

RULES FOR THE AUDIT AND REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS

GUIDANCE FOR THE AUDIT AND REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS

Rules for the Audit and Registration of Ship Security Management Systems

2007 AMENDMENT NO.1

Guidance for the Audit and Registration of Ship Security Management Systems

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Rule No.22 / Notice No.26 2nd May 2007

Approved by Board of Directors on 27th March 2007

ClassNK
NIPPON KAIJI KYOKAI

RULES FOR THE AUDIT AND REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS



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AMENDMENT TO THE RULES FOR THE AUDIT AND REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS

“Rules for the audit and registration of ship security management systems” has been partly amended as follows:

Chapter 1 GENERAL PROVISIONS

1.1 General

1.1.1 Application

Sub-paragraph -3 has been deleted.

~~3 The Society may examine only the ship security plan, at the request of the Company, apart from the audit and register of the ship security management system in accordance with the Rules. In this case, the ship security management system is not registered.~~

1.1.3 Definitions

Sub-paragraph (7) has been amended as follows.

- (7) Company security officer means the person designated by the Company except outsourcing third parties, for ensuring that a ship security assessment is carried out and that a ship security plan is developed, submitted for approval, thereafter implemented and maintained, and for liaison with port facility security officers and the ship security officer.

Chapter 2 REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS

2.2 Maintenance of ISPS Registration

Sub-paragraph -2 has been amended as follows.

- 2 The Company is not to change the ship security plan without the Society’s approval, except the case of which the audit prescribed in 3.5-1(2)(b) is not required.

2.3 Certificates

2.3.2 Validity of Certificates

Sub-paragraph -2 has been amended as follows.

- 2 The period of validity of an Interim ISSC is to be not exceeding six months after the date of ~~completion of the audit prescribed in 2.3.1-2~~ which the case specified in 3.5-1(1)(a) to (c) has arisen.

2.3.4 Invalidation of Certificates

Sub-paragraph (3) has been amended as follows.

- (3) when the ship security management system is changed without the ~~approval of the Society~~ Society's approval, except the case of which the audit prescribed in 3.5-1(2)(b) is not required;

Chapter 3 AUDIT OF SECURITY MANAGEMENT SYSTEMS

3.3 Initial Audit

3.3.1 General

Sub-paragraph -1 has been amended as follows.

- 1 ~~The Initial Audit is to be carried out when the ship security management system is verified by the Society for the first time in accordance with a ship security plan. For the ship which received an Interim ISSC within the period of its validity, the Initial Audit is carried out when the ship security management system is verified by the Society for the first time on the basis of operational experiences of the approved ship security plan.~~

3.3.2 Documents to be Submitted

Sub-paragraph -1(1) has been amended as follows.

- (1) A copy of DOC or any other documents showing that the company is operating an effective safety management system

3.4 Periodical Audit

3.4.2 Intermediate Audit

Sub-paragraph -1 has been amended as follows.

- 1 The Intermediate Audit is to be carried out between the second and third anniversary date following the Initial Audit or the previous Renewal Audit. However, upon application by the company, the Intermediate audit may be carried out before the due time mentioned the above.

Section 3.5 has been amended as follows.

3.5 Additional Audit

- 1 The Society is to carry out the Additional Audit prescribed in the following (1) and (2) at the request of the Company at any time.
 - (1) Audit for issuing Interim ISSC
 - (a) ~~when a ship without a certificate, on delivery or prior to its entry or re-entry into service;~~ when a ship is on delivery, or a ship without a certificate prior to its entry into service
 - (b) when a Company assumes the responsibility for the operation of a ship not previously operated by that Company; ~~or~~
 - (c) when a ship's flag is changed;
 - (2) Audit which deemed necessary to carry out additionally by the Society
 - (a) when the ship security alert system is changed (replacement, modification, repair etc.) that influences on its function
 - (b) when the ship security plan is changed except the slight change otherwise specified
 - (c) when the ship security management system is changed that influences on its operating condition
- 2 At an audit prescribed in -1(1) above, the Society is to verify that the ship security management system complies with the requirements otherwise specified.
- 3 At an audit prescribed in -1(2) above, the Society is to verify that the ship security management system related with the change complies with the approved Ship Security Plan and is in satisfactory condition for the service for which the ship is intended.
- 4 Where Renewal Audit or Intermediate Audit is carried out in advance at the due time of Additional Audit prescribed in -1(2), the Additional Audit may be dispensed with.

Chapter 4 has been amended as follows.

Chapter 4 MISCELLANEOUS PROVISIONS

4.1 Retention of Certificate

The certificate is to be retained onboard the ships. Further, the Company is to retain a copy of the certificate in their office and present them to the Society upon request.

4.14.2 Supply of Information

The Company is to furnish the Society with complete and correct information deemed necessary by the Society for the maintenance of ISPS registration.

