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GUIDELINES FOR VERIFICATION OF DIGITAL SYSTEMS OF SHIPS AND OFFSHORE INSTALLATIONS

2025

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Chapter 1 General

Section 1 General Provisions

1.1.1 Scope

1.1.1.1 The digital system in this guideline refers to the system that uses data to digitally represent specific physical entities and virtual objects to reflect the former's specific life cycle process.

1.1.1.2 The guideline is applicable to the inspection and verification of the digital systems and data activities of ships and offshore installations and their ancillary equipment.

1.1.1.3 Data identification, acquisition, integration, model, and application are the core elements of the digitalization of ships, offshore installations, and their ancillary equipment. This guideline takes these core elements as the smallest units to verify compliance with technical standards, with the model serving as the basis for verifying the application capabilities of the digital system.

1.1.1.4 This guideline tests and verifies the digital system's dimensions, including compliance with technical standards, functional integrity, model verifiability, reliability of software and hardware facilities, and network and data security, from the aspects of data identification, acquisition, integration, model, and application.

1.1.1.5 Data in this guideline includes, but is not limited to, equipment data, structural data, status data, motion data, posture data, maintenance data, production data, and personnel data.

1.1.2 General Requirements

1.1.2.1 The digital system shall label data according to the requirements of Chapter 2 of this guideline. It is recommended to implement classified and hierarchical management according to Chapter 2 of the Guidelines for Quality Assessment of Ship Data.

1.1.2.2 In this guideline, digital systems that fall under Category II and III computer systems as defined in Chapter 2, Part 7 of the CCS Rules for Classification of Sea-going Steel Ships shall meet the SL0 cyber security requirements of Chapter 2 of the CCS Guidelines for Requirement and Security Assessment of Ship Cyber System. Category I computer systems may be implemented with reference to these requirements. For Category III computer systems (such as systems involved in remote or autonomous ship control functions), it is recommended to adopt the SL1 or higher level cyber security requirements stipulated in Chapter 2 of the CCS Guidelines for Requirement and Security Assessment of Ship Cyber System.

1.1.3 Additional Notations

1.1.3.1 Upon application, and following drawing review and inspection by CCS to confirm that the system meets the requirements of this guideline regarding data identification, data Infrastructure, and data application, the following additional notations may be granted:

DATA-ID(standards): Additional notation for data identification, which shall meet the requirements of Chapter 2 of this guideline;

DATA-INF: Additional notation for data infrastructure, which shall meet the requirements of Chapter 3 of this guideline;

DATA-APP(Monitor, Diagnose, Predict, Decision): Additional notation for data application, which shall meet the requirements of Chapter 6 of this guideline.

1.1.4 Application and Expenses

1.1.4.1 For ships and offshore installations applying for the additional notations mentioned in 1.1.3, a written application shall be submitted to CCS, and an evaluation service contract and/or agreement may be signed where necessary. For specific requirements, please refer to Section 4, Chapter 2, Part 1 of the Rules for Classification of Sea-going Steel Ships.

1.1.5 Normative References

The clauses in the relevant documents will become clauses of this guideline through reference. For undated references, the latest edition of the referenced document applies to this guideline.

1.1.5.1 CCS Rules for Classification of Sea-going Steel Ships and its amendments.

1.1.5.2 CCS Guidelines for Requirement and Security Assessment of Ship Cyber System.

1.1.5.3 CCS Guidelines for Quality Assessment of Ship Data.

1.1.5.4 ISO 19848 Ships and marine technology Standard data for shipboard machinery and equipment.

1.1.6 Terms

1.1.6.1 Unless expressly provided otherwise, the relevant terms for the purpose of this guideline are as follows:

(1) Confidence interval: The reasonable error range between the verification result and the state of the physical entity under a certain confidence level.

(2) Confidence: Under digital system verification scenarios, the degree of credibility that the model, data, or verification result can accurately reflect the true state of the physical entity.

(3) Data cleaning: The process of performing outlier removal, missing value imputation, redundant data de-duplication, format standardization, and data consistency verification on collected raw data (including sensor data, equipment logs, environmental monitoring data, etc.) to ensure the accuracy of digital system verification for ships and offshore installations, such that the data meets the quality requirements for model training and verification analysis.

(4) Data-driven model: A model constructed and generated by autonomously learning data features through the application of an appropriate training algorithm to a dataset.

(5) Model: A formal representation after the physical entity is abstracted in digital space.

(6) Offshore Installation: Various fixed or floating structures, units, and fixed platforms used for offshore operations, transportation, or related services (excluding port facilities such as wharves and breakwaters).

(7) Physical entity: Physical equipment, hardware components, and integrated systems related to ships and offshore installations.

(8) Proprietary interface protocol: Customized data exchange rules formulated by a specific manufacturer or project team and adapted to exclusive scenarios or equipment, which support interoperability only within a specific scope and lack universality.

(9) Standard interface protocol: Unified and reusable rules (including format, semantics, and timing) formulated and published by authoritative standardization organizations to regulate data exchange between different systems or equipment, the core of which is to guarantee cross-platform and cross-vendor interoperability. For example: OPC UA (IEC 62541), NMEA 2000, MODBUS TCP, CANopen, etc.

1.1.7 Data Provision and Confidentiality

1.1.7.1 CCS shall comply with the information disclosure requirements of paragraph 2.12.2, Section 12, Chapter 2, Part 1 of the Rules for Classification of Sea-going Steel Ships with respect to the data and information submitted by the applicant.

1.1.8 Exemption Clause

1.1.8.1 Digital technology is constantly evolving. This guideline aims to adapt and promote the application of digital technology on ships and offshore installations; however, the contents of this guideline cannot replace the analysis and/or recommendations of qualified professionals on the

application of digital systems. It is the user's responsibility to evaluate and obtain professional advice on their own.

1.1.8.2 Some information contained in this guideline may become invalid due to changes in laws, regulations, standards, methods, etc., and users are fully responsible for compliance.

1.1.9 Personnel requirements

1.1.9.1 The shipowners and ship management companies should develop the management methods, training plans, operating procedures, etc. related to the digital system to clarify the responsibilities, qualifications, training and other requirements of relevant operators and users of the digital system.

1.1.9.2 Relevant personnel should be trained and qualified before taking the job, and be familiar with the operation of the digital system.

1.1.10 Change management

1.1.10.1 For the digital systems that have been inspected and verified by CCS, inspections shall be carried out according to the specific conditions after the equipment and systems related to the digital system are changed or repaired to confirm that they meet the relevant technical requirements.

Section 2 System Reliability

1.2.1 Hardware reliability

1.2.1.1 Factors to be considered for the hardware reliability of the system:

(1) Service conditions (such as temperature, humidity, vibration and shock, salt spray and corrosion, etc.);

(2) Voltage fluctuation and power interference;

(3) Performance parameters and allowable limits;

(4) Redundancy design (such as bypass, etc.);

(5) Common cause failure, i.e., system failure due to a common cause;

(6) Associated failure, i.e., the failures of each unit are often related; once one component is damaged, the other component will bear the consequences of the damaged component.

1.2.2 Software reliability

1.2.2.1 Software reliability evaluation indicators

(1) Maturity, which measures the software reliability, and such indicators as failure, fault, test and validity are mainly considered, among them:

① Failure refers to the degree to measurement software failure and resolution, which mainly includes such indicators as failure density and failure resolution rate;

② Fault refers to the degree to measure, detect and eliminate the software fault, which mainly includes such indicators as fault density, potential fault rate, and troubleshooting rate;

③ Testability refers to the degree to measure software testing, which mainly includes such indicators as test coverage and test pass rate;

④ Validity refers to the degree to measure effective operation of the software, which mainly includes such indicators as mean time between failures, effective service time rate and cumulative effective service time.

(2) Fault tolerance, which mainly involves such indicators as normal operation and resistance to mal-operation rate, among them:

① Normal operation refers to the degree to measure the efforts made by the software to maintain normal operation, which mainly includes such indicators as downtime avoidance rate and failure avoidance rate;

② Resistance to mal-operation rate refers to the degree to measure the efforts made by the software to avoid mal-operation.

(3) Recoverability, which mainly includes such indicators as restart success and repair success, among them:

① Restart success refers to the degree to measure the extent to which the software can be reused after downtime, which mainly includes such indicators as average downtime and average recovery time;

② Repair success refers to the degree to measure the extent to which the software can be repaired after an abnormal condition occurs, which mainly includes such indicators as repairability and repair effectiveness.

1.2.2.2 The software reliability test process is shown in Figure 1.2.2.2.

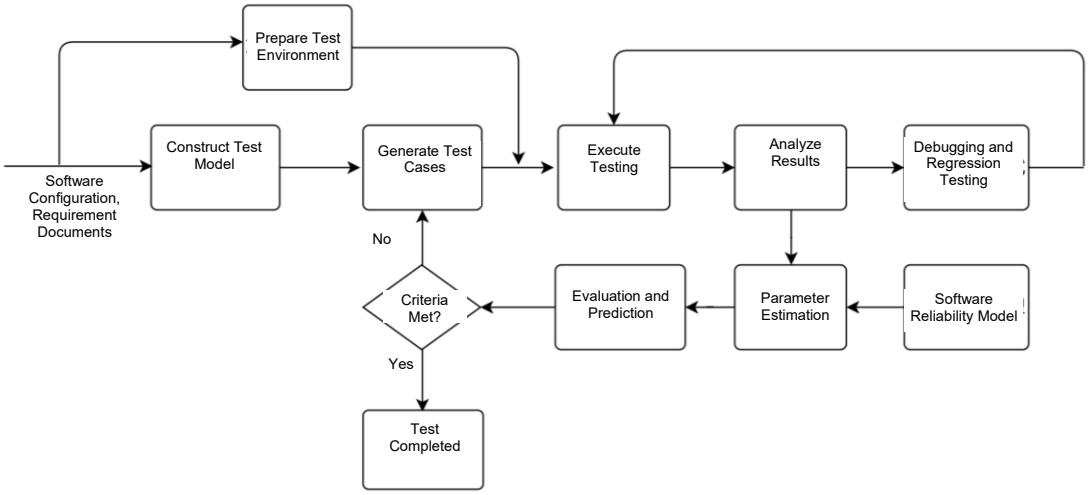


Figure 1.2.2.2 Software reliability test process

1.2.2.3 The development of digital systems for ships and offshore installations shall meet the requirements of the CCS Guidelines for Safety and Reliability Assessment of Marine Software.

1.2.3 Network connection reliability

1.2.3.1 The network connection should meet the relevant requirements of CCS Guidelines on Cybersecurity for Ships

1.2.3.2 The following factors need to be considered with respect to the connectivity of wired links:

(1) Network node hardware reliability;

(2) Accessibility of network topology;

(3) Logical connection of the network.

1.2.3.3 The following factors need to be considered with respect to the connectivity of wireless links:

(1) Node equipment reliability;

(2) The signal-to-noise ratio should meet the requirements of the receiver if the wireless links failed due to signal attenuation;

(3) The rated value (i.e., the bit error rate caused by a given co-channel interference type multi-path attenuation) or the received signal power is lower than the minimum required by the receiver because the ratio of multi-path transmission channel signal to interference and noise drops below the rated value.

Section 3 System Integrity

1.3.1 General Requirements

1.3.1.1 System integrity primarily includes functional integrity and the integrity of the system development process. Where:

(1) Functional integrity refers to whether the system conforms to its intended use;

(2) Procedural integrity refers to whether the product supplier possesses mature management capabilities during the system development process.

1.3.2 System requirements

1.3.2.1 The functional integrity of the system primarily includes business requirements and system performance requirements.

(1) Functional integrity testing includes functional completeness, functional correctness, functional suitability, and functional compliance testing.

Table 1.3.2.1(1) Functional integrity test contents

No.	Test Item	Test Content
1	Functional completeness	Whether the digital system covers specified tasks and user objectives, and whether it meets all requirements in the product specification.
2	Functional correctness	Whether the digital system has the capability to provide results or effects consistent with the required precision. Whether the functions of the digital system are executable according to all statements in the user documentation set. Whether the control exercised by the end-user following the user documentation set over digital system operations is consistent with system behavior. Whether the speed and accuracy of data processing by the digital system meet the design requirements.
3	Functional suitability	Whether the digital system has the capability to provide an appropriate set of functions for specified tasks and user objectives.
4	Functional compliance	The degree to which the digital system adheres to standards, conventions, or regulations related to functionality, and similar provisions.

(2) Performance efficiency testing includes, but not limited to, time behavior, resource utilization, capacity, and performance efficiency compliance, as shown in Table 1.3.2.1(2).

Table 1.3.2.1 (2) Performance efficiency test contents

No.	Test Item	Test Content
1	Time behavior	The degree to which the response times, processing times, and throughput rates of a digital system meet requirements when performing its functions.

