2 Some equipment has double functions, e.g. deck lighting is used both for the ship's normal operation and security functions.

1.3.8 Ship's stores mean:

(a) materials that are on board a ship for the upkeep, maintenance, safety, operation or navigation of the ship;

(b) materials for the safety or comfort of the ship's passengers or crew, including any provisions for the passengers or crew.

1.3.9 Sensitive information means the information that can assist others (in the event that they get the information) with their plot to and attack on the ship security system.

Note: Sensitive information may include:

- the information related to the security plan, arrangement
- vulnerability assessment report/information
- technical specifications and location of the security equipment
- the information of limitation of the security equipment
- sensitive e-mail, etc.

1.3.10 Drill means a training event that involves at least one component of the ship security plan and is used to maintain a high level of security readiness.

1.3.11 Exercise means a comprehensive training event that involves several functional elements of the ship or port facility security plan, and in which communication, coordination, resources available and response are tested.

1.3.12 Security incident means any suspicious act or circumstance threatening the security of a ship, including a mobile offshore drilling unit and a high speed craft, or of a port facility or of any ship/port interface or any ship to ship activity.

1.3.13 Findings mean the conclusions obtained from the appraisal of evidence collected during verification against verification criteria (1.3.3).

Note: Findings will show whether the verification criteria are complied with and will give opportunity for correction.

1.3.14 Failure means the non-fulfillment of a specified requirement or the subject matter is inappropriate for the ship which is identified at times other than at a verification for the issue of an ISSC or an Interim ISSC.

1.3.15 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.

- 1.3.16 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.
- 1.3.17 Company means any of the following ones, as defined in SOLAS reg.IX/1, engaged in management of ships provided with a security system as mentioned in 1.1 of the Rules:
- (1) An independent organization or individual responsible for operation, maintenance, manning, etc. of the ship based on a management contract or bareboat charter party with the shipowner;
  - (2) A ship management section as a part of an organization, and in this case the section(or sections) is (are) in charge of all management activities for ship operation, maintenance, manning, etc. The organizations only implementing a portion of these activities does not correspond to the definition of a “Company”;
  - (3) Ship operator, ship manager, bareboat charterer or any other organization or person who has assumed the responsibility for operation of the ship from the shipowner and who on assuming such responsibility has agreed to take over all the duties and responsibilities imposed by Chapter IX of SOLAS Convention.
- 1.3.18 Certificate means the International Ship Security Certificate (ISSC) or the Interim International Ship Security Certificate (Interim ISSC) issued in accordance with the requirements of ISPS Code.
- 1.3.19 Periodical verification means renewal verification or intermediate verification as specified in Section 3, Chapter 4.
- 1.3.20 Anniversary date means the day and the month of each year which will correspond to the expiry date of the relevant certificate or document.
- 1.3.21 Document of compliance (DOC) means the document referred to in SOLAS reg.IX/4.
- 1.3.22 Ship security alert system (SSAS) means security equipment as required in SOLAS reg.XI-2/6.
- 1.3.23 Automatic identification system (AIS) means equipment as required in SOLAS reg.V/19.
- 1.3.24 Continuous synopsis record (CSR) means the record as required in SOLAS reg.XI-1/5.
- 1.3.25 Maritime security auditor means the person to the Society who implements the approval of the ship security plan and onboard verification, who also has received the formal training upon relevant requirements.

#### **1.4 Certification application and fees**

- 1.4.1 A Company requesting certification of the ship security system and maintenance of validity of certificates of its certified ships is to submit a written application to the Society or its local branches or the locations designated by it. If necessary, an agreement for certification service is to be signed with the Company.
- 1.4.2 Applicants are to pay certification fees, traffic fees and other related expenses in accordance with the Provisions of Survey Fees of the Society or agreements on certification service.

#### **1.5 Limitation of Liability**

- 1.5.1 The Society will sufficiently ensure completeness and effectiveness of the certification of the ship security system, and will accept the monitoring by the flag Administrations.

1.5.2 An ISSC certificate issued by the Society is only a statement by CCS that at the time of verification the ship had established and implemented a ship security system in accordance with the requirements in the Rules. It is possible that change(s) made by the Company and the ship in the ship security system or their failure in effective implementation of the system due to subjective reasons thereafter will lead to noncompliance with the certificate issued. The certificate itself does not demonstrate that the Company and the ship always act in compliance with the security system or that the security plan addresses all contingencies. Compliance with all applicable ship security requirements remains the responsibility of the Company and/or the ship.

1.5.3 The maintenance of the certificate is conditional upon the ship's continued compliance with the requirements of the Rules. CCS reserves the right to withhold, cancel the certificate or determine noncompliance with the certificate when the Company or the ship refuses the Auditor(s) of the Society access to the ship for verification, or fails to pay fees due on account of certification and other services, or there is evidence for failure of the Company or the ship in fulfilling their duties and responsibilities as specified in SOLAS.