4.24.3 Maintaining Confidentiality etc.

1 The Society is responsible for not disclosing any confidential information obtained through the audit of the ship security management system carried out in accordance with the Rules to third parties without first securing the prior written permission from the Company.

2 Ship security management system register books, audit of ship security management system, records related to Port State Control and documents submitted by our clients are to be controlled with appropriate measures to prevent reading or any other actions by no duly authorized entities.

4.34.4 Appeals

In case when the Company has any complaint concerning the audit carried out by the auditor of the Society in accordance with the Rules, the Company may request, in writing, the Society to carry out a re-audit within 30 *days* from the day after completion of the audit.

EFFECTIVE DATE AND APPLICATION

- 1.** The effective date of the amendments is 2 May 2007.

GUIDANCE FOR THE AUDIT AND REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS

GUIDANCE

2007 AMENDMENT NO.1

Notice No.26 2nd May 2007

Notice No.26 2nd May 2007

AMENDMENT TO THE GUIDANCE FOR THE AUDIT AND REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS

“Guidance for the audit and registration of ship security management systems” has been partly amended as follows:

Chapter 1 GENERAL PROVISIONS

1.1 General

1.1.2 Equivalency

Sub-paragraph -2 has been amended as follows.

- 2 The ship security plan approved by the flag state or its recognized security organization is regarded equivalent to the one approved by the Society. ~~In this case, the documents specified in 3.3.2-1 of the Rules are to be substituted as below;~~
- ~~(1) A copy of DOC~~
 - ~~(2) Copies of the front page affixed with the approval stamp, the contents and the revision records of the ship security plan~~

Chapter 2 REGISTRATION OF SECURITY MANAGEMENT SYSTEMS

Section 2.3 has been deleted.

~~2.3 Certificates~~

~~2.3.1 Issuance of Certificates~~

~~A Document of Compliance may be issued to the ship, which is not subject to “under the authority given by flag state government” prescribed in 2.3.1-1 of the Rules, i.e. the ship which has a flag of a state other than SOLAS contracting governments or of which flag state the Society has not obtained the authority, instead of the certificate prescribed in 2.3 of the Rules.~~

Chapter 3 AUDIT OF SECURITY MANAGEMENT SYSTEMS

3.1 Conduct and Preparation of Audits

Sub-paragraph -1 has been amended as follows.

- 1** The audit of the ship security management system is to undergo upon submission of an application ~~by using the “Application for Ship Security Plan Approval and Shipboard Security Audit” (Form 1)~~ otherwise specified by the Society.

3.3 Initial Audit

3.3.2 Documents to be submitted

Sub-paragraph -2 has been amended as follows.

- 2** The wording “documents otherwise specified by the Society” prescribed in **3.3.2-1(4) of the Rules** means as follows. The items **(1)** and **(2)** may be included in the ship security plan.
 - (1) Company’s procedures and organization chart which provide duties and responsibilities of the company security officer and other shore-based personnel referred to the ship security.
 - (2) A document declared that the Company ensures that the company security officer, the ship security officer and the master are given the necessary support to fulfil their duties and responsibilities.
 - (3) Training records of the company security officer.
 - (4) ~~Internal Audit plan for the ship security management system (including the audit record when the audit has been completed)~~ An information of a person’s competence to carry out a ship security assessment, where the assessment was carried out by the person other than the ship security officer.
 - (5) The latest information on the followings;
 - (a) Who is responsible for manning the members of the crew or other persons currently employed or engaged on board the ship.
 - (b) Who is responsible for deciding the employment of the ship.
 - (c) In case where the ship is employed under the terms of charter party(ies), who are the parties to such charter party(ies).
 - (6) A document to identify the ship.

Paragraph 3.3.4 has been amended as follows.

3.3.4 Shipboard Audit

- 1** The place and the date of the Shipboard Audit is to be determined in consultation with the

Company.

- 2 The Shipboard Audit is to be carried out at a present of a responsible person appointed by the Company.
- 3 In the Shipboard Audit, it is confirmed that the functions of a ship security alert system including a function test are good in order.
- ~~34~~ The auditor is to notify the results of the audit to the master and the responsible person appointed by the Company upon completion of the Audit.

Section 3.4 has been amended as follows.

3.4 Periodical Audit

3.4.1 Renewal Audit

~~In the Renewal Audit, it is to be confirmed that the functions of the ship security alert system are in good order. In this case, a record of the system's function test carried out by an appropriate technical servicing company at a recent periodical class/statutory survey may be acceptable upon a general examination of the system.~~ The Renewal Audit includes a confirmation for the functions of the ship security alert system prescribed in 3.3.4-3. However, a general examination for the system may be acceptable subject to the submission of a record of a function test for the system carried out at a recent periodical survey.

