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GUIDANCE ON VOLUNTARY SELF-ASSESSMENT BY ADMINISTRATIONS AND FOR SHIP SECURITY

1 The Maritime Safety Committee (the Committee), at its eighty-first session (10 to 19 May 2006), developed Guidance on voluntary self-assessment by Administrations and for ship security in an effort to assist Administrations in the implementation of, and the maintenance of compliance with, the requirements of SOLAS chapter XI-2 and the ISPS Code.

2 The methodologies set out in the annex are designed solely for use by Administrations and by ships in conducting internal voluntary self-assessments.

3 The Committee agreed that the Voluntary self-assessment tool for ship security is not a document which can be requested or required to be produced during the exercise of Control pursuant to the provisions of SOLAS regulation I/19 or of Control and compliance measures pursuant to the provisions of SOLAS regulation XI-2/9. In addition, the Committee agreed that those duly authorized by SOLAS Contracting Governments to exercise Control or Control and compliance measures are not vested with any authority to request or require the production from any ship of the Voluntary self-assessment tool for ship security.

4 Administrations are invited to bring the attached Guidance to the attention of owners and Companies operating ships entitled to fly their flag and of ship security officers.

5 Administrations, international organizations and non-governmental organizations with consultative status are also invited to bring to the attention of the Committee, at the earliest opportunity, the results of the experience gained from the use of the Guidance for consideration of action to be taken.

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ANNEX

GUIDANCE ON VOLUNTARY SELF-ASSESSMENT BY ADMINISTRATIONS AND FOR SHIP SECURITY

1 SOLAS chapter XI-2 and the ISPS Code have, *inter alia*, placed responsibilities on Administrations and Companies for ship security. The provisions entered into force on 1 July 2004 and the appendices to this document provide guidance on:

.1 a method of self-assessing the effectiveness with which an Administration fulfilled, and continues to fulfil, its obligations in respect of ship security, and

.2 a tool to allow Companies to self-assess the continuing effectiveness of their ship security plans and the implementation of the relevant security measures in such plans.

2 Self-assessment by an Administration can be undertaken within Government, who could also appoint experts to assist them in the process. Similarly, Company and shipboard personnel can use the self-assessment tool with the support of experts, if appropriate.

3 Anyone undertaking the self-assessment should, at least, have knowledge of:

.1 the requirements of SOLAS chapter XI-2 and the ISPS Code, including the related guidance developed by the Organization;

.2 general security principles; and

.3 the operation of ships.

4 The processes and the completed self-assessments should be protected from unauthorized access or disclosure.

5 The effective implementation of ship security measures is a continuing responsibility. It is suggested that Administrations self-assess their processes post-implementation and thereafter at least on a five yearly basis and that ships self-assess annually.

Appendix 1: Voluntary self-assessment questionnaire for Administrations.

Appendix 2: Voluntary self-assessment tool for ship security.

APPENDIX 1

VOLUNTARY SELF-ASSESSMENT QUESTIONNAIRE FOR ADMINISTRATIONS

This Voluntary self-assessment questionnaire for Administrations ((the Voluntary self-assessment questionnaire) may be used by Administrations in the self-assessment process for ship security.

Those conducting the voluntary self-assessment of compliance with SOLAS chapter XI-2 and the ISPS Code, on behalf of the Administration, should be familiar with the SOLAS chapter XI-2 and the ISPS Code implementation process before conducting the self-assessment.

This effort can be assisted by documenting the SOLAS chapter XI-2 and ISPS Code implementation process and by collecting the information below before reviewing the implementation process on board ships.

This Voluntary self-assessment questionnaire will assist those conducting the voluntary self-assessment in documenting the Administration's strategy used in the implementation of SOLAS chapter XI-2 and the ISPS Code.

When using this Voluntary self-assessment questionnaire, an Administration should consider SOLAS chapter XI-2, ISPS Code part A and part B the related guidance[1] developed by the Organization, as applicable.

When completing the Voluntary self-assessment questionnaire, the answers should be sufficiently detailed for the reader to gain a full understanding of the approach taken by the Administration in implementing the provisions of SOLAS chapter XI-2 and the ISPS Code.