No.	Test Item	Test Content
		Whether the signal sampling cycle, system response, and data processing times meet design requirements. Whether the interrupt response and processing times for emergency events meet design requirements.
2	Resource utilization	The degree to which the amount and types of resources used by a digital system meet requirements when performing its functions.
3	Capacity	The degree to which the maximum limits of digital system parameters meet requirements.
4	Performance efficiency compliance	The degree to which the digital system adheres to standards, conventions, or regulations related to performance efficiency, and similar provisions.

1.3.2.2 Procedural integrity primarily involves two dimensions: the organizational level and the process level. Specific evaluation requirements are shown in Table 1.3.2.2:

Table 1.3.2.2 Procedural Integrity Contents

Level	Component	Evaluation Aspect	Key Evaluation Points
Organizational Level (Focus on Organization and Environment)	Organizational Integrity	Organizational Management and Resources	① The organization possesses mature management capabilities regarding digital systems. ② The team possesses sufficient resources and time, as well as the capability to use relevant methods, tools, and platforms.
	Development Environment Integrity	Configuration Management	Whether effective version control and coordination are implemented for the following assets:① Document management② Requirement management③ Data activities (e.g., data collection, integration)④ Functional management⑤ Models and model design⑥ Test and monitoring datasets
		Development Iteration	① The development process meets preset requirements and acceptance criteria. ② The system can meet requirements in the intended operating environment at an acceptable level of risk.
		Infrastructure and Coding	① Development tools and systems meet expected business goals. ② The infrastructure supporting development and O&M is documented. ③ Code writing follows established software development management specifications. ④ Relevant data meets the data management systems formulated by the organization.
Process Level (Focus on Development Process)	Development, Deployment, and Operation Processes	Full Lifecycle Phases	Evaluate whether the processes of the following six core phases are complete and systematic:① Business understanding ② Data understanding③ Data preparation ④ Modeling

Level	Component	Evaluation Aspect	Key Evaluation Points
			⑤ Evaluation ⑥ Deployment and operation

Section 4 Cyber Security and Data Security

1.4.1 General Requirements

1.4.1.1 The cyber security of digital systems shall meet the requirements of Chapter 2 of the CCS Guidelines for Requirement and Security Assessment of Ship Cyber System.

1.4.1.2 Data security of digital systems shall meet the relevant requirements of Chapter 2 of the CCS Guidelines for Requirement and Security Assessment of Ship Cyber System and Appendix 8 of the CCS Guidelines for Quality Assessment of Ship Data.

1.4.1.3 Storage and transmission for digital systems shall meet the relevant requirements of Chapter 3 of this guideline.

1.4.1.4 Networks used to connect digital systems and physical entities shall possess timely, accurate, and complete transmission capabilities to meet business needs.

Section 5 Data Quality

1.5.1 General Requirements

1.5.1.1 Data quality refers to the degree to which data characteristics meet explicit specifications (e.g., industry standards, CCS requirements) and implicit requirements (e.g., user expectations) when used under specified conditions.

1.5.1.2 Generally, data quality can be ensured to meet usage requirements through planning, execution, and control activities (such as PDCA cycles, statistical process control, and other quality management tools and/or techniques).

1.5.1.3 Data quality depends on the application scenario and the requirements of data users.

1.5.2 Data Quality Requirements

1.5.2.1 Data quality requirements include two aspects:

(1) Data quality characteristics: such as accuracy, completeness, consistency, and timeliness, which serve as the basic guarantee for data quality;

(2) Data activities: Process quality requirements for each activity throughout the data lifecycle, ensuring data quality during circulation through process-based data quality control.

1.5.2.2 The definition, requirements, and assessment of data quality characteristics may refer to the requirements in Chapter 3 of the CCS Guidelines for Quality Assessment of Ship Data.

1.5.2.3 Different data activities have different requirements for data quality. Relevant data activities include, but are not limited to, those listed in Table 1.5.2.3:

Table 1.5.2.3 Data Quality Requirements for Data Activities

Data Processing Phase	Relevant Requirements	Quality Characteristics	Implementation Requirements
Data Identification	Chapter 2	Identifiability, comprehensibility, traceability, etc.	1. Data identification rules shall be clear and easy to understand to facilitate man-machine identification;

Data Processing Phase	Relevant Requirements	Quality Characteristics	Implementation Requirements
			2. When transmitting general ship data (such as position, heading, speed, etc.) across systems/platforms, global uniqueness of the identification must be ensured.
Data Collection	Chapter 3	Compliance, actuality, confidentiality, accuracy, etc.	1. Data collection activities shall cover the reception, parsing, and transmission phases; 2. Data quality requirements for data collection activities vary according to the application scenario.
Data Storage	Chapter 3	Currentness, precision, portability, recoverability, etc.	1. Data storage shall meet product technical specifications and the inspection requirements of the CCS Guidelines for Quality Assessment of Ship Data; 2. Data cleaning shall emphasize improving data accuracy (removing outliers), compliance (standardized formats), currentness (timely updates), and storage efficiency; 3. Data backup and recovery mechanisms shall be established to ensure data portability and recoverability.
Data Integration	Chapter 4	Accuracy, completeness, consistency, actuality, etc.	1. Data integration shall meet actual application scenario requirements, ensuring that integrated data is free of logical conflicts and omissions; 2. If necessary, explanatory documents for data integration shall be provided to CCS.
Data Application	Chapters 6 and 7	Confidence level, sampling frequency, data security, etc.	1. The data confidence level shall be verified (e.g., error $\leq \pm 2\%$); 2. The sampling frequency shall match application requirements (e.g., critical equipment monitoring ≥ 10 times/minute); 3. The entire process of data application shall comply with ship data security specifications to prevent data leakage or misuse.
Data Verification	Chapters 8 and 9	Non-tampering, easy to read, easy to operate, storable	1. Data used for verification shall be non-tampering (which can be achieved through encryption, blockchain technology, etc.); 2. Data formats shall be standardized (ensuring readability and operability); 3. Data verification results shall comply with relevant CCS acceptance criteria.

Chapter 2 Data Identification

Section 1 General Provisions

2.1.1 Purpose

2.1.1.1 Data identification is to identify and distinguish different physical entities and virtual objects, ensure the consistency and interoperability of related data at the label semantic level, and identify the entity or object itself and its attribute data.

2.1.1.2 Identification coding is the process of assigning specific codes to the identification objects.

2.1.2 Identification Objects

2.1.2.1 Physical entities, including but not limited to hull structure, mechanical equipment, electrical equipment, communication and navigation equipment, cargo, course, environment, personnel, etc.

2.1.2.2 Virtual objects, including but not limited to processes, categories, scenarios, status, events, services, management, functions, measurements, data channels, etc.

2.1.3 Additional Notations

2.1.3.1 For ships and offshore installations, if their hull structures, mechanical and electrical equipment, and navigation equipment have established coding standards for data identification and meet the relevant requirements of this chapter, upon application by the relevant parties and successful drawing review and inspection by CCS, the data identification additional notation may be granted:

DATA-ID(standards)

Where:

"standards" indicates the coding standard adopted, including general standards such as ISO 19848; and proprietary standards developed in accordance with the requirements of this guideline.

Section 1 System requirements

2.1.1 Data Identification Principles

2.1.1.1 Data identification shall follow the relevant principles listed in Table 2.2.1.1.

Table 2.2.1.1 Data Identification Principles

No.	Basic Principle	Description
1	Atomicity	The smallest unit of the identification objects can be identified.
2	Uniqueness	There is a strict one-to-one correspondence between the identification code and its object.
3	Scientific rationality	The stable essential attributes or characteristics of the identification object should serve as the basis for classification.
4	Extendability	It is to accept the new identification objects that may appear without changing the original architecture, and meanwhile have a certain expansion capacity.
5	Controllability	A controllable and determined management method should be available.
6	Openness	The interconnection of internal and external data should be considered.

No.	Basic Principle	Description
7	Compatibility	Coordination is required when it comes to different coding standards.
8	Comprehensiveness	All kinds of objects should be covered.
9	Operability	It is to consider the needs of rapid identification, analysis and information acquisition, as well as the needs of man-machine reading, initial initialization, and later operation and maintenance.
10	Normativity	In the same coding standard, the type, structure and writing format of the code should be uniform.

2.1.2 Data Identification Coding Methods

2.1.2.1 The coding method of data identification should be based on the predetermined application requirements and the nature of the coding object, and appropriate code structure should be selected. Sequence code, abbreviation code, layer code or combination code can be used:

(1) Sequence code: it is to identify the code of the coded objects by the sequence of Arabic numerals or English letters; coding can be made according to the sequence of time, spatial arrangement, name character sequence, serial number, etc.;

(2) Abbreviation code: it is to abbreviate the name of the coded objects according to a unified method, and it is a code generated from one or more characters in the name of the coded objects;

(3) Layer code: it is to divide the coded objects into continuous and increasing groups (classes) based on the hierarchical classification in the set of coded objects, and coding can be made according to the hierarchical relation of systems, equipment, components, parts, etc.;

(4) Combination code: it is to use a combination of two or three of the sequence code, abbreviation code and layer code, as shown in Table0(4).

Table 2.2.2.1(4) Example of Combination Code

Identification code	http://data.shipdatacenter.cn/imo1234567/ccs_cls/MainEngine/Cylinder1/ExhaustGas/Outlet/Temp
Named entity	data.shipdatacenter.cn
Identification number	imo1234567
Naming rule	ccs_cls
Local identification	MainEngine/Cylinder1/ExhaustGas/Outlet/Temp
Details	Sequence code, such as imo1234567 Abbreviation code, such as ccs_cls Layer code, such as MainEngine/Cylinder1/ExhaustGas/Outlet/Temp

2.1.3 Data Identification Coding Standards

2.1.3.1 Data identification coding may adopt proprietary standards or general standards, as follows:

(1) Proprietary standards: Identification coding architectures customized based on specific needs, which shall meet the requirements of Sections 2.2.1 and 2.2.2;

(2) General standards: Standards such as ISO, IEC, or others with an equivalent level of generalization.

2.1.3.2 Data identification coding standards shall at least include the scope of application, coding methods, coding structures (including code composition and representation), and coding rules.

2.1.4 Data Identification Code Management

2.1.4.1 Each assigned identification code shall be registered in an appropriate manner to ensure no re-issuance.

2.1.4.2 For identification codes transmitted multiple times between media, the integrity of the code shall be verified through format checks or check codes.

2.1.4.3 Identification codes shall only be registered, changed, or deleted by authorized parties or relevant parties approved by CCS. Meanwhile, the registration, change, or deletion of codes shall be recorded, and the code table shall be updated in a timely manner.

Section 2 Verification Requirements

1.2.1 General Requirements

1.2.1.1 Check whether the data identification scheme complies with the principles in 2.2.1.

1.2.1.2 Check whether the identification in the digital system complies with the designed data identification scheme.

1.2.2 Documentation

1.2.2.1 The following documentation shall be submitted:

(1) Data identification scheme: including but not limited to the coding standards adopted, identification scope, and code management;

(2) Code table: including all identification code object sets, code element sets, and their corresponding relationships;

(3) Model description: clarifying the construction logic, core elements, application scope, and constraints of the model.

Chapter 3 Data Infrastructure

Section 1 General Provisions

3.1.1 Scope

3.1.1.1 Data infrastructure refers to the hardware and software deployed to perform data processing and achieve the digital, networked, and intelligent functions of the ship, including shore-based monitoring platforms and data centers.

3.1.1.2 Requirements for data infrastructure include data collection, data storage, and data transmission networks.

3.1.1.3 Data collection refers to the process of acquiring data from shipboard equipment/systems or shore-based sources through sensor collection, system generation, and knowledge entry.

(1) Sensor collection: includes obtaining data generated during the operation of various systems on ships and offshore installations through sensors such as temperature sensors, pressure sensors, cameras, GNSS, and radar;

(2) System generation: includes business data collected and generated during the operation of other systems on ships and offshore installations, as well as O&M and log data generated by the operation of various systems, programs, and services;

(3) Knowledge entry: includes email subscriptions, expert knowledge entry data, system reasoning data, and migration data from other ships, offshore installations, or systems.

3.1.1.4 Data storage refers to the process of storing and processing collected data (pre-processing for ease of storage and retrieval, including format conversion, encryption, etc.).

3.1.1.5 Data transmission network refers to the network connecting different data transmission components, including functional modules such as data collection, processing, storage, transmission, and display.

3.1.2 Additional Notations

3.1.2.1 For ships and offshore installations, if data infrastructure capable of ship-to-shore data exchange is established during the collection, transmission, and storage of data for hull structures, mechanical and electrical equipment, or navigation equipment, and if it meets the relevant requirements of this chapter, the data infrastructure additional notation may be granted upon application and successful drawing review and inspection by CCS:

DATA-INF

3.1.2.2 The granting, maintenance, suspension, cancellation, and restoration of the data infrastructure additional notation shall comply with relevant CCS requirements.