## **1.6 Complaints and appeal**

1.6.1 When the Company and/or a ship has any complaint against the verification of ship security system performed by the Auditor(s) of the Society, the Company and/or ship may appeal in writing to the location where the Auditor(s) serve. Where the opinion expressed by the location is still not considered satisfactory by the interested party, the latter may appeal in writing to the Headquarters of the Society giving detailed reasons for its request. The Headquarters will decide on the matter, and this ruling will be final.

1.6.2 When the Company and/or a ship has any complaint against the conclusion drawn by a verification unit of the Society, the Company and/or ship may appeal in writing to the Headquarters of the Society giving detailed reasons for its request. The Headquarters will decide on the matter, and this ruling will be final.

## **1.7 Supply and confidentiality of information**

1.7.1 Sufficient and correct information necessary for certification of ship security system is to be made available to the Society by the parties concerned.

1.7.2 The Society will not disclose any sensitive and proprietary information to which it has access during certification of ship security system to individuals and organizations not specified in the contract, including those staff members of the Society not concerned in the service, except as required by laws and regulations.

## **Chapter 2 CERTIFICATION OF SHIP SECURITY SYSTEM**

### **Section 1 Certification of Security System**

#### 2.1.1 Certification of ship security system

2.1.1.1 The Society will carry out the verification of the ship security system, to which paragraph 1.1 of the Rules applies, in accordance with Chapter 4 of the Rules, and will issue a relevant International Ship Security Certificate to the ship whose ship security system complies with the verification criteria (1.3.3) in accordance with the authorization by the flag Administration.

2.1.1.2 The Society's certification service includes the approval of ship security plan and verification of ship security system. Upon the request by the Company, the Society may, in accordance with the Rules:

- (1) Only carry out the approval of ship security plan. But in such cases, the Society will not issue a relevant International Ship Security Certificate to the ship involved in the ship security plan.
- (2) Only carry out the verification of ship security system, provided that the security plan of the ship requesting the verification has been approved by the Administration or by the security organization recognized by the Administration. But in such cases, the Society will issue a relevant International Ship Security Certificate to the ship involved in the ship security plan.

#### 2.1.2 Maintenance of certification

2.1.2.1 In order to maintain ISPS certification, the ship is to accept periodic verification and additional verification as specified in Section 4, Chapter 4 of the Rules.

2.1.2.2 The Company is not to change the ship security plan without the approval by the Society.

#### 2.1.3 Information notification

2.1.3.1 The information of any security incident at sea involving the ship certified by the Society within the period of validity of its certificate, and of any event of the ship being detained in a port state or expelled from a port, etc. is to be notified in time to the Society.

### **Section 2 Certificates**

#### 2.2.1 Type and issuance of certificates

2.2.1.1 Authorized by the flag State government, the Society is to issue certificates to the ships which have passed ISPS verification, including the certificates the valid period of which is not more than 5 months.

2.2.1.2 The Society is to issue an interim ISSC at the interim verification as specified in Section 5, Chapter 4 of the Rules.

2.2.1.3 The Society is to issue an ISSC at initial verification, renewal verification or at initial verification within the period of validity of the issued interim ISSC.

#### 2.2.2 Period of validity of certificates

2.2.2.1 The period of validity of ISSC is to be in compliance with the following:

- (1) The period is not more than 5 years from the date of completion of initial verification. But the intermediate verification as specified in the Rules must be carried out within this period.
- (2) When renewal verification is completed within 3 months before the expiry date of the existing certificate, the new certificate is to be valid from the date of completion of the renewal verification to a date not exceeding five years from the date of expiry of the existing certificate.

- (3) When renewal verification is completed after the expiry date of the existing certificate, the new certificate is to be valid from the date of completion of the renewal verification to a date not exceeding five years from the date of expiry of the existing certificate.
- (4) When the renewal verification is completed more than three months before the expiry date of the existing certificate, the new certificate is to be valid from the date of completion of the renewal verification to a date not exceeding five years from the date of completion of the renewal verification.
- (5) If the renewal verification has been completed and a new certificate cannot be issued or placed on board the ship before the expiry date of the existing certificate, the existing certificate may be endorsed and such a certificate is to be accepted as valid for a further period which is not to exceed five months from the expiry date.

2.2.2.2 The period of validity of the interim ISSC is to be not more than 6 months from the completion date of the verification as specified in 4.4.2 of the Rules.

2.2.2.3 If an intermediate verification is completed before the period specified in Section 3, Chapter 4 of the Rules, the expiry date shown on the certificate is to be amended by endorsement to a date which is to be not more than three years later than the date on which the intermediate verification was completed, unless one or more additional verifications are to be carried out.