3.4.2 Intermediate Audit

~~In the Intermediate Audit, the same prescribed in 3.4.1 is to be confirmed.~~

- 1 The Intermediate Audit includes the confirmation for the functions prescribed in 3.4.1.
- 2 In application of the proviso in 3.4.2-1 of the Rules, when the Intermediate Audit is carried out in advance at the due time of the Audit, hereinafter referred to as "Advance Intermediate Audit", either of the following measures is to be taken.
 - (1) The validity of the ISSC is to be amended by endorsement to the previous day after three years from the date of the Advance Intermediate Audit was completed.
 - (2) An additional Intermediate Audit is to be carried out. The due time of the additional Intermediate Audit is between the day after two years and the previous day after three years from the date of the Advance Intermediate Audit was completed.

Section 3.5 has been amended as follows.

3.5 Additional Audit

- 1 The Company is, when requests the Additional Audit, to describe the purpose in the application form.
- 2 ~~The wording "Audit deemed necessary to carry out additionally by the Society" prescribed in 3.5-1(2) of the Rules means such an audit that is carried out when the ship security plan is intended to be changed.~~ The wording "the slight change otherwise specified" in 3.5-1(2)(b) of the Rules means as the items other than the ones prescribed in Section 9.4 of the ISPS Code Part A.
- 3 The wording "the requirements otherwise specified" specified in 3.5-2 of the Rules means as

follows;

- (1) The ship security assessment ~~is to be~~ has been completed.
- (2) The ship security plan ~~is to be~~ has been submitted for approval prior to the audit and being implemented on board the ship, and of which copy is provided on board the ship.
- (3) The ship is ~~to be~~ provided with a ship security alert system.
- (4) The company security officer ~~is to ensure~~ has ensured the requirement in **(2)** above and to establish the necessary arrangements, including arrangements for drills, exercises and internal audits in order that the ship will successfully complete the Initial Audit.
- (5) Arrangements ~~are to be~~ have been made for carrying out the Initial Audit.
- (6) The master, the ship security officer and other personnel with specific security duties are ~~to be~~ familiar with the relevant provisions of the ship security plan including their duties and responsibilities.
- (7) The ship security officer ~~is to~~ meets the relevant requirements of the **ISPS Code Part A and B**.

4 The Company is to notify the Society of the slight change specified in -2 above.

The form “Application for Ship Security Plan Approval and Shipboard Security Audit” has been deleted.

ClassNK

To NIPPON KAIJI KYOKAI () Office / Branch Date: _____
(Please submit this Application to ClassNK local Office / Branch)

Application for Ship Security Plan Approval and Shipboard Security Audit

We acknowledge the provisions of “RULES FOR THE AUDIT AND REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS” of NIPPON KAIJI KYOKAI (ClassNK) and request you to carry out a review and approval of our Ship Security Plan (SSP) / to carry out an audit and to issue a certificate for the Ship Security Management System as detailed below:

Ship	Name of ship:		
	Classification Society:	Class No.:	
	IMO Number:	No. of ISSC (if any):	
	Flag:	Port of Registry:	
	Call sign:	Official No.:	
	Type of Ship:	Gross Tonnage:	
	SMC issued by:	Year of Built:	
	Company	Name of Company:	
Name of CSO (Company Security Officer for this ship):			
Address:			
Person in charge:		Signature:	
Telephone No.:		Fax No.:	
DOC issued by:			
<input type="checkbox"/> SSP Approval	<input type="checkbox"/> Initial approval	<input type="checkbox"/> Amendments to an approved SSP	
<input type="checkbox"/> Shipboard Audit	<input type="checkbox"/> Initial Audit	<input type="checkbox"/> Intermediate Audit	<input type="checkbox"/> Renewal Audit
	<input type="checkbox"/> Additional Audit for	<input type="checkbox"/> Issuing Interim ISSC	<input type="checkbox"/> Others ()
	Date:		Place:
	Name of Agent:		
	Telephone No.:	Fax No.:	

All fees and expenses incurred in the above mentioned audit and issue of certificate are/will be paid by;

Name of Company: _____
Address: _____
Telephone No.: _____ Fax No.: _____
Applicant's Name: _____ Signature: _____

Attached:

- *1 *2
- ☐ ☐ Copy of effective DOC issued by the Flag Administration or its behalf under SOLAS Chapter IX
 - ☐ ☐ Copy of effective SMC issued by the Flag Administration or its behalf under SOLAS Chapter IX
 - ☐ 2 sets of Ship Security Plan and 2 sets of Ship Security Assessment Report
 - ☐ Questionnaire for SSP Approval (MS-QPA & Attachment)
 - ☐ Copy of CSO Training Certificate
 - ☐ Questionnaire for Shipboard Audit (MS-QSA)
 - ☐ Copy of SSO Training Certificate

*1: to be attached in case of SSP Approval, including its amendments / *2: to be attached in case of Shipboard Audit

MS-APPLI (2005.4.1)

EFFECTIVE DATE AND APPLICATION

1. The effective date of the amendments is 2 May 2007.