Section 2 Data Infrastructure Architecture

3.2.1 General Requirements

3.2.1.1 The data infrastructure architecture shall provide:

(1) Data collection interfaces: including interfaces for sensors, shipboard system/equipment generation, and knowledge entry[1];

(2) Data resource management: providing data for relevant ship systems and applications;

(3) Data storage: performing pre-processing on collected data and storing it locally or at the shore end;

(4) Data transmission network: achieving data transmission between data collection and application.

3.2.1.2 The logical diagram of the data infrastructure architecture is shown in Figure 3.2.1.2. Data can access the data server through the three methods shown in the figure:

(1) Direct transmission to a remote data server via the network;

(2) Direct transmission to a shipboard data server;

(3) Transmission to a shipboard data server through relay devices such as routers/switches.

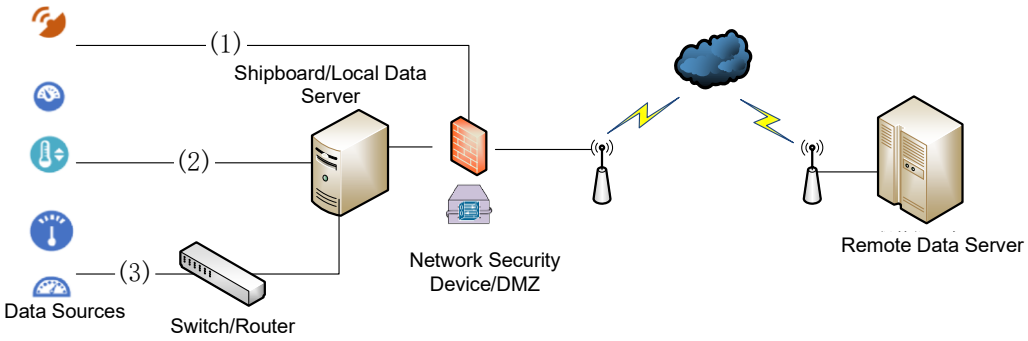


Figure 3.2.1.2 Example of Data Infrastructure Architecture

3.2.1.3 Data infrastructure shall be powered by an uninterruptible power supply (UPS).

3.2.1.4 Switches/routers, shipboard/local or remote data servers, and boundary firewalls of the data infrastructure shall meet the SL0 level cyber security requirements in Chapter 2 of the Guidelines for Requirement and Security Assessment of Ship Cyber System.

3.2.2 Functional Requirements

3.2.2.1 The system shall be able to identify data sources and label basic attributes, locations, and application scopes of all facilities or systems, as well as the information correlation models between equipment.

3.2.2.2 Data sources participating in edge computing shall possess certain data storage capabilities at the computing end to meet necessary data backtracking requirements.

3.2.2.3 Data infrastructure shall be able to meet the data volume requirements of the digital system. Sufficient quantities and types of input and output channels shall be provided to meet predefined data interface requirements, with configurable and expandable channels reserved.

3.2.2.4 The system shall be able to identify various communication protocols to ensure that sensors and shipboard systems can connect normally to the data infrastructure network via predefined data interfaces and establish data communication channels.

3.2.2.5 It is advisable for the data infrastructure to provide timestamps including Coordinated Universal Time (UTC) and time zones, and to support time synchronization.

3.2.2.6 Data flows shall be monitored, with alarms issued for interruptions and losses. The availability status of each module or component in the architecture shall be monitored, and fault diagnosis information shall be recorded.

3.2.2.7 The data infrastructure network shall adopt security protection measures to prevent potential faults, malicious code, etc., from spreading through data interfaces.

Section 3 Data Collection

3.3.1 General Requirements

3.3.1.1 The system shall be able to label data according to data identification coding rules and transmit it to the data server of the ship or offshore installation. Data shall carry validity status markers.

3.3.1.2 Data collection shall have a data quality control scheme specifying the scope of collected data and requirements for data timeliness, accuracy, and completeness (if CCS has existing requirements, these shall at least be met); the scheme must include mechanisms for data validity and consistency checks, including processing measures such as deleting duplicate data, correcting erroneous data, and completing fragmented data. Consistency verification shall at least cover the following scenarios:

(1) Null values;

(2) Data length;

(3) Data type;

(4) Incomplete data;

(5) Duplicate data.

3.3.1.3 If data is filtered and compressed, descriptions of filtering rules and compression algorithms, as well as the node locations where compression is executed, shall be provided.

3.3.1.4 Internal status errors in data collection shall not affect the normal operation of the data source.

3.3.1.5 Data quality assessments shall be conducted on the data periodically according to the data quality control scheme.

3.3.2 Data Interface Protocols

3.3.2.1 The standard interface protocols or proprietary interface protocols used for data collection shall be clearly defined. Industry standard interface protocols shall be preferred for data collection. If proprietary protocols must be used, an assessment shall be conducted at least from the perspectives of compatibility, security, and industry suitability.

3.3.2.2 Input/output interfaces using proprietary data interface protocols shall provide detailed documentation, including but not limited to:

(1) Basic protocol information: protocol architecture, transmission method (TCP/UDP/serial), port configuration (if applicable), and data frame format;

(2) Technical parameters: baud rate (for serial protocols), transmission delay requirements, fault tolerance mechanisms, and data verification rules (e.g., CRC check);

(3) Interface specifications: pin definitions (for hardware interfaces), input/output signal types, data range, and precision;

(4) Practical guide: equipment connection process, debugging methods, and common troubleshooting plans;

(5) Compatibility description: methods for interoperability with other systems and protocols (e.g., protocol conversion rules).

3.3.2.3 Data interface protocols for navigation and communication systems shall meet the technical requirements of the IEC 61162 series.

Section 4 Data Storage

3.4.1 General Requirements

3.4.1.1 Data storage shall meet the expected data processing and storage volume requirements of the business and support expansion.

3.4.1.2 It is recommended to implement functions such as data partitioning, splicing, and indexing to optimize data application efficiency and storage efficiency.

3.4.1.3 Time synchronization with the data infrastructure network shall be supported.

3.4.1.4 A data backup plan shall be formulated, and recovery tests shall be conducted periodically to ensure that backup data possesses normal restoration capability.

Section 5 Data Transmission

3.5.1 General Requirements

3.5.1.1 The system shall be able to identify data communication protocols and manage data communication.

3.5.1.2 Integrity verification shall be performed for data transmission.

3.5.1.3 The data transmission network shall be monitored, including network connections and the monitoring and recording of device management activities. Alarms shall be generated when network bandwidth utilization exceeds anomaly thresholds set by the supplier.

3.5.1.4 Data communication traffic shall be monitored and centrally managed.

3.5.2 Data Transmission Protocols

3.5.2.1 Data transmission between shipboard data servers and shipboard equipment, and between shipboard equipment using standard data transmission protocols, shall meet the following requirements:

(1) Fieldbus transmission should follow the relevant requirements of IEC 61158 and IEC 61784;

(2) Industrial data transmission protocols should support standard protocols such as OPC UA/DA;

(3) Ethernet transmission shall follow standard communication protocols such as the TCP/IP protocol suite.

(4) For wireless network transmission, it is advisable to select wireless protocols with strong anti-interference capabilities, such as IEEE 802.11n/ac/ax (Wi-Fi 5/6) or LoRaWAN (Low Power Wide Area Network).

3.5.2.2 Documentation for the protocol shall be provided for data transmission between data servers and shipboard equipment, as well as between shipboard equipment using proprietary data transmission protocols.

3.5.2.3 Data transmission protocols for navigation and communication systems of ships and offshore installations shall meet the following requirements:

(1) Serial port transmission protocols shall comply with IEC 61162-1 and IEC 61162-2;

(2) Network transmission protocols shall comply with IEC 61162-450.

3.5.2.4 Data transmitted via Ethernet shall follow relevant standard protocols, and documentation or configuration files shall be provided.

3.5.3 Data Exchange Format

3.5.3.1 Attributes such as data category, content, and structure shall be described using

internationally accepted data exchange formats, including but not limited to XML, JSON, CSV, and YAML.

Section 6 Communication Security Requirements

3.6.1 Communication Security

3.6.1.1 Data communication shall meet business needs and expected goals. Especially when digital systems and physical entities are deployed at different locations or across network segments, factors such as transmission rate, signal attenuation, and interference shall be considered.

3.6.1.2 Communication in the acquisition architecture includes wired and wireless communication, with wireless communication further divided into local and remote wireless communication.

3.6.1.3 When ship-to-shore communication is involved, dual-channel transmission should be supported. For communication between ship and shore, the data or channels shall be encrypted to protect data security.

3.6.1.4 Correspondingly strong encryption strategies shall be adopted based on the security impact of the communication content, while considering the communication delay caused by the encryption and decryption processes.

3.6.1.5 Communication links where multiple devices collaborate shall have a time synchronization mechanism and meet the following requirements:

(1) At least one time synchronization protocol should be supported to achieve synchronization between the internal time reference and clock information from various levels of time synchronization equipment or terminal devices. When the clock error range is required to be at the millisecond level, Network Time Protocol (NTP)/Simple Network Time Protocol (SNTP) may be used; when required at the microsecond level, Precision Time Synchronization Protocol (PTP) or IRIG-B time code may be used;

(2) When required by terminal devices, the system should support the output of necessary time synchronization signals, including pulse signals, coded signals such as IRIG-B time code, serial port time messages, and network time messages.

3.6.1.6 When transmitting large volumes of data (such as AIS data, audio/video data, etc.), appropriate coding techniques may be used for compression according to business needs to save bandwidth.

3.6.1.7 Sufficient bandwidth and transmission rates shall be provided between equipment on ships and offshore installations, as well as between equipment and remote communication systems, based on system business requirements. Bandwidth shall be designed based on system requirements, buffer capacity, and data recovery requirements. If bandwidth is shared, the calculation shall also include any other communications that may require the use of the bandwidth. Bandwidth calculations shall be continuously updated based on the actual addition or deletion of equipment or systems.

3.6.1.8 Communication links shall provide communication management and monitoring, including the following:

(1) Communication shall consider priority based on the impact and urgency of the communication content on personal safety, the safety of ships and offshore installations, and environmental safety. Communication security is divided into 3 levels, as shown in Table 3.6.1.8;

(2) Application Programming Interfaces (APIs) shall be provided for system status, alarms, and performance logs (TX/RX data rates and data transmission delay).

Table 3.6.1.8 Communication Security Classification

Level	Impact	Typical Data
1	Immediately affect personal safety, safety of ships and offshore installations, and environmental safety	Emergency control instructions, remote control instructions
2	Eventually affect personal safety, safety of ships and offshore installations, and environmental safety	Status perception data, alarm and monitoring information, etc. of ships and offshore installations
3	Not affect personal safety, safety of ships and offshore installations, and environmental safety	Information monitoring data, maintenance data, etc.

3.6.1.9 Communication links for control equipment shall be separated from other links.

3.6.1.10 For communication links carrying Level 1 and Level 2 data in Table 3.6.1.8, redundancy design may be considered from a reliability perspective and shall be tested to ensure business requirements are met.

3.6.1.11 Communication links shall have a recovery mechanism to re-establish the link after disconnection and identify transmitted and pending data.

3.6.1.12 For communication links used for local real-time control of ships and offshore installations, as well as those for data acquisition and monitoring systems, the recovery time shall be less than the time required by the system.

3.6.1.13 Data transmission delay shall meet the requirements of the application scenario. The transmission delay from the data source to the sink shall be tested and explained.

3.6.1.14 The deployment and technical specifications of local wireless communication links for ships and offshore installations shall state the standards they follow.

3.6.1.15 Local wireless communication links for ships and offshore installations shall:

(1) Not adopt wireless communication for links with a communication security level of 1, except under special consideration by CCS; for consideration factors, refer to Section 6, Chapter 2, Part 7 of the CCS Rules for Classification of Sea-going Steel Ships, paragraph 2.6.6.2;

(2) Select appropriate wireless communication standards based on business scenario requirements, types of communication signals (digital, analog, etc.), and communication interfaces (RS485, etc.);

(3) Select an appropriate communication network topology according to the location and quantity of acquisition nodes, and state the maximum number of field devices supported by the network topology;

(4) Evaluate and test the impact of site obstacles on communication links;

(5) Specify the transmission distance and transmission rate of the communication link under obstructed and unobstructed conditions;

(6) Specify the refresh rate of wireless field devices and consider the impact of the refresh rate on the number of supported devices;

(7) Evaluate and test the impact of outdoor site wind speed and other environmental factors on the communication link.

3.6.1.16 Wireless communication links shall also meet the relevant requirements for wireless networks in the CCS Guidelines for Requirement and Security Assessment of Ship Cyber System.

3.6.1.17 In addition to meeting the requirements of Section 2, Chapter 1, Part 4 of the CCS Rules for Classification of Sea-going Steel Ships, communication hardware shall also consider requirements for the installation and service environments of the equipment.

3.6.1.18 Auxiliary electrical equipment such as communication cables shall meet the requirements of Section 5, Chapter 3, Part 4 of the CCS Rules for Classification of Sea-going Steel Ships, as well as cable-related requirements for navigation and communication systems.