### 2.2.3 Extension of period of validity of certificate

2.2.3.1 If a ship at the time when the certificate expires is not in a port in which it is to be verified, the Society may extend the period of validity of the ISSC certificate if permitted by the Administration, but this extension is to be granted only for the purpose of allowing the ship to complete its voyage to the port in which it is to be verified, and only in cases where it is proper and reasonable to do so. No certificate is to be extended for more than three months.

2.2.3.2 The period of validity of the interim ISSC is not to be extended.

2.2.3.3 If the Society has the sufficient reasons to determine that one of the purposes for the Company or ship to apply for continuous issuance of interim ISSCs is to avoid its responsibility for implementation of Chapter XI-2 of SOLAS Convention and ISPS Code, the continuous issuance of interim ISSC certificates will not be granted by the Society.

### 2.2.4 Invalidation and cancellation of ISSC certificate

2.2.4.1 A certificate is to cease to be valid in any of the following cases:

- (1) when a certificate-holding ship has not undergone the periodical or additional verifications as specified in Chapter 4 of the Rules in time;
- (2) when improvement required during verification has not been completed within the specified period;
- (3) if the certificate is not endorsed at intermediate or additional verification;
- (4) the Company managing a ship ceases to manage that ship;
- (5) upon transfer of the ship to the flag of another state;
- (6) when the ship security plan is changed without approved by the Society;
- (7) an interim ISSC will cease to be valid when the Society issues ISSC.

2.2.4.2 A certificate of a ship is to be cancelled by the Society in any of the following cases:

- (1) The alternative security measures mentioned in 4.1.4 of the Rules are not taken;
- (2) The approved plan of corrective actions mentioned in 4.1.4 of the Rules is not complied with;
- (3) The Company did not pay the verification fees, and still not when urged to pay.

2.2.4.3 When the Society has sufficient reasons to determine the invalidation or cancellation of the certificate, the Society will notify in writing the Company which the ship serves and the flag Administration of the information of the involved ship and Company and the reasons for doing so.

## 2.2.5 Retention, re-issue, revision or return of certificate

### 2.2.5.1 Retention of certificate

The certificate is to be retained onboard the ship, and the copy of the certificate is to be retained in the Company. They are to be presented upon the Society's request.

### 2.2.5.2 Re-issue of certificate

- (1) Application for re-issuing an ISSC certificate is to be submitted by the Company to the Society without delay in case of its ISSC certificate being lost or damaged.
- (2) After invalidation or cancellation of the certificate mentioned in 2.2.4, only when SSP is re-approved and an additional verification is carried out with the same scope and extent as the initial verification, can ISSC be re-issued. The period of validity of the new certificate is to be the same as that of the invalidated or canceled one.

### 2.2.5.3 Revision of certificate

Whenever the content of the certificate is changed, the Company is to promptly request the Society to rewrite and re-issue the certificate.

### 2.2.5.4 Return of certificate and document

The Company is to return the certificate immediately to the Society in any of the following cases:

- (1) when new ISSC is issued in accordance with 2.2.1;
- (2) when the certificate is re-issued in accordance with 2.2.4.2 or 2.2.4.3 (except for re-issuing the lost certificate);
- (3) when the lost certificate is found after re-issue (withdrawal of the certificate previously issued).

## **Chapter 3 APPROVAL OF SHIP SECURITY PLAN**

### **Section 1 General Requirements**

- 3.1.1 The application for approval of ship security plan is to be submitted by the Company which the ship serves to the Headquarters of the Society or the unit designated by the Society.
- 3.1.2 During the verification of ship security system carried out in accordance with Chapter 4 of the Rules, the Society will not accept the application for amendments to the ship security plan (SSP) not approved by the Society.
- 3.1.3 For the review of the documents related to ship security, the Society is to determine:
- (1) that ship security assessment (SSA) has been carried out, and is in compliance with the requirements of ISPS Code;
  - (2) that the preparation of ship security plan (SSP) and its amendments are based on ship security assessment, and are in compliance with three security levels defined in ISPS Code.
- 3.1.4 When authorized by the flag Administration, the Society will approve the ship security plan (SSP) on behalf of the flag Administration.

### **Section 2 Documents to be Submitted**

- 3.2.1 The Company is to submit one copy of each of the following documents to the Society for examination about the application for the approval by the Society of ship security plan:
- (1) a duplicated copy of DOC;
  - (2) ship security plan;
  - (3) report of ship security assessment on which the ship security plan is based.
- Note: Paper or electronic format may be adopted for the documents.
- 3.2.2 The relevant documents are to be submitted if the following are not included in the ship security plan :
- (1) organizational structure and procedures for describing specific responsibilities and authority of company security officer (CSO) and other shore-based personnel related to ship security;
  - (2) company's declaration for describing that the Company is to provide CSO and master with necessary support so as to ensure the fulfillment of their responsibilities related to security.
- 3.2.3 The Company is to submit to the Society the evidence information that the company security officer (CSO) has received necessary training for implementing his responsibilities.
- 3.2.4 If considered necessary by the Society, it may require the Company submitting other documents related to ship security system as supplement to those required above.