3.6.1.19 Equipment and cables shall possess necessary electromagnetic compatibility (EMC) and electrostatic protection characteristics.

3.6.1.20 Signal interference shall be considered for communication network cables; if necessary, isolated communication shall be adopted to reduce or avoid signal interference.

Section 7 Verification Requirements

3.7.1 Drawings and Documentation

3.7.1.1 When applying for inspection/verification/assessment of data infrastructure, the documents listed in Table 3.7.1.1 shall be submitted to CCS.

Table 3.7.1.1 Drawings and Documentation

Document Name	Content Requirements	CCS
System Topology Diagram	Describes the relationships between source systems, relay components, data servers, and digital systems, as well as interface descriptions and physical locations (if applicable), etc.	Ⓐ
System Description	1. Describes system composition, functions, performance, and operating environment, such as the maximum number of connectable devices and device identification, etc.; 2. Power supply description; 3. List of control or monitoring points, marking all data input and output points; 4. Estimated data storage capacity based on data collection frequency and applicable business requirements.	Ⓐ
Data Format Description	Includes all data interface protocols, transmission protocols, data storage and conversion formats, and data encryption/decryption descriptions.	Ⓘ
Test Procedure Documents	Relevant test documents regarding the functions and security of the product or system.	Ⓐ
Data Backup and Recovery Strategy	-	Ⓘ
Change management	-	Ⓘ

Symbol Description:

Ⓐ: Submitted for CCS approval;

Ⓘ: Submitted for CCS reference.

3.7.2 Verification and Testing

3.7.2.1 The verification and testing of data infrastructure shall include but not be limited to:

(1) Verifying the integrity of collected data against system requirements;

(2) Testing functions and security according to the approved test plan, with requirements specified in0 and 2 of this Chapter;

(3) Verifying whether the connected source systems and data infrastructure can receive and transmit data in accordance with established protocols;

(4) For drawings and documentation to be submitted and their requirements, see 3.7.1.1.

3.7.2.2 Data Storage Verification

(1) Checking whether a backup recovery exercise plan has been formulated and whether backup recovery exercise has been executed according to the plan;

(2) Checking the change records of the digital system and, if necessary, data absence rate and importance assessment update.

Chapter 4 Data Integration

Section 1 General Provisions

4.1.1 Scope

4.1.1.1 This chapter stipulates the technical requirements for data integration in digital systems, including technical requirements for processing procedures such as calibration, sharing, fusion, and distribution.

4.1.2 General Requirements

4.1.2.1 Data integration establishes a unified data sharing and analysis mechanism for ships and offshore installations, providing unified data management for different data providers and users, and promoting deep analysis and broad application of data.

4.1.2.2 Data integration is divided into two levels, including:

(1) Physical data integration, which achieves centralized storage and fusion of data;

(2) Virtual data integration, where data is stored distributively and integrated using methods such as virtual views.

4.1.2.3 Basic functions of data integration include data calibration, data sharing, and data distribution. In addition to basic functions, data fusion functions may also be provided.

4.1.2.4 Data integration can be performed during data collection and data storage processes, or it can be conducted independently.

4.1.2.5 Data quality assessments shall be conducted on integrated data periodically to confirm compliance with business system requirements.

4.1.2.6 Data storage shall meet the relevant requirements of Section 3.4 on Data Storage in this guideline.

4.1.2.7 Data integration activities shall ensure the confidentiality, integrity, and availability of data.

Section 2 System requirements

4.2.1 Data Integration

4.2.1.1 The data integration process may follow the process shown in Figure 4.2.1.1.

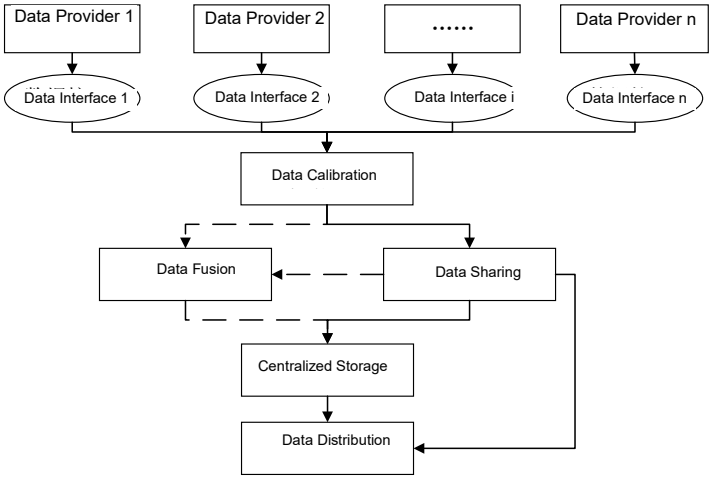


Figure 4.2.1.1 Data Integration Process

4.2.1.2 The digital system shall be able to provide data interfaces to different data providers and possess data interface management functions. The data interface list shall be managed in the server, and the system shall be able to register, modify, delete, and reference items in the list through data input and output functions.

4.2.2 Data Calibration

4.2.2.1 Data processing and fusion procedures focus on data. Before data fusion, the system shall judge data quality to ensure that fusion results are reliable, certain, and authentic.

4.2.2.2 Data calibration shall meet the following requirements:

(1) Data providers shall be responsible for the reliability, authenticity, certainty, completeness, correctness, and timeliness of data;

(2) Different data interfaces shall be provided for different data providers to complete transmission from providers to centralized data calibration processing services. Different interfaces shall include data providers, data items, collected values, and units of measurement;

(3) The data integration process shall provide unified units of measurement for different data items based on the model and perform unit conversions for data items from different providers before data processing;

(4) The system shall be able to perform time and space calibration for data from different sources to obtain data values at the same time and in the same space for the same measured object;

① To ensure the validity of time calibration, the calibration data server shall provide time services, and the system clock of the data server shall be synchronized with UTC, with precision reaching at least the millisecond level.

② When UTC synchronization of the shipboard data server fails, the system shall issue an alarm promptly and record the time of synchronization failure.

(5) The data integration process may automatically judge data from multiple sources and record data with quality issues;

(6) For data and data sources with quality issues, the system shall avoid their participation in data sharing and fusion through methods such as re-acquisition or discarding, and shall record the processing results of the problematic data.

4.2.3 Data Sharing

4.2.3.1 The goal of data sharing is to provide access for multiple sinks. It shall possess the following functions:

(1) A data sharing directory shall be provided, constructed with reference to the data model to provide information resource pointing functions. Information in the sharing directory shall include the name of the dataset, the names of contained attributes, whether attributes are non-empty, attribute types, and descriptions;

(2) Explanatory documentation shall be configured to elaborate on data sources, invocation methods, storage methods, data types, etc.;

① For single data storage, methods include physical data warehouses and data virtual views;

② Data invocation methods include direct reading, data interfaces, etc.

(3) The system shall be able to perform query and update operations on data sources of different organization types, including but not limited to structured databases, structured data, semi-structured data, and files;

(4) The system shall possess data distribution functions in both online and offline modes and support multi-thread processing.

4.2.3.2 The data formats for data sharing inputs and outputs shall comply with the relevant requirements specified in Section 3.5.3, Chapter 5 of Chapter 3 of these Guidelines.

4.2.4 Data Fusion Requirements

4.2.4.1 The goal of data fusion is to provide a reliable, accurate, and complete description of the measured object on the digital system. Measurement information from multiple sensors is analyzed and processed through data fusion to obtain the data description of the measured object.

4.2.4.2 The following requirements shall be satisfied during the data fusion process:

(1) The input for data fusion is multi-source data from different sensors; one or more imperfect data sources (e.g., those with performance index deviations, insufficient integrity, or inconsistent information dimensions) can be used to improve the data;

(2) Data fusion algorithms shall account for data completeness, correctness, and timeliness;

(3) The data fusion system is responsible for the quality of the fused data;

(4) The data fusion system stores fused data separately and can distinguish between pre-fusion and post-fusion data through identification;

(5) System resources shall be configured and managed based on current network status, system load conditions, etc.;

(6) The system shall record data fusion process logs and retain them for more than 12 months. Log content includes but is not limited to fusion algorithm names, fusion timestamps, and data source names.

4.2.4.3 A quality verification report shall be provided for the data fusion system. The verification scope shall cover all data types involved in the system (e.g., numerical, image, etc.). The report content shall include:

(1) Purpose of data fusion;

(2) Description of data fusion algorithm principles;

(3) Application scope of the data fusion system;

(4) Local quality indicators of different types of data and the quality transfer function used to describe the relationship between the output quality, input information, and quality of each data processing module;

(5) Description of the test dataset for different types of data, including the data volume of the test dataset, quality indicators of different datasets, input data and its quality description, and the actual data description corresponding to the input;

(6) Comparative analysis of data before and after fusion with actual data;

(7) In the case of verifying the effectiveness of the fusion, the application of data after fusion should be considered, and the fusion time should meet the time requirements of the application system.

4.2.4.4 The data fusion system can verify the fusion results.

4.2.5 Data Distribution Requirements

4.2.5.1 The data dissemination service is used for the discovery, extraction, and transmission of data. The format and interface of the data dissemination service should be unified and published within the scope of the ships and offshore installations. The data dissemination service or interface list should be provided during the review. Specific information includes but is not limited to the service or interface ID, name, specific data item name, data type, length, description, etc.

4.2.5.2 The data dissemination service should be able to adapt to the requirements of physical data warehouses, data virtual views, hybrid data storage, etc.

Section 3 Verification Requirements

4.3.1 Documentation

4.3.1.1 The data security strategy includes but is not limited to:

(1) Data integration scope: it specifies the data provider that can modify the data and the data dissemination object;

(2) Data security strategy: it develops appropriate strategies to ensure the authenticity, integrity, and reliability of data;

(3) Risk assessment report: the ways, consequences, and countermeasures of data loss or damage.

4.3.1.2 Data sharing description should include the relationship between different data sources and data models.

4.3.1.3 The data interface list should include the data list identification, name, purpose, and corresponding information system.

4.3.1.4 The data source list may include the identification, name, type, etc.

4.3.1.5 For details of the data quality assessment report, please refer to the data fusion requirements part of system requirements in this chapter.

4.3.1.6 The document should at least consider the following:

(1) The data cleaning plan and data evaluation report should be complete and meet the requirements;

(2) The estimated amount of data storage should be checked, and the relationship between the estimated amount and the actual storage of the data server should be checked;

(3) The completion of the data backup strategy and the recovery strategy should be checked, and the performance of backup procedures, backup plans, and backup recovery drill plans should be checked;

(4) The integrity of the data security strategy, data sharing descriptions, data interfaces, and sensor descriptions should be checked.

4.3.2 Verification and Testing

4.3.2.1 It is to verify the process of integration according to the approved test outline, which mainly includes the following:

(1) Data integration scope verification;

(2) Data integrity verification;

(3) Data calibration verification;

(4) Data fusion verification;

(5) Data sharing verification;

(6) Data dissemination verification.

Chapter 5 Model

Section 1 General Provisions

5.1.1 General Requirements

5.1.1.1 Based on the scenarios of ships and offshore installations, this guideline divides the model into the following two categories:

(1) Monitoring models, which objectively reflect the operation of related systems and equipment of the ships and offshore installations;

(2) Inferential models, which are designed to predict and analyze the future operation of the systems and equipment of ships and offshore installations, and diagnose faults based on previous operating data experience.

5.1.2 Model benchmark

5.1.2.1 Model evaluation shall be based on a benchmark, which can be a parameter file.

5.1.2.2 Model parameter files refer to the data items derived from the raw or processed parameters or external observations to provide a criterion for normal behavior of the system and equipment. Model parameter files can be used alone or combined with operation monitoring, fault diagnosis, and performance prediction to determine working conditions.

5.1.2.3 The model parameter file can be obtained through the following ways:

(1) Sensor (parameters);

(2) Measured processed data;

(3) Operating parameters;

(4) Verification and validation results.

5.1.2.4 The performance of the model or application should be verified under the same benchmark (the rules for normal system behavior of the machine should be provided when one or more model parameter files are used) environment.

Section 2 Model Measurement

5.2.1 Model performance

5.2.1.1 The performance of monitoring models can be described by precision and accuracy. The precision and authenticity are used to describe how close the measured value is to the true value or the reference measured value.

(1) The accuracy grade should be determined based on several tests sufficient to calculate the standard deviation. When determining the accuracy level, the repeatability of the test should be considered;

(2) The authenticity should be recorded by the deviation from the average of the measured/calculated value and the actual value.