### **Section 3 Ship Security Plan**

- 3.3.1 Ship Security Plan (SSP) is to be written in working language(s) of the ship or the language understood by the crew. If the language used is not English, French or Spanish, at least a translation into English is also to be submitted.
- 3.3.2 Such a plan is to be developed on the basis of the ship security assessment and to be in compliance with the relevant requirements in Part A of ISPS Code, as appropriate, taking into account the guidance given in 8.1 to 13.8 of Part B of the ISPS Code.
- 3.3.3 Ship security assessment (SSA) is to be in compliance with the relevant requirements in Part A of ISPS Code, and is to ensure that:

- (1) the ship security assessment is to be carried out by persons with appropriate skills to evaluate the risk and problems of the security of a ship;
  - (2) it is to be carried out on the basis of specific threat scenarios , including regular trade patterns, with consideration of the ship’s vulnerabilities and the consequence of these scenarios;
  - (3) the guidance is fully taken into account as given in 8.1 to 13.8 of Part B of ISPS Code.
- 3.3.4 Where the Company submits a general ship security plan covering part or whole of its fleet, the Society will accept such a plan only when there is evidence that the Company has carried out the ship security assessment including on-scene security survey for each ship and that the ship security assessment and submitted ship security plans reflect the ship-specific information accurately for each ship. The Society will act in accordance with the provisions specified by the Administration when conducting review and approval of ship security plans on its behalf.

#### **Section 4 Review of Documents**

- 3.4.1 Upon request by the Company, the qualified maritime security auditor (hereinafter referred as “the auditor”) of the Society, as appropriate, is to carry out the review of the documents.
- 3.4.2 If the review of the ship security plan is carried out in the Company or onboard the ship, the auditor is to hold the opening meeting and closing meeting with senior management of the Company or the ship before the beginning of the review work and after its completion, so as to make sure that the Company or the master is to cooperate in the work, and understand any finding of the review.
- 3.4.3 Findings of the document review are to be documented in a clear and concise manner and supported by objective evidence. The auditor is to prepare the review report for the ship security plan based on the information gathered.
- 3.4.4 During review of documents, the Society will approve the ship security plan if the ship security plan and the ship security assessment are considered to be in compliance with the appropriate verification criteria (1.3.3). If the Society considers that the ship security plan and the ship security assessment are not in compliance with the appropriate verification criteria (1.3.3), the Company is required to amend them appropriately and resubmit them for review.
- 3.4.5 If the ship security plan is considered to be in compliance with the verification criteria after being reviewed, the Society will issue a Letter of Approval for the ship security plan to the effect that the Ship Security Plan has been developed in accordance with ISPS Code A/9.4 taking into account the guidance given in ISPS Code B/8.1 to 13.8 and is appropriate for the ship.
- 3.4.6 The ship security plan is to be affixed with an approval stamp to avoid the unauthorized revision and is to be returned to the Company together with the Letter of Approval. The ship security plan is to be kept onboard the ship.

#### **Section 5 Approval for Amendments to the Approved Ship Security Plan**

- 3.5.1 Any amendments to the ship security plan approved by the Society is to be submitted to the Society for review and approval.
- 3.5.2 When applying for approval of amendments to the ship security plan, the Company is to submit the following documents:
- (1) the amended cover, contents of the ship security plan or the list of the documents, amendment record;
  - (2) relevant documents of the ship security plan prior to amendment (duplicated copies are accepted);
  - (3) relevant documents of the ship security plan after amendment;
  - (4) report of the ship security assessment resulting in the amendment of the ship security plan.

- 3.5.3 If the amendments to the ship security plan is considered to be in compliance with the verification criteria after the review of amendments to the relevant documents of the ship security plan, the Society is to affix approval stamp to the relevant documents of the amended ship security plan, and return them to the Company. The Company is to ensure the renewal of the ship security plan onboard the ship.
- 3.5.4 In accordance with the extent and nature of the amendment to the ship security plan, the Society is to determine whether an additional verification is required, and notify the Company of the decision. The amendment to the ship security plan due to the installation or replacement of the ship security alert system are to be subject to an additional verification.

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## **Chapter 4 AUDIT OF SHIP SECURITY SYSTEM**

### **Section 1 General Requirements**

#### 4.1.1 Application

4.1.1.1 The ship requesting audit by the Society is to submit an application to the Society.

#### 4.1.2 The requirements for the Company and/or the ship

4.1.2.1 The Company is to hold a Document of Compliance (DOC) of the company safety management system and the Safety Management Certificate of the ship accepted by the Society

4.1.2.2 The Company is to provide the documented ship security assessment (SSA), security procedures and associated records carried out or made by the company security officer or persons with appropriate skills authorized by him. These records are to provide objective evidence for the implementation of ship security plan (SSP) and the maintenance of any security equipment specified in the ship security plan. When applying for initial audit by the Society, the Company is to ensure that sufficient objective evidence is available for the implementation of the security system of the ship.