5.2.1.2 The performance of inferential models can be described by such indicators as MSE, RMSE, and MAE, among which:

(1) Mean Square Error (MSE)

$$MSE = \frac{1}{n}\sum_{i=1}^{n}(y_i - \hat{y}_i)^2$$

Where n is sample size

y_i is result variable

$\hat{y}_i$is the model predicted value of the result variable of the sample

(2) Root Mean Square Error (RMSE)

$$RMSE = \sqrt{\frac{1}{n}\sum_{i=1}^{n}(y_i - \hat{y}_i)^2}$$

Where n is sample size

y_i is result variable

$\hat{y}_i$ is the model predicted value of the result variable of the sample

(3) Mean Absolute Error (MAE)

$$MAE = \frac{1}{n}\sum_{i=1}^{n}|y_i - \hat{y}_i|$$

Where n is sample size

y_i is result variable

$\hat{y}_i$ is the model predicted value of the result variable of the sample

5.2.1.3 The performance of monitoring models can be described by such indicators as accuracy, precision, recall, F1 value, P-R curve, receiver operating characteristic curve (ROC curve), etc., among which:

(1) Confusion matrix

The confusion matrix is a cross tabulation of observation and prediction categories, as shown in Table 5.2.1.3.

Table 5.2.1.3 Example of Confusion Matrix for Binary Classification

Prediction	Observation	
	Yes	No
Yes	TP	FP
No	FN	TN

Where, False Negatives (FN): The true value of the test data is positive, and the classifier prediction is negative.

False Positives (FP): The true value of the test data is negative, and the classifier prediction is positive.

True Negatives (TN): The true value of the test data is negative, and the classifier prediction is negative.

True Positives (TP): The true value of the test data is positive, and the classifier prediction is positive.

(2) Precision (P)

$$P = {}^{(TP)}\Big/_{(TP+FP)}$$

Where, TP, FP, FN, TN are shown in Table 5.2.1.3.

(3) Accuracy/Correctness (Accuracy, A)

$$A = {(TP + TN)}/{(TP + FP + TN + FN)}$$

Where, TP, FP, FN, TN are shown in Table 5.2.1.3

(4) Recall/Sensitivity/Completeness (Recall, R)

$$R = {TP}/{(TP + FN)}$$

Where, TP, FP, FN, TN are shown in Table 5.2.1.3

(5) F1 value

$$\mathrm{F1} = {P \times R \times 2}/{(P + R)}$$

Where P denotes Accuracy/Correctness, and R denotes Recall/Sensitivity/Completeness.

(6) P-R curve

P-R curve is drawn based on the current P value and R value calculated each time and by means of sorting the possibility (probability) of the test sample as a "positive example" from high to low according to the prediction results.

When the P-R curve of model A is completely enclosed by the P-R curve of another model B, it is known that the performance of B is better than that of A.

When the curve models of A and B overlap, the performance with a larger area under the curve is better.

When it is difficult to estimate the area under the curve, according to the balance point (the value when P=R), the higher the value of the balance point is, the better the performance will be.

(7) ROC curve

ROC curve is drawn with the False Positive Rate (FPR) as the horizontal ordinate and the True Positive Rate (TPR) as the vertical coordinate. Where,

$$FPR = \frac{FP}{TN + FP}$$

$$TPR = \frac{TP}{TP + FN}$$

Where, TP, FP, FN, TN are shown in Table 6.2.1.3.

If the TPR is higher, the FPR will be lower, that is, if the ROC curve is steeper, the performance of the model will be better.

When the ROC curve of model A is completely enclosed by the ROC curve of another model B, it is known that the performance of B is better than that of A.

When the curves of A and B overlap, the performance with a larger area under the curve is better.

5.2.1.4 For multiple confusion matrixes, the following calculation methods can be taken as a reference:

(1) Macro average

It is to first calculate the P and R values of each confusion matrix, then calculate the average P and R values, and finally calculate the F1 value.

$$\overline{P} = \frac{1}{n}\sum_{i=1}^{n} P_i$$

$$\overline{R} = \frac{1}{n}\sum_{i=1}^{n} R_i$$

Where n is the number of confusion matrixes

P_i is the P value of confusion matrix i

R_i is the R value of confusion matrix i

(2) Micro average

It is to first calculate the average TP, FP, TN, and FN of the confusion matrixes, then calculate the P and R values, and then calculate the F1 value.

$$\overline{P} = \frac{\overline{TP}}{\overline{TP} + \overline{FP}}$$

$$\overline{R} = \frac{\overline{TP}}{\overline{TP} + \overline{FN}}$$

5.2.2 Model confidence

5.2.2.1 The confidence level should be calculated at least by a weighted evaluation of the following error sources:

(1) Development (assessment of processes and risks related to selection during model development);

(2) Performance evaluation and accuracy;

(3) Data quality of the descriptors used;

(4) Design documents of the system or module;

(5) Failure data and characteristics.

5.2.2.2 The confidence level corresponding to the empirical value (such as 95% (± 2 times the standard deviation) or 99.7% (± 3 times the standard deviation)) or other standard deviation multiple intervals can be directly used as the confidence level.

5.2.2.3 The confidence level can be adjusted according to the comparison and evaluation results of the risk of the functional failure mode.

5.2.2.4 When different types of models are combined into one, it will be considered an application model or a hybrid model. The diagnostic model can also be a main model or a combination of multiple sub-models. Such models should be decomposed to fully calculate the confidence level.

5.2.2.5 The confidence interval can be calculated according to the calculated confidence level.

5.2.2.6 The models used for diagnosis and/or prediction should have descriptions of relevant limitations and applicable operating conditions.

Section 3 Model Verification

5.3.1 Verification of monitoring models

5.3.1.1 The model can reflect the running condition of the physical entity.

5.3.1.2 The model data should meet the functional integrity requirements.

5.3.1.3 The validity of the data used in model verification should be guaranteed.

5.3.1.4 The verification indicators applicable to the model should be selected according to the model.

5.3.1.5 The quality of data used for the model should be evaluated as qualified.

5.3.1.6 The working conditions of steady state and transition state of the model should be verified.

5.3.1.7 The following verification details should be determined based on the use and functions of the model:

(1) Parameter verification;

(2) Data integrity verification;

(3) Model indicator verification;

(4) Data quality assessment;

(5) Data storage period verification.

5.3.2 Verification of inferential models

5.3.2.1 Inferential data refers to the data calculated by the digital system based on historical operating data or empirical data on the current or future trend of the operating process of the system.

5.3.2.2 Inferential data includes the data used for diagnosis, prediction, and decision-making.

5.3.2.3 Inferential data must be obtained after one or more operating cycles including the start and stop of the digital system.

5.3.2.4 The verification indicators applicable to the model should be selected according to the model.

5.3.2.5 The verification and validation of the inferential model shall be based on the dependent digital system, as well as the algorithm adopted, the data used, and the conclusions generated. In addition, the following aspects shall be considered:

(1) Integrity assessment of the digital system;

(2) Data quality assessment of data retained in the digital system;

(3) Models used for diagnosis and prediction of the digital system.

5.3.2.6 The working conditions of steady state and transition state of the model should be verified.

5.3.2.7 The following verification details should be determined based on the use and functions of the model:

(1) Verification of the confidence of the model;

(2) Verification of the model based on the indicators listed in paragraphs 5.2.1.2 to 5.2.1.4 of this guideline.

5.3.3 Verification of model results

5.3.3.1 It is to compare the actual operating data and the model data of the verified item to obtain the comparison results based on the indicators selected in paragraphs 5.2.1.2 to 5.2.1.4 of this guideline (or select more applicable indicators by negotiation with CCS).

5.3.3.2 The model confidence level that meets CCS requirements.

Chapter 6 Data Application

Section 1 General Provisions

6.1.1 General Requirements

6.1.1.1 Data application takes the digital system as the carrier. Data application refers to the services provided by the digital system to people, organizations, or systems, and the function of which refers to the range of capabilities that the digital system can achieve.

6.1.1.2 The digital system application is divided into four functions: monitoring, diagnosis, prediction, and decision-making.

6.1.2 Additional Notations

6.1.2.1 For new or existing ships and offshore installations, if they meet the relevant requirements of this chapter, the following additional notations for data application may be granted upon application and successful drawing review and inspection by CCS:

DATA-APP (Monitor, Diagnose, Predict, Decision)

Where:

Monitor: Realizing monitoring functions, meeting the requirements of Section 2 of this chapter;

Diagnose: Realizing diagnostic functions, meeting the requirements of Section 3 of this chapter;

Predict: Realizing predictive functions, meeting the requirements of Section 4 of this chapter;

Decision: Realizing decision-making functions, meeting the requirements of Section 5 of this chapter.

6.1.2.2 When applying for additional notations, the requirements of Chapter 3 of this guideline shall at least be met.

6.1.2.3 The granting, maintenance, suspension, cancellation, and restoration of additional notations shall comply with relevant CCS requirements.

6.1.3 System requirements

6.1.3.1 The digital system shall meet the applicable technical requirements for data identification and data activities.

6.1.3.2 The digital system, according to its application business requirements, shall meet the applicable international conventions, flag state requirements, IACS requirements, CCS rules and guidelines, technical standards, etc.

6.1.3.3 The digital system can build the equipment and systems for operation of the ships and offshore installations through models, and the models built should be verifiable.

6.1.3.4 The digital system reliability, integrity, change management, network security, data quality, and data security should meet the relevant requirements of Chapter 1 of this guideline.

6.1.3.5 The data quality should be monitored according to the Guidelines for Quality Assessment of Ship Data based on the business requirements. When the data quality fails to meet the design requirements, the system should be able to identify, record, and report relevant information.

6.1.3.6 The digital system itself must be able to ensure the stability of the services, and detect or recover in a timely manner when an abnormality occurs in itself.

6.1.3.7 The digital system should have self-inspection capabilities and be able to generate self-inspection reports, including but not limited to:

(1) Whether data collection meets the requirements;

(2) Whether network connection is normal;

(3) Whether related hardware is in normal working condition;

(4) Whether the status of each component of the digital system is normal.

6.1.3.8 For abnormal output, wrong results, obvious deviations, untimely response, etc. found during operation of the digital system, the operator shall record and provide feedback to the operation and maintenance personnel in a timely manner to make timely corrections.

6.1.3.9 Data infrastructure of the digital system shall meet the relevant requirements of Chapter 3 of this guideline according to the specific scheme adopted.

6.1.3.10 Data integration of the digital system shall meet the relevant requirements of Chapter 4 of this guideline according to the specific scheme adopted.

6.1.3.11 The digital system should have friendly human-computer interaction and be easy to use. It is recommended that the relevant requirements of ISO 9241-210 be satisfied.

6.1.3.12 The application capability of the digital system should be achieved based on risk and reliability analysis.

Section 2 Monitoring

6.2.1 General Requirements

6.2.1.1 Monitoring refers to the collection of data through automatic and system generation to achieve online monitoring of the true state based on complete digital description and expression of the physical entities.

6.2.2 Technical requirements

6.2.2.1 The digital system monitoring should have the following functions:

(1) Describe and display the status and statistical information of the monitored object;

(2) Monitor key nodes of the physical entities;

(3) Describe the true status of the system and report the status, events and alarms;

(4) Query and provide information about the current and historical status.

6.2.2.2 Data monitoring range

(1) The monitoring range and process of the digital system should meet the business requirements;

(2) Data entered by other means shall be confirmed in an appropriate manner.

6.2.2.3 The model of the digital system should meet the requirements of the monitoring models.

6.2.2.4 The data storage capacity of the digital system should meet business requirements, and periodic storage or event storage can be used, which are shown as follows:

(1) Periodic storage: the storage duration should meet the design voyage time of the ship, the inspection period of the ships and offshore installations, and the requirements of the regression algorithm (if applicable);

(2) Event storage: when the status of monitored object is abnormal or performance degradation event occurs, the system can store all relevant data covering the entire event time period.

6.2.2.5 The monitoring performance of the digital system should meet the design business and scenario requirements, and the system performance level should be guaranteed through

appropriate methods.

Section 3 Diagnosis

6.3.1 General Requirements

6.3.1.1 Diagnosis refers to the analysis and judgment of faults, failures or performance degradation that have occurred based on the information obtained from status monitoring, with the combination of known structural characteristics and parameters, as well as environmental conditions and historical data to determine the nature, category, degree, cause and location.

6.3.1.2 If the digital system application capability is based on the monitoring capability, the relevant requirements of Chapter 6, Section 2 of this guideline should also be satisfied.

6.3.2 Technical requirements

6.3.2.1 The digital system should have the following functions:

(1) Identify the faults, failures and operation modes of the physical entity in a timely manner;

(2) Locate the fault/failure location and scope of the physical entity;

(3) Determine the cause of fault, failure or performance degradation;

(4) Provide diagnostic information, including health or status indicators;

(5) Generate samples for confirmed faults/failures;

(6) Support users in trouble shooting and removal.

6.3.2.2 The diagnostic application range and process of the digital system should meet the application business requirements.

6.3.2.3 The model of the digital system should meet the requirements of the inferential model.

6.3.2.4 Complete diagnosis records should be stored. It is recommended to have a certain playback capability. The records include but are not limited to basic information, nature, category, degree, reason, location, phenomenon, related conditions, time of occurrence, any state abnormality or not before the occurrence, the diagnosis methods adopted and the final diagnosis results.