4.1.2.3 The Company shall carry out both internal audits and reviews of security activities at least once every 12 months onboard each ship applying for certification, and to provide appropriate evidence to prove it.

4.1.2.4 The Company is to ensure the appropriate investigation and analysis of the failures identified during the audit and take corrective actions.

4.1.2.5 The audit of the compliance of ship security system by the Society will not reduce the obligations of the Company and all the crew to abide by national and international laws, or the security levels of the areas where they work or carry out their business activities.

4.1.2.6 The Company and the ship are to maintain records of their internal and external security audits for a minimum period of 5 years.

#### 4.1.3 Preparations and implementation of the audit

4.1.3.1 Upon the Company's application, the qualified maritime security auditor (hereinafter referred to as "the auditor") of the Society, as appropriate, is to carry out the verification.

4.1.3.2 During the audit, the Company is to arrange for a person who is familiar with audit procedures and who is capable of preparing audit work to assist the auditor when required.

4.1.3.3 The Company whose ship is to be audited is to make necessary preparation in accordance with the audit plan notified by the Society in advance and the requirements (if any) of the auditor. The preparation for the audit is to ensure that the auditor has access to all the documents, records related to the ship security system during the audit.

4.1.3.4 The audit can be suspended if the Company has not made sufficient preparation for the audit or does not designate persons to receive the audit, or if the auditor considers it difficult to continue the audit.

4.1.3.5 Only when the ship is under normal operation condition and with full complement of crew onboard in accordance with the Safely Manning Certificate, can the initial verification, periodical verification and additional verification mentioned in 4.1.6 be carried out.

4.1.3.6 The verification for issuing or renewing ISSC consists of the following steps:

- (1) verification that an approved SSP is onboard;

- (2) verification through a representative sample that the security system is being implemented effectively;
  - (3) verification that all security equipment specified in the SSP complies with applicable requirements;
  - (4) Verification that all security equipment specified in SSP, including the ship security alert system, is operational.
- 4.1.3.7 The auditor is to hold the opening meeting and closing meeting with the master and/or senior management of the ship before the beginning of the verification and after its completion, so as to make sure that the master and/or the senior management of the ship are to cooperate in the work, and understand any finding of the verification.
- 4.1.3.8 The auditor is to verify the implementation of the approved ship security plan and to confirm the objective evidence of the effectiveness of the documented procedures. This verification is achieved via interviews, review of documents and examination of drill and training records.
- 4.1.3.9 All the technical security equipment or systems specified in the ship security plan is to be verified. Operational security measures may be verified through sampling.
- 4.1.3.10 The auditor may obtain information from other RSO or relevant flag Administration so as to confirm truthfulness of the information submitted by the Company.
- 4.1.4 Audit findings
- 4.1.4.1 The audit findings are to be documented in a clear and concise manner and supported by objective evidence. Failures or non-conformities are to be pointed out in accordance with the verification criteria. The Failures or conformities pointed out are to be recognized by the representative of the Company and/or the ship's senior management so that they can take corrective actions.
- 4.1.4.2 If the auditor, at an intermediate or additional verification, identifies through objective evidence a failure in the ship security system or the associated security equipment that does compromise the ship's ability to operate at security levels 1 to 3, it shall be reported immediately to the flag Administration together with the remedial action proposed by the Company. If authorized by the flag Administration to do so, the auditor shall verify the implementation of the alternative security measures and approve the remedial action plan before the ship sails. The Society is to request the Administration to authorize an additional verification before the expiry date of the approved remedial action plan to verify that the action plan has been completed.
- 4.1.4.3 If the auditor, at an intermediate or additional verification, identifies through objective evidence a failure in the ship security system or the associated security equipment which does not compromise the ship's ability to operate at security levels 1 to 3, it shall be reported without delay to the flag Administration. If authorized to do so, the auditor shall approve the remedial action plan. The completion of the action plan shall be verified by the society no later than the next scheduled verification.
- 4.1.4.4 Only when the audit mentioned in 4.1.3.6 is satisfactorily completed or all the failures or non-conformities identified are corrected, can the ISSC be issued to the ship.
- 4.1.5 Audit report
- 4.1.5.1 An audit report is to be prepared by the auditor following the verification based on the audit findings gathered.
- 4.1.5.2 The audit report is to be accurate and complete, and shall include following items:
- a date of completion of the verification;

- b status of the implementation of the SSP;
- c report of the operational status of all the security equipment and systems onboard the ship;
- d report of any failure or non-conformity found during the verification.

#### 4.1.6 Type of verification

4.1.6.1 The verification of the ship security system consists of the following types:

- (1) initial verification
- (2) periodical verification
  - a intermediate verification
  - b renewal verification
- (3) additional verification
- (4) interim verification

## **Section 2 Initial Verification**

#### 4.2.1 General requirements

4.2.1.1 When the Society verifies the ship security system in accordance with the approved ship security plan for the first time, the initial verification is to be carried out.

4.2.1.2 During initial verification, the Society is to check the documents (hereinafter referred to as “document check”) specified in 4.2.2 before carrying out the site verification so as to ensure the effective implementation of the ship security system onboard the ship (hereinafter referred to as “ship verification”).

#### 4.2.2 Document check

4.2.2.1 If the ship security plan of the ship applying to the Society for initial verification is approved by the Society, the auditor is to check the ship security plan, as appropriate, during or prior to the onboard verification.

4.2.2.2 If the ship security plan of the ship applying to the Society for initial verification for issuing ISSC is approved not by the Society, the Society may require the Company to submit the copy of the approved SSP and the relevant information of the ship security assessment prior to the verification implementation.

4.2.2.3 In the cases mentioned above, if the ship security plan is considered not in compliance with the verification criteria (1.3.3), the Society is to notify this in writing to the Company and the flag Administration.

#### 4.2.3 Ship verification

4.2.3.1 The Society is to determine whether the ship security system is in full compliance with the requirements of the verification criteria (1.3.3), is in satisfactory condition and is appropriate to the expected operation of the ship through onboard verification.

4.2.3.2 The following security activities are at least to be covered by ship verification:

- (1) organization of the ship security and the fulfillment of the security responsibilities, including company security officer, master, ship security officer and all other persons with security responsibilities onboard the ship, and necessary support provided by the Company;
- (2) control methods and measures for access to ship;
- (3) control of the embarkation of persons and their effects (accompanied and unaccompanied baggage);
- (4) surveillance and monitoring of the restricted areas to ensure that only authorized persons have access;

- (5) monitoring of deck areas and areas surrounding the ship;
- (6) control of the handling of cargo and the delivery of ship's stores;
- (7) response to the change of the security levels by the ship;
- (8) completion of a Declaration Security, including interface with any port facility and/or ship to which Chapter XI-2 of SOLAS and ISPS Code are not applicable;
- (9) response to the threats or breaches of security, including personnel evacuation;
- (10) report and handling of security incidents;
- (11) operation of ship security communication equipment or system and control of security information;
- (12) status, maintenance, test, calibration and use of all the security equipment and/or system;
- (13) training of the personnel onboard the ship, security drills and exercises;
- (14) internal audit and review of the security activities onboard the ship and review of and amendments to the ship security plan;
- (15) control of the sensitive information;
- (16) control of the records of the ship security activities;
- (17) checking the records of statutory surveys related to ship security alert system (SSAS), automatic identification system (AIS) and checking the conformity of actual marking of the ship identification number with that mentioned in the document including continuous synopsis record (CRS).

4.2.3.3 Upon the satisfactory completion of the initial verification and upon the authorization of the flag Administration, the implementation unit of the Society may issue a certificate valid for not more than 5 months. The full term certificate will be issued after the Headquarters of the Society has reviewed the audit report and considered it satisfactory.

### **Section 3 Periodical Verification**

#### 4.3.1 General requirements

4.3.1.1 The ship with ISPS certification by the Society is to accept periodical verification specified in this Section so as to keep the ISSC certificate valid.

4.3.1.2 The Company has the responsibility to apply to the Society for periodical verification so as to keep the certificate valid, and is to get ready in accordance with relevant requirements.

#### 4.3.2 Intermediate verification

4.3.2.1 During intermediate verification, the Society is to determine on board the ship whether the ship security system is maintained in compliance with the approved ship security plan and to be continuously appropriate to the expected service of the ship.

4.3.2.2 The intermediate verification is to be carried out between the second and third anniversary date of ISSC certificate.

4.3.2.3 The items of the intermediate verification is generally the same as those of initial verification (4.2.3.2), and the effectiveness of the corrective actions taken for any non-conformity found during the previous audit is to be verified.

4.3.2.4 Any non-conformity of the ship security system found during verification is to be handled in accordance with 4.1.4.2 and 4.1.4.3.

4.3.2.5 After the satisfactory completion of the intermediate verification, the auditor is to endorse the ISSC.

#### 4.3.3 Renewal verification

4.3.3.1 During renewal verification, the Society is to determine on board the ship whether the ship security system is in full compliance with the approved ship security plan and in satisfactory condition, and to be appropriate to the expected service of the ship.