6.3.2.5 The diagnostic performance of the digital system should meet the design business and scenario requirements, and the performance level of the system should be guaranteed through appropriate methods.

Section 4 Prediction

6.4.1 General Requirements

6.4.1.1 Prediction refers to the fact that the digital system predicts the future state and trend of the corresponding physical entity based on the historical and real-time data and according to the objective development trend and variation regularity, with the combination of experience and knowledge.

6.4.1.2 If the digital system application capability is established based on the monitoring and diagnosis capabilities, the relevant requirements of Section 2 and Section 3 of Chapter 6 of this guideline shall also be satisfied.

6.4.2 Technical requirements

6.4.2.1 The prediction capability of the digital system should have the following functions:

(1) Predict the future state, performance, trend, or failure time of the physical entity;

(2) Improve the prediction ability through historical data;

(3) Predict certain results with algorithms;

(4) Send out early warning information when the early warning conditions are reached (if applicable).

6.4.2.2 The prediction application range and process of the digital system should meet the application business requirements.

6.4.2.3 When the prerequisites of prediction fail to meet the requirements, relevant information should be recorded, identified and reported.

6.4.2.4 The digital model should meet the requirements of the inferential model.

6.4.2.5 The prediction results should be stable, repeatable and meet the confidence level.

6.4.2.6 Complete prediction records should be stored. It is recommended to have a certain playback capability, including basic information, prediction conditions or assumptions, prediction use data, and prediction results.

6.4.2.7 The predictive performance of the digital system should meet the design business and scenario requirements, and the performance level of the system should be guaranteed through appropriate methods.

Section 5 Decision-making

6.5.1 General Requirements

6.5.1.1 Decision-making refers to the fact that the digital system proposes a feasible plan for achieving a specific goal based on the digital description and expression of the physical entity or system, combined with the diagnosis results and the future state and trend, selects the best plan after comparison, analysis and evaluation, and puts the best solutions into the process of implementation and monitoring.

6.5.1.2 If the digital system application capability is based on the monitoring, diagnosis, and prediction capabilities, the relevant requirements of Chapter 6, Section 2, Section 3, and Section 4 of this guideline should also be satisfied.

6.5.2 Technical requirements

6.5.2.1 The decision-making capability of the digital system should have the following characteristics:

(1) Provide mandatory or suggestive action plans based on available prediction results;

(2) Evaluate the effectiveness of each option and how to optimize future actions without affecting other priorities.

6.5.2.2 The decision-making application range, process and result of the digital system should meet the application business requirements.

6.5.2.3 When the decision-making prerequisites fail to meet the requirements, relevant information should be recorded, identified and reported.

6.5.2.4 The digital model should meet the requirements of the inferential model.

6.5.2.5 The decision-making results should be stable, repeatable and meet the confidence level.

6.5.2.6 Complete decision-making records should be stored. It is recommended to have a certain playback capability, including basic information, decision-making conditions or assumptions, decision-making use data, decision-making options, and optimization results.

6.5.2.7 The decision-making performance of the digital system should meet the design business and scenario requirements, and the system performance level should be guaranteed through appropriate methods.

6.5.2.8 For the condition-based maintenance system, the recommended maintenance scheme should be based on the degree of danger of the mechanical equipment or components, operating costs, maintenance costs, availability of spare parts and other factors.

6.5.2.9 The decision-making control of the digital system should meet the following requirements:

(1) The digital system should provide timely and sole optimization results. Otherwise relevant information should be reported;

(2) The decision-making results should be converted into the commands executable by the control agency;

(3) The digital system should monitor the execution results and make appropriate assessment;

(4) The digital system should have the ability of human intervention.

Section 6 Data Application Capability Verification

6.6.1 Basic document requirements

6.6.1.1 For application capability verification of the digital system, the following documents should be submitted:

(1) Digital system specifications, including but not limited to the followings:

① Description of business scope and application scenarios;

② Requirements specification for network and communication security;

③ Requirements specification for required data quality;

④ Description of functions;

⑤ Description of performance;

⑥ Description of such prerequisites as boundaries and limits;

⑦ Interface description, including human-computer interaction;

⑧ Interaction protocol and other protocol lists and documents.

(2) Data model related explanatory materials and verification results;

(3) Verification documents related to digital system reliability, integrity, change management, network security, data quality and data security;

(4) System function and performance test procedures: test process, test methods, test environment, test tools, technical indicators, test schedule;

(5) Information listed in 2.3.2 of data identification;

(6) Information listed in 3.7.1 of data collection;

(7) Information listed in 4.3.1 of data integration.

6.6.2 Supplementary document requirements for monitoring capability verification

6.6.2.1 To verify the monitoring capability of the digital system, the following documents should also be submitted:

(1) Monitoring procedures, including monitoring methods/techniques, monitoring modes (online monitoring, off-line monitoring and periodic measurement, the measurement period should be indicated for periodic measurement), benchmark measurement procedures, equipment condition monitoring procedures, etc.;

(2) Calibration procedures and plans for the monitoring devices.

6.6.3 Supplementary document requirements for diagnostic capability verification

6.6.3.1 To verify the diagnostic capability of the digital system, the following documents should also be submitted:

(1) Diagnosis and status assessment method description, including principle description, process, mechanism, example, etc.;

(2) Feature extraction and pattern recognition methods, if applicable;

(3) Diagnostic instructions, including but not limited to the followings:

① List the possibly damaged parts of the diagnostic object;

② List the faults and status related to these parts;

③ Give potential observable symptoms for each fault;

④ Name the status monitoring characterization that will be used;

⑤ Indicate the methods and parameters used to calculate the characterization.

6.6.4 Supplementary document requirements for predictive capability verification

6.6.4.1 To verify the predictive capability of the digital system, the following documents should also be submitted:

(1) Prediction method description, including principle description, process, examples, etc.;

(2) Database description required by the prediction function.

6.6.5 Supplementary document requirements for decision-making capability verification

6.6.5.1 To verify the decision-making capability of the digital system, the following documents should also be submitted:

(1) Decision-making method description, including principle description, process, examples, etc.;

(2) Database description required by the decision-making function.

6.6.6 Verification and Testing

6.6.6.1 The system applying for digital application capability level evaluation shall be verified and tested according to the following requirements:

(1) Data identification shall be verified and tested according to the requirements of 2.3.1;

(2) Data collection shall be verified and tested according to the requirements of 3.7.2;

(3) Data integration shall be verified and tested according to the requirements of 4.3.2;

(4) The digital model verification requirements are shown in Table 6.6.6.1(4);

Table 6.6.6.1(4) Digital Model Verification Requirements

Application Ability Level	Digital Model Verification Requirements
Monitoring	See the requirements in Section 5.3.1 of this guideline
Diagnosis	See the requirements in Section 5.3.2 of this guideline
Prediction	See the requirements in Section 5.3.2 of this guideline
Decision-making	See the requirements in Section 5.3.2 of this guideline

(5) Functional integrity testing under system integrity, see Table 1.3.2.1(1);

(6) Performance efficiency testing, see Table 1.3.2.1(2).

Chapter 7 Data implementation.

Section 1 General Provisions

7.1.1 General Requirements

7.1.1.1 The digital system shall meet the technical requirements of data identification, collection, storage and integration chapters of this guideline, and have certain data application capabilities to realize one or the combination of monitoring, diagnosis, prediction and decision-making functions.

7.1.2 Scope

7.1.2.1 This chapter applies to the scenarios where digital systems are installed on ships and offshore installations, as well as the scenarios where digital systems are installed in shore-based data centers.

Section 2 Digital System Process Assessment

7.2.1 General Requirements

7.2.1.1 The digital system process assessment specifies the general requirements for evaluating the digital system to certify that the digital system applicant is capable of developing, deploying, monitoring and maintaining a digital system.

7.2.1.2 The digital system process mainly includes the following three aspects of assessment:

(1) The digital system development process assessment;

(2) The digital system delivery process assessment;

(3) System reliability assessment of the digital system application.

7.2.1.3 Digital system process assessment is the basis for applying for type approval of the digital system.

7.2.1.4 When there are important changes made to the processes assessed in the development and delivery of the digital system, the digital system applicant shall notify CCS. For major changes to the digital system, CCS may require -re-assessment to maintain the digital system certificate.

7.2.2 Development process assessment

7.2.2.1 To assess the development process of the digital system, the following documents shall be submitted:

(1) Specifications;

(2) Process control related documents;

(3) Technical files.

7.2.2.2 Specifications, including but not limited to the followings:

(1) From the functional level, the description document of the algorithm for the design and development of the following functions:

① Sensors;

② Data collection/storage/integration;

③ Data modeling;

④ Fault detection (if applicable);

⑤ Diagnosis (if applicable);

⑥ Prediction (if applicable);

⑦ Decision-making recommendations (if applicable).

(2) Alarm limits.

7.2.2.3 Process control related documents, including but not limited to the followings:

(1) The process for establishing a team of subject matter experts with the required qualification and experience;

(2) Description of personnel training and qualification requirements, such as user guidance and training manuals;

(3) Quality management system description;

(4) System version control process;

(5) System update strategy, not limited to update method, frequency, etc.;

(6) Verification data management, including data management and data quality management, and how to submit the data to CCS (if applicable);

(7) System failure report.

7.2.2.4 Technical requirements, including but not limited to the followings:

(1) Risk assessment techniques/methods (such as FMEA/FMECA, etc.);

(2) Data representation and mapping;

(3) Test plan, including test objectives, test environment, test methods, etc.;

(4) Service reports, including operation scenarios of the digital system.

(5) System architecture design documents;

(6) Interface specifications.

7.2.3 Delivery process assessment

7.2.3.1 To assess the delivery process of the digital system, the following documents shall be submitted:

(1) Specifications;

(2) Process control related documents;

(3) Technical files.

7.2.3.2 Specifications, including but not limited to the followings:

(1) System description, including the purpose and objectives of the digital system, system block diagram, system interface, etc.;

(2) Requirements specification;

(3) Detailed description of the quality management system used in the development and delivery of the digital system.

7.2.3.3 Process control related documents, including but not limited to the followings:

(1) The process for establishing a team of subject matter experts with the required qualification and experience;

(2) Data use strategies of the digital system, for example, when and how to transmit data;

(3) Strategies related to digital system updates, such as equipment adjustments and changes in service;

(4) Digital system software upgrade and version control strategies.

7.2.3.4 Technical requirements, including but not limited to the followings:

(1) Detailed description of the implementation of the digital system, such as which model is used;

(2) Principles and/or basis of diagnosis and prediction algorithms for the digital system;

(3) The review process for the diagnosis and prediction of false positive and false negative result events, including the prediction scope of errors and how these events are maintained during the service cycle of this digital system;

(4) Verification plan for the digital system and the physical system;

(5) Samples of previously published service reports, as well as samples of service reports and recording procedures. These processes should fully reflect that the correct operation of the digital system can be verified, so that it can be checked and confirmed during periodic inspection of CCS.

7.2.4 Reliability assessment

7.2.4.1 The relevant hardware and software of the digital system involved in this guideline shall meet the requirements of Section 6, Chapter 2, Part 7 of CCS “Rules for Classification of Sea-going Steel Ships”, and be subject to drawing review and inspection by CCS.

7.2.4.2 The software development of the digital system shall meet the requirements of CCS “Guide for Safety and Reliability Assessment for Shipboard Software”.

7.2.4.3 The data quality of the digital system shall meet the requirements of Chapter 3 of CCS “Guidelines for Quality Assessment of Ship Data”.

7.2.4.4 In addition to the submitted information involved in the relevant requirements of 7.2.4.1-7.2.4.3, the following information shall also be submitted for reliability assessment of the digital system software:

(1) Specifications;

(2) Process controls related documents;

(3) Technical files.

7.2.4.5 Specifications, including but not limited to the followings:

(1) Digital system software development requirements specification;

(2) Digital system network security requirements specification;

(3) Requirements specification for data quality required by the digital systems;

(4) Specification related to the digital system functions;

(5) Specification related to the digital system performance, including but not limited to the followings:

① Integrity;

② Availability;

③ Identity authentication;

④ Confidentiality;

⑤ Accessibility;

⑥ Storage.

(6) Description of the prerequisites such as boundaries and limits of the digital system.

7.2.4.6 Process control related documents, including but not limited to the followings:

(1) Digital system description and user manual;

(2) Test plan and report;

(3) Configuration management;

(4) Description of suitable development process and life cycle activities.

7.2.4.7 Technical files, including but not limited to the followings:

(1) The degree of compliance and/or consistency between the digital system and its use requirements in the actual operating environment;

(2) Suitability assessment for use of machine learning, artificial intelligence or non-deterministic software technology.

Section 3 Digital System Principle Approval

7.3.1 General Requirements

7.3.1.1 The digital system principle approval object is a complete equipment or system to be verified, and all parts in the equipment or system are regarded as components.