- 4.3.3.2 The renewal verification is to be completed at the interval of not more than 5 years and within three months prior to the expiry date of the existing certificate, except for those cases mentioned in 2.2.3.1.
- 4.3.3.3 The items of the renewal verification is generally the same as those of initial verification (4.2.3.2), and the effectiveness of the corrective actions taken for any non-conformity found during the previous audit is to be verified.
- 4.3.4.4 After the satisfactory completion of the renewal verification, the auditor is to issue a certificate valid for 5 months. If the new certificate can not be issued or placed on board the ship prior to the expiry date of the existing certificate, the continuous validity can be endorsed on the existing certificate for not more than 5 months. The full term certificate will be issued after the Headquarters of the Society has reviewed the audit report and considered it satisfactory.

#### **Section 4 Additional Verification**

- 4.4.1 The Society is to carry out additional verification in the following cases:
- (1) major influence of the substantial changes of the ship security plan to the operation of the ship security system;
  - (2) any non-conformity as mentioned in 4.1.4.2 exists;
  - (3) if required by the flag Administration;
  - (4) major security incident of the ship taking place;
  - (5) any non-conformity of the ship security resulting in the ship being detained, expelled from the port, its entry into port refused or other operation limits, and required by relevant port authorities;
  - (6) change of the names of the ship, company and registered place, class and other conditions the Society considers.
- 4.4.2 The scope and extent of the additional verification mentioned in 4.4.1 above are to be determined by the Society in accordance with the nature of the additional verification or the requirements by the flag Administration.
- 4.4.3 Any failure of the ship security system found during the verification is to be handled in accordance with 4.1.4.2 and 4.1.4.3.
- 4.4.4 After the satisfactory completion of the additional verification, the certificate is to be endorsed.

#### **Section 5 Interim Verification**

- 4.5.1 The ship may apply for the verification for issuance of interim ISSC in one of the following cases:
- (1) a ship without a certificate, on delivery or prior to its entry or re-entry into service;
  - (2) transfer of a ship from the flag of an Administration to the flag of another Administration, including the transfer of the Administration of a ship from the non-contracting one to the contacting one; or
  - (3) when a company assumes the responsibility for the operation of a ship not previously operated by that Company.
- 4.5.2 Before issuance of an interim ISSC, the Society is to verify the following:
- (1) the ship security assessment has been completed;
  - (2) a copy of the ship security plan is provided on board, and the plan has been submitted for review and approval, and implemented on the ship;
  - (3) the ship is provided with a ship security alert system as required, if any;
  - (4) the security officer is assigned to the ship as required;

- (5) the master, the ship's security officer and other ship's personnel with specific security duties are familiar with their duties and responsibilities and with the relevant provisions of the ship security plan placed on board; and have been provided such information in the working language of the ship's personnel or language(s) understood by them;
- (6) the company security officer has ensured:
  - a the review of the ship security plan for compliance with Part A of the ISPS Code;
  - b that the plan has been submitted for approval; and
  - c that the plan is being implemented on the ship;
- (7) evidence of arrangements for drills, exercises and for internal audit by the Company within next three months, including the plan for completion of an initial verification required by the ISPS Code within next six months.

CCS

**China Classification Society  
INTERNATIONAL SHIP SECURITY CERTIFICATE**

Certificate No. \_\_\_\_\_

**Issued under the provisions of the  
INTERNATIONAL CODE FOR THE SECURITY OF SHIPS AND OF PORT FACILITIES  
(ISPS CODE)**

Under the authority of the Government of \_\_\_\_\_  
*(name of State)*

by China Classification Society.

Name of ship: .....

Distinctive number or letters: .....

Port of registry: .....

Type of ship: .....

Gross tonnage: .....

IMO Number: .....

Name and address of Company: .....

Company identification number: .....



**THIS IS TO CERTIFY:**

- 1 that the security system and any associated security equipment of the ship has been verified in accordance with section 19.1 of Part A of the ISPS Code;
- 2 that the verification showed that the security system and any associated security equipment of the ship is in all respects satisfactory and that the ship complied with the applicable requirements of Chapter XI-2 of the SOLAS Convention and Part A of the ISPS Code;
- 3 that the ship is provided with an approved Ship Security Plan.

Date of initial/renewal verification<sup>1</sup> on which this certificate is based.....

This Certificate is valid until ....., subject to verifications in accordance with section 19.1.1 of Part A of the ISPS Code.

Issue at .....  
*(Place of issue of the Certificate)*

Date of issue .....

*(Stamp of CCS)*

.....  
China Classification Society

<sup>1</sup> Delete as appropriate.

**ENDORSEMENT FOR INTERMEDIATE VERIFICATION**

THIS IS TO CERTIFY that at an intermediate verification required by section 19.1.1 of Part A of the ISPS Code the ship was found to comply with the relevant provisions of Chapter XI-2 of the SOLAS Convention and Part A of the ISPS Code.

Intermediate verification  
  
*(Stamp of CCS)*

Signed .....  
*(Signature of CCS auditor)*

Place .....

Date .....

**ENDORSEMENT FOR ADDITIONAL VERIFICATIONS<sup>1</sup>**

Additional verification  
  
*(Stamp of CCS)*

Signed .....  
*(Signature of CCS auditor)*

Place .....

Date .....

Additional verification  
  
*(Stamp of CCS)*

Signed .....  
*(Signature of CCS auditor)*

Place .....

Date .....

Additional verification  
  
*(Stamp of CCS)*

Signed .....  
*(Signature of CCS auditor)*

Place .....

Date .....

<sup>1</sup> This part of the certificate shall be adapted by the Administration to indicate whether it has established additional verifications as provided for in section 19.1.1.4.

**ADDITIONAL VERIFICATION IN ACCORDANCE WITH SECTION A/19.3.7.2 OF THE ISPS CODE**

THIS IS TO CERTIFY that at an additional verification required by section 19.3.7.2 of Part A of the ISPS Code the ship was found to comply with the relevant provisions of Chapter XI-2 of the SOALS Convention and Part A of the ISPS Code.

Signed .....  
(Signature of CCS auditor)

Place .....

Date .....

**ENDORSEMENT TO EXTEND THE CERTIFICATE IF VALID FOR LESS THAN 5 YEARS WHERE SECTION A/19.3.3 OF THE ISPS CODE APPLIES**

The ship complies with the relevant provisions of Part A of the ISPS Code, and the Certificate shall, in accordance with section 19.3.3 of Part A of the ISPS Code, be accepted as valid until .....

Signed .....  
(Signature of CCS auditor)

Place .....

Date .....

**ENDORSEMENT WHERE THE RENEWAL VERIFICATION HAS BEEN COMPLETED AND SECTION A/19.3.4 OF THE ISPS CODE APPLIES**

The ship complies with the relevant provisions of Part A of the ISPS Code, and the Certificate shall, in accordance with section 19.3.4 of Part A of the ISPS Code, be accepted as valid until .....

..

Signed .....  
(Signature of CCS auditor)

Place .....

Date .....

**ENDORSEMENT TO EXTEND THE VALIDITY OF THE CERTIFICATE UNTIL REACHING THE PORT OF VERIFICATION WHERE SECTION A/19.3.5 OF ISPS CODE APPLIES OR FOR A PERIOD OF GRACE WHERE SECTION A/19.3.6 OF THE ISPS CODE APPLIES**

The Certificate shall, in accordance with section 19.3.5/19.3.6<sup>1</sup> of Part A of the ISPS Code, be accepted as valid until .....

*(Stamp of CCS)*

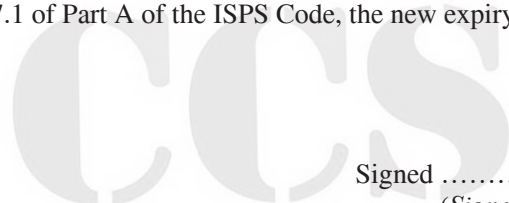
Signed .....  
*(Signature of CCS auditor)*

Place .....

Date .....

**ENDORSEMENT FOR ADVANCEMENT OF EXPIRY DATE WHERE SECTION A/19.3.7.1 OF THE ISPS CODE APPLIES**

In accordance with section 19.3.7.1 of Part A of the ISPS Code, the new expiry date<sup>2</sup> is .....



Signed .....  
*(Signature of CCS auditor)*

Place .....

Date .....

<sup>1</sup> Delete as appropriate.

<sup>2</sup> In case of completion of this part of the certificate the expiry date shown on the front of the certificate shall also be amended accordingly.

**China Classification Society**  
**INTERIM INTERNATIONAL SHIP SECURITY CERTIFICATE**

Certificate No. \_\_\_\_\_

**Issued under the provisions of the**  
**INTERNATIONAL CODE FOR THE SECURITY OF SHIPS AND OF PORT FACILITIES**  
**(ISPS CODE)**

Under the authority of the Government of \_\_\_\_\_  
*(name of State)*

by China Classification Society.

Name of ship: .....

Distinctive number or letters: .....

Port of registry: .....

Type of ship: .....

Gross tonnage: .....

IMO Number: .....

Name and address of Company: .....

Company identification number: .....

Is this a subsequent, consecutive interim certificate? Yes / No<sup>1</sup>

If Yes, date of issue of initial interim certificate .....

THIS IS TO CERTIFY THAT the requirements of section A/19.4.2 of the ISPS Code have been complied with.

This Certificate is issued pursuant to section A/19.4 of the ISPS Code.

This Certificate is valid until .....

Issued at .....

*(Place of issue of the certificate)*

Date of issue .....

*(Stamp of CCS)*

.....  
China Classification Society

<sup>1</sup> Delete as appropriate.