7.3.1.2 The digital system principle approval is implemented according to the requirements of Section 11, Chapter 3, Part 1 of "Rules for Classification of Sea-going Steel Ships", and inspections are mainly carried out from the perspectives of development and delivery process, technical solutions feasibility, risk assessment, etc.

7.3.1.3 It is necessary to meet the process assessment requirements in Section 7.2 of this guideline in the event of application for digital system principle approval.

7.3.2 Documentation

7.3.2.1 In the event of applying for digital system principle approval, the following documents shall be submitted:

(1) Specifications;

(2) Process controls related documents;

(3) Technicalfiles.

7.3.2.2 Specifications, including but not limited to the followings:

(1) System description of the digital system, including the purpose and objectives of the digital system, system block diagram, system interface, etc.;

(2) Operation manual, including which functions and/or information are automatic, which are the alarms and/or suggestions provided to users, and the needs or requirements related to the maintenance of the digital system, etc.;

(3) Design description of the digital system, including sensor data flow, external sensor data used and its sampling frequency requirements, detailed description of functional logic, as well as logical description of digital system service realization;

(4) If applicable, the transmission description from the ship end to the development and deployment center, including the transmission method, protocol, frequency, security requirements, etc.

7.3.2.3 Process control related documents, including but not limited to the followings:

(1) When the digital system provides alarms related to equipment failure status, the alarm list, alarm category definition, as well as the alarm generation logic, conditions and handling procedures shall be provided to CCS;

(2) Provide the experience of subject matter experts used in digital system development.

7.3.2.4 Technical files, including but not limited to the followings:

(1) Detailed description of the principle that each component in the physical system or asset can continue to serve, and how the upper and lower limits of the working conditions are determined, how the logical functions associated with the working conditions data are defined, and how the maintenance recommendations are determined;

(2) Detailed description of the recommended actions of the digital system for possible working conditions;

(3) FMEA (FMECA or similar) analysis for each component using the applications of digital system monitoring, diagnosis, prediction, etc.;

(4) For each failure mode of the components analyzed by FMEA, the following information shall be submitted:

① Technology list of data collection and signal processing, such as filtering, signal amplification (if applicable), etc.;

② A feature list that can indicate the occurrence and severity of the failure;

③ List of fault detection algorithms;

④ List of fault diagnosis algorithms, including models for handling, evaluating and classifying faults.

(5) Detailed description of the analysis algorithm for the failure mode of each component that can be monitored by the digital system;

(6) The digital system applicant should provide a digital system diagnostic technology evaluation report, which shall clearly describe how faults of different functional levels are detected and how to evaluate the status of the equipment. In addition, the report should also include the acceptance principles for sustainable operation of the equipment.

(7) Make a detailed description of the data and processing procedures used in the development of the digital system to ensure that the data of appropriate quality and quantity are used;

(8) For the output of the digital system, a detailed description of risk and confidence should be provided;

(9) Describe how to implement/verify the risk and confidence of the digital system;

(10) Make sure that the digital system is fully tested and robust, and can be installed and deployed as a digital representation of characteristic objects or assets in the ships and offshore installations or systems;

(11) The digital system shall ensure an acceptable output of the test methods during the life cycle, such as the test and verification processes, built-in test systems, simulations, etc.;

(12) When the digital system provides decision-making suggestions, for example, in terms of the suggestions for revision of the equipment maintenance plan, samples should be provided to illustrate the process, basis and corresponding responsibilities of supporting decision-making;

(13) When major changes occur to the software, logic functions, limit conditions, etc. of the digital system, CCS shall be notified. The notification contents shall include the acceptance

principle of the change, such as the data requirements used by the machine learning algorithm, so that CCS can understand the acceptance principles used in current development and services;

(14) Data loading frequency of the digital system;

(15) The handling policy/process of the digital system asset changes and changes in the services provided by the digital system applicant.

Section 4 Digital System Integration Operation

7.4.1 General Requirements

7.4.1.1 The digital system integration operation is to verify that the digital system can deploy and complete specific functions or tasks in the actual operating environment.

7.4.1.2 The digital system should be installed and deployed according to the plan.

7.4.1.3 The contents of digital system test depend on the maturity and the confidence level (if any) of the digital system, as well as the degree of harm caused by failure of the digital system, etc.

7.4.1.4 When there is limited service experience of the digital system, the normal operation and maintenance requirements should be maintained until sufficient evidence shows that the business requirements of the digital system can be satisfied.

7.4.1.5 The digital system for ships and offshore installations should meet relevant requirements for principle approval.

7.4.2 Technical requirements

7.4.2.1 Review the records of all false positive results and false negative results events, and how these events are applied to the digital system, such as the retraining models, etc.

7.4.2.2 CCS will confirm the maintenance has been carried out as required by the digital system and check the maintenance records to ensure that the digital system meets the expectations. Check all anomalies/defects records, and evaluate the accuracy of the digital system's decision-making services to determine whether the digital system has the ability to continue to serve. The equipment records shall include the anomalies under the condition that the boundary limits of the digital system are exceeded, and what action was taken.

7.4.2.3 When the digital system is implemented by a shore-based data center, the data transmission records of the digital system should also be checked.

7.4.2.4 When defects in the decision-making suggestions of the digital system are found, the marine surveyor may request further review. If there are serious defects, a report can be submitted to CCS to withdraw the certificate of the digital system.

7.4.3 Documentation

7.4.3.1 To verify the integration operation of the digital system, the following documents shall be submitted:

(1) Specifications;

(2) Process controls related documents;

(3) Technical files.

7.4.3.2 Specifications, including but not limited to the followings:

(1) System description of physical objects or entities, including functional and performance requirements;

(2) Training materials for the operators of the digital system, including manuals, training materials, etc.

7.4.3.3 Process control related documents, including but not limited to the followings:

(1) When major changes occur to the software, logic functions, limit conditions, etc. of the digital system, CCS shall be notified. The notification contents shall include the acceptance principle of the change, such as the data requirements used by the machine learning algorithm, so that CCS can understand the acceptance principles used in current development and services;

(2) Minimum training requirements and qualifications for the operators of the digital system, as well as the maintenance requirements for digital system output;

(3) Examples of diagnosis and prediction of the digital system to show how the digital system works;

(4) If applicable, a detailed description of equipment maintenance related information not covered by the digital system, such as maintenance items, cycles, etc.;

(5) When the digital system provides decision-making suggestions, such as suggestions for revision of the equipment maintenance plan, samples should be provided to illustrate the process, basis, and corresponding executive responsible person for supporting decision-making.

7.4.3.4 Technical files, including but not limited to:

(1) Detailed description of all sensors used by the digital system;

(2) Models and data of expected functions of the digital system;

(3) If applicable, description of the calibration methods and frequency of the measuring equipment or sensors that provide data for the digital system;

(4) Requirements for recording equipment failures and how these records are applied to the digital system;

(5) Data loading frequency of the digital system.

7.4.4 Inspection and verification

7.4.4.1 The inspection of the digital system integration operation phase mainly includes:

(1) Document inspection;

(2) Tests witnessed by surveyor;

(3) Sea trial (if applicable).

7.4.4.2 Document inspection is not limited to the inspection of the documents required in paragraph 7.4.3 of this guideline.

7.4.4.3 Please refer to Section 2.3 of this guideline for the verification requirements of data identification.

7.4.4.4 Please refer to Section 3.4 of this guideline for the verification requirements of data collection.

7.4.4.5 Please refer to Section 4.3 of this guideline for the verification requirements of data integration.

7.4.4.6 Tests witnessed by surveyor include but not limited to the following items:

(1) Presentation related test;

(2) Interface/protocol test;

(3) Function test;

(4) Performance test;

(5) Data sensitivity test;

(6) Model test;

(7) Failure mode test;

(8) Network security test;

(9) Data quality assessment.

7.4.4.7 For detailed description of equipment maintenance related information not covered by the digital system, real ship verification test includes but is not limited to the following items:

(1) Interface and protocol verification;

(2) Data reception and presentation verification;

(3) Functional compliance verification of the digital system;

(4) Handling and recording of false positive and false negative events in the actual system;

(5) Optimization process test of the digital system.

Chapter 8 Digital System Verification Methods

Section 1 General Provisions

8.1.1 General Requirements

8.1.1.1 The verification methods include risk assessment, engineering assessment and direct assessment, and relevant work should be carried out based on risks in the process of test and verification.

8.1.1.2 For the test of the digital system with self-verification function, the verification methods should be tested first.

Section 2 Risk Assessment

8.2.1 Purpose of risk assessment

8.2.1.1 The purpose of risk assessment is to identify the technical risks and uncertainties related to the digital system, and record all foreseeable hazards, their causes, consequences, and consider potential risk control measures in the application and operating environment.

8.2.2 Risk assessment requirements

8.2.2.1 Before implementation, the risk assessment plan shall be approved by CCS and shall include at least the following items:

(1) Assessment scope;

(2) The knowledge and background information of the evaluator;

(3) preparation before assessment:

① Related information collection;

② Determination of risk assessment methods;

③ Assessment criteria (risk matrix, etc.).

8.2.2.2 A risk assessment report should be generated after the completion of risk assessment, including at least the following items:

(1) Assessment scope;

(2) Risk assessment assumptions and reference data;

(3) Supporting documents or information related to risk assessment;

(4) Risk item identification, cause analysis, risk consequence, frequency analysis, risk level, as well as whether measures need to be taken to reduce the risk level;

(5) Risk control measures and their effectiveness;

(6) Assessment conclusions and recommendations.

8.2.2.3 For risk assessment of the digital system based on a single data-driven model, the risk factors and/or risk items can be analyzed through analysis of the model development and deployment process. The assessment process includes at least the followings:

(1) Determine the function list of the system to be assessed based on the system description and/or other system data of the system to be assessed;

(2) Risk matrix, and the criteria for determining the probability/possibility and consequences;

(3) List of functions confirmed by the system to be assessed;

(4) Develop a risk register;

(5) Identify the risk items based on the risk register;

(6) For each risk item, estimate its probability and consequences, and calculate the risk (risk=probability×consequence);

(7) Grade these risks using the risk matrix;

(8) Define risk mitigation measures for high-risk items.

8.2.2.4 For non-single data-driven models, the data-driven models are combined with the modules based on physics and/or heuristic method or rules. For risk assessment of this type of system, the process is as follows:

(1) Develop a function list of the system to be assessed according to the system description and/or other system data of the system to be assessed;

(2) For each data-driven sub-model, the system to be assessed confirms the list of functions;

(3) Fill out the risk register according to the contents of the list;

(4) Repeat steps (2) and (3) until the risk register of all data-driven sub-models is filled in;

(5) Identify the risks after combination of the data-driven sub-models and fill in the risk register;

(6) For each risk item, estimate its probability and consequence, and calculate the risk (risk=probability × consequence);

(7) For each risk item, estimate its probability and consequences, and calculate the risk (risk=probabilityconsequence);×

(8) Grade these risks using the risk matrix;

(9) Identify the unacceptable high-risk items;

(10) Define risk mitigation measures for high-risk items.

Section 3 Engineering Assessment

8.3.1 Purpose of engineering assessment

8.3.1.1 It is mainly to verify the realization of the predefined functions and performance of the digital system, as well as the security.

8.3.2 Requirements of engineering assessment

8.3.2.1 Engineering design review: Verify the defined functions and performance of the digital system, and verify the compliance of the system design.

8.3.2.2 Simulation and analysis: Perform simulation and analysis on the digital system.

8.3.2.3 Verification test: Verify the function and performance of the digital system through functional test, model test and prototype test. The test should be carried out in the design requirements environment.

8.3.2.4 Interface analysis: Analyze the interface of the digital system and test it in the integrated system. The integrated system includes human and environment.

8.3.2.5 Operation verification: Verify the inference results based on the operation data of the digital system.

8.3.2.6 Monitoring and maintenance verification: Verify whether the digital system can be monitored, tested and maintained.

8.3.2.7 Quality certification and control procedures: Establish and maintain the quality

certification and control procedures according to industry standards, and determine the accreditation standards for each verification stage.

Section 4 Direct Assessment

8.4.1 Purpose of direct assessment

8.4.1.1 The purpose of direct assessment is to analyze the behavior of the digital system.

8.4.2 Requirements of direct assessment

8.4.2.1 Direct assessment requires the training and test data of the model. The models and data may not be accessible due to commercial and/or technical reasons.

8.4.2.2 The model behavior can be analyzed with white box and black box methods. The white box method needs to analyze the internal parameters of the model to identify which parameters are the most important and which parameters can be ignored. However, the black box method is to use the model as it is and infer which parameters are relevant by analyzing its behavior.

8.4.2.3 In the direct assessment process, it is assumed that the actual data in the deployment environment and the training and test data in the development process should have the same statistical properties. The applicant of the digital system shall provide evidence to prove this assumption. If this assumption is not valid, the actual data in the deployment environment is “out of distribution”. In this case, the applicant needs to provide evidence to prove that the behavior of the application is reasonable.

8.4.2.4 For any particular model, the appropriate level of explainability/interpretability required for the assurance that the application will operate as expected without adverse consequences and the complete risk profile depends on the intended use and importance of the application. The interpretability means that the model (white box) is easy to understand, and users with experience can understand the meaning of the model; the explainability means that the researcher makes an understandable explanation for the behavior of the black box model.

8.4.2.5 For the expected behavior of the application related to data quality and assessment, the data quality indicators (such as integrity) and assessment indicators (on known test data, such as mean square error, area under the operating characteristic curve (AUC)) can be used. The data quality indicators and assessment indicators need to be determined according to the specific application scenarios and modeling methods of the application, so that the assessment of relevant parts is relatively objective.

8.4.2.6 The calculation of data quality should be implemented by a runtime service that monitors the quality of data input and output to the application. When the input/output data quality is low, the runtime service can detect the deviation and record this automatic check to indicate that the current model is in an in-guaranteed state, and notify the user in an appropriate way.

Section 5 Test of the Verification Methods

8.5.1 Test methods and modes

8.5.1.1 The digital system can complete data-driven verification by collecting, processing and analyzing the system data.

8.5.1.2 Data-driven verification can be completed through the built-in programs or proxy verification system of the digital system, among which:

(1) System built-in program verification refers to that the verification method is implemented as a part of the digital system function;

(2) Proxy verification refers to the establishment of a digital representation (such as a model) based on the data of the digital system by the proxy application or system, and the verification of the digital system shall be realized according to the requirements of this guideline.

8.5.2 Test of the verification methods

8.5.2.1 Data-driven verification can be performed by the crew according to the approved test method, or realized by automated means.

8.5.2.2 The scope of data-driven verification should cover the items required for digital system verification, and provide the credibility not lower than traditional verification.

8.5.2.3 The scope of data-driven verification should be managed based on risk assessment.

8.5.2.4 The hardware and software systems based on data-driven verification shall comply with relevant CCS requirements.

8.5.2.5 The process of data-driven verification should not affect the realization of the functions of the digital system, and priority should be given to ensuring the normal functions of the digital system.

8.5.2.6 Data-driven verification shall provide relevant detailed documents to allow CCS to have sufficient knowledge of the hardware and software functions, test procedures, etc. of the data-driven verification method, so as to objectively evaluate the test data and conclusions to ensure the credibility of "black box" test.

8.5.2.7 The first verification based on data-driven verification should be completed based on the following steps:

(1) Approval of the verification plan based on the digital system and required documents;

(2) According to the plan, test the validity of the verification method in the digital system, including the verification standard and the authenticity of the conclusion, as well as the functions and performance within the declaration scope of the following verification methods:

① Verify the functions and capabilities of the digital system;

② Verify the ability of the digital system to deal with failure mode;

③ Ability to find defects in the digital system;

④ Verify the security of the digital system.

8.5.2.8 Data-driven verification should be able to collect and store the data from the digital system during test and verification and transmit them to the remote data servers for ships and offshore installations to ensure the data use and retrieval requirements. This function should not rely on any temporary or long-term communication connection.

8.5.2.9 It shall be possible to provide all test data and conclusions to CCS as the basis for test according to the requirements. The integrity and authenticity of the data provided shall be ensured. The form and contents of provision shall be approved by CCS and serve as the part of the test process.

8.5.2.10 The verification basis should be based on the data generated by the system, and some pictures (including screenshots) and videos can be served as the verification basis.

8.5.2.11 When pictures (including screenshots) and videos are used as the basis for verification, corresponding mechanisms or procedures shall be available to ensure their authenticity.

8.5.2.12 Data-driven verification should at least provide the followings to CCS:

(1) The configuration and status of the digital system and related subsystems at the beginning of each test;

(2) The execution of the test (whether it was executed correctly according to the process);

(3) System response and performance data of the digital system;

(4) Verification standards;

(5) Personnel performing the test.

8.5.2.13 The software version and OEM service report (if any) of the main subsystems or modules of the digital system shall be verified.

8.5.2.14 The scope, functions and revision of data-driven verification shall be approved by CCS.

8.5.2.15 Data-driven verification should be able to identify a specific set of data in each test, which shall serve as the standard for assessment and verification.

8.5.2.16 The data-driven verification system or module should clearly display the test and verification status of each test item of the digital system, such as start/not start, due/not due, end/not end, etc.

8.5.2.17 The data-driven verification system or module shall be protected by a password, and be able to identify the login address of the operator, and shall have a digital mark for the digital system that has passed the test.

8.5.2.18 The data-driven verification system or module should provide a dedicated user interface for the marine surveyor to log in and complete verification related work, including status overview of the digital system, as well as subsequent planned tests and verification.

8.5.2.19 The cancellation, un-completion or failure of the test and verification shall be recorded and the reasons shall be explained.

8.5.2.20 Instructions and guidance as well as related mechanisms should be provided for the data driven verification to ensure that the test and verification operations are correct, and the results are non-tamper and repeatable.

8.5.2.21 The data-driven verification system or module should operate in offline or online (connected with remote data server, etc.) mode.

8.5.2.22 The report generated should indicate whether CCS inspection is required.

8.5.2.23 The data-driven verification system should support CCS to generate reports in a customized manner to show the verification results and the actual status of the digital system test items, and support the shipowner's query and records.

8.5.2.24 The data-driven verification system should support the retrieval of the historical test, verification results and processing methods.

8.5.2.25 Version change management shall be provided for the data-driven verification system.

8.5.2.26 The documents as shown in Table 8.5.2.26 shall be provided for data-driven verification.

Table 8.5.2.26 Documents

Document Name	Description
Design theory description	Describe the data-driven verification method, data interface and output form
Function description	Describe the functions and capabilities of the data driven verification system
Monitoring system files	Mainly includes: System topology diagram User interface description
Operation manual	Describe the operation steps and configuration methods of the data-driven verification system
Test report	Including the test reports on the functions, security etc. of the data-driven

	verification system
Process description file	Mainly includes: 1. Verification process description 2. Personnel training and qualification approval requirements 3. Test and verification scope description 4. Calibration process of the sensor and data collection equipment 5. Instructions for management and transmission of the test and verification information
Version change management description	Record the verification scope, functions and other revisions

Chapter 9 Verification and Validation of the Digital System

Section 1 General Provisions

9.1.1 General Requirements

9.1.1.1 The object of the verification and validation is the digital system.

9.1.1.2 The inspection includes verification of the digital system and assessment of the verification methods.

9.1.1.3 The verification of the digital system involves the verification of the sensor data, status data and result data used by the digital system. Corresponding data should be provided as required to complete the verification of the digital system.

9.1.1.4 The relevant verification data submitted to CCS by the applicant shall be automatically collected, and the data collection shall not depend on the ability or intervention of the operator, and the data cannot be modified.

9.1.1.5 The format, scope and quality of the data (verification evidence) submitted to CCS should satisfy the requirements of CCS to implement effective targeted assessment and verification of the digital system.

9.1.2 Verification and validation process

9.1.2.1 The digital system of ships and offshore installations may be inspection according to the general inspection process shown in Figure **错误!未找到引用源。**.

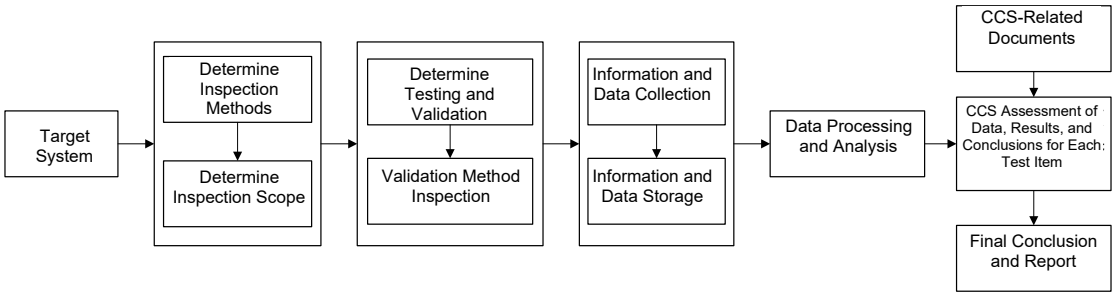


Figure 错误!未找到引用源。 **General Digital System Inspection Process**

9.1.2.2 The verification and validation of the digital system should be based on engineering assessment, risk assessment and direct assessment.

9.1.2.3 The verification method shown in Figure **错误!未找到引用源。** shall meet the requirements of Section0 of this guideline.

9.1.2.4 The procedures of the digital system verification and validation of ships and offshore installations should be traceable.

9.1.2.5 The raw data collected during the verification process of the digital system of ships and offshore installations should be provided to CCS.

9.1.2.6 The compatibility of the digital system in the actual operating environment shall be verified.

9.1.2.7 The function and performance of the actual running digital system shall be verified.

9.1.2.8 Quantitative indicators shall be provided for the expected function and performance requirements of the digital system.

9.1.2.9 Check whether the basic assumptions of the digital system comply with the reality, such as the actual operating environment temperature, etc.

9.1.2.10 Applicant shall negotiate with CCS to determine the list of specific monitoring, test and inspection items for the digital system.

9.1.2.11 The data or models of data-driven applications shall be evaluated according to the requirements of direct assessment in Section 8.4.2 of this guideline.

9.1.2.12 During verification, the quantitative and qualitative assessment of risks should be carried out based on the actual conditions (such as completeness of information, changes in functional requirements, etc.).

9.1.2.13 As for risk assessment, it is required that the risks and uncertainties of the digital system should be identified, and the foreseeable hazards, causes, consequences and potential risk control measures should be recorded.

9.1.2.14 Risk assessment mainly involves three factors of personal safety, asset protection and environmental protection.

9.1.2.15 The system integration and operational risks shall be assessed according to the provisions of Section 8.2.2 of this guideline, and the risk management and control measures shall be specified. The main assessment items shall include:

(1) Risk assessment methods;

(2) The risks of system installation, integrated interface, commissioning, operation and shutdown, and the risks of the system associated with its operation;

(3) Update of preliminary risk assessment results and analysis of risk control measures.

9.1.2.16 The verification method of the digital system with self-verification capability shall be evaluated and approved by CCS.

9.1.3 Result verification

9.1.3.1 The operation results of the digital system should be verifiable. According to the operation of the system, the verification of the operation results can be submitted to CCS for verification in two ways:

(1) After trial operation of the system, the inspection, model, test data, and expected results shall be submitted to CCS for verification, and the results shall meet the requirements of CCS;

(2) Certain data shall be accumulated for verification based on the actual operation results of the system, and the results shall meet the requirements of CCS.

Section 2 Verification and Validation Requirements

9.2.1 Initial Classification Survey

9.2.1.1 The digital system should have corresponding product certificate.

9.2.1.2 Trial operation should be completed before implementation of the verification and validation. The applicant shall apply to CCS for implementation of the verification and validation and submit the report on the implementation of the trial operation.

(1) If the applicant is unable to provide relevant data for verifying digital system operation results (such as models, test data, expected results, or actual operation data), CCS shall conduct inspection and verification based on the integrated operation of digital systems in Section 7.4, Chapter 7 of the Guidelines;

(2) If the applicant can provide relevant information for results verification based on the operation of the digital system, CCS shall conduct verification in accordance with Section 1 of this Chapter, on the basis of the inspection and verification in Section 7.4, Chapter 7 of the Guidelines.

9.2.1.3 The marine surveyor shall confirm that the results meet the CCS requirements, and issue different certificates according to the verification conditions.

9.2.2 Survey after Construction

9.2.2.1 After implementation of the digital system, annual verification shall be performed based on the annual/intermediate inspection of ships and offshore installations where the digital system is located to ensure consistency between the digital system and the physical system.

9.2.2.2 During annual inspection, the shipowners or ship management companies should submit an annual usage report to the test unit of CCS, which should at least include:

(1) Operation and maintenance records of the digital system;

(2) Records of results of services provided by the digital system;

(3) Operation and maintenance records of the physical entity corresponding to the digital system, including all component abnormalities and failure records;

(4) Maintenance plan of the physical entity corresponding to the digital system (if applicable).

9.2.2.3 During annual inspection, in addition to reviewing the annual report submitted by the shipowners or ship management companies, the following items should also be checked:

(1) Confirm and check the functional integrity of the digital system;

(2) Check and confirm the operating conditions of the digital system (such as sensor input conditions, model constraints, etc.);

(3) Confirm and check the self-inspection report of the digital system;

(4) Check and confirm the computer system corresponding to the digital system, and check whether it works normally;

(5) Check the performance and maintenance records of the physical entity corresponding to the digital system (if applicable);

(6) Check the detailed records of the failures of the physical entity corresponding to the digital system (if applicable);

(7) The surveyor shall report the application status of the digital system to the headquarters based on the results of review and inspection.