Sufficiently detailed answers will prevent the drawing of erroneous conclusions when undertaking subsequent voluntary self-assessments. It will also assist in the resolution of any doubts when subsequent self-assessments are conducted by different persons.

Implementation Process

1. What is the national legislative basis for the implementation of the ISPS Code? (SOLAS regulations XI-2/2 and XI-2/4)

2. What guidance to industry was released to implement the ISPS Code? (SOLAS regulations XI-2/2, XI-2/4, XI-2/5 and XI-2/6)

3. What are the means of communication developed by the Administration with (a) ships, and (b) companies, regarding ISPS Code implementation? (SOLAS regulations XI-2/3 and XI-2/4)

4. What processes are in place to document verification and certification of initial and subsequent compliance with the ISPS Code? (SOLAS regulation XI-2/4.2)

[1] The related material, as on the date of issue of this circular, is listed in the appendix to the annex to MSC/Circ.1194 on Effective implementation of SOLAS chapter XI-2 and the ISPS Code.

5. Has the Contracting Government nominated a point of contact for ships to request assistance or report security concerns? If yes, provide the name and contact details. (SOLAS regulation XI-2/7.2)

6. Have officers been duly authorized to exercise control and compliance measures on security grounds and has guidance been issued to them? (SOLAS regulation XI-2/9)

7. Has guidance been issued to companies and ships on the provision of information to other Contracting Governments when applying control and compliance measures, including the records to be retained by the ship in respect of the last ten calls at port facilities? (SOLAS regulation XI-2/9)

8. Has the Contracting Government concluded in writing bilateral or multilateral agreements with other Contracting Governments on alternative security agreements? (SOLAS regulation XI-2/11.1)

9. Has the Administration allowed a ship or group of ships to implement equivalent security arrangements? (SOLAS regulation XI-2/12.1)

10. Who has the responsibility for notifying and updating the IMO with information in accordance with SOLAS regulation XI-2/13? (SOLAS regulation XI-2/13)

Ship Security Assessment (SSA)

1. Who conducts SSAs? (ISPS Code, sections A/8.2 and 8.3)

2. Has national guidance been developed to assist with the completion of the on-scene security survey? (ISPS Code, section A/8.4)

Ship Security Plans (SSPs)

1. Who approves SSPs? (ISPS Code, sections A/9.1 and 9.2)

2. How are Company and Ship Security Officers designated? (ISPS Code, sections A/11.1 and A/12.1)

3. What are the minimum training requirements that have been set by the Administration for CSOs and SSOs? (ISPS Code, sections A/13.1 and A/13.2)

4. Has guidance been issued on the development and approval of SSPs (ISPS Code, sections A/9.2 and 9.4)

5. Are procedures in place to protect SSPs from unauthorized access? (ISPS Code, section A/9.7)

6. What procedures are in place for approval and subsequent amendments of the SSPs? (ISPS Code, sections A/9.5 and 9.5.1)

7. Do SSPs contain a clear statement emphasizing the master’s authority? (ISPS Code, section A/6.1)

8. Is the original or a translation of the SSP available in English, French or Spanish? (ISPS Code, section A/9.4)

9. Who verifies SSPs? (ISPS Code, section A/19.1.2)

10. Has the Administration specified the periods when renewal, intermediate and additional verifications shall be carried out? (ISPS Code, section A/19.1.1)

11. Who issues the International Ship Security Certificate (ISSC)? (ISPS Code, section A/19.2.2)

12. Has the Administration specified the period of validity of ISSCs? (ISPS Code, section A/19.3.1)

13. Does the Administration have procedures in place for the issue of Interim ISSCs? (ISPS Code, section A/19.4)

14. Has the Administration specified the minimum period for which records of activities addressed in the SSP shall be kept on board? (ISPS Code, section A/10.1)

Security Levels

1. Who is the authority responsible for setting the security level for ships? (SOLAS regulation XI-2/3.1)

2. What are the procedures for communicating security levels to ships by the responsible authority? (SOLAS regulation XI-2/3.1)

3. Have procedures been notified for a ship to comply with the security level set by the Contracting Government for a port facility whose security level is higher than set for the ship by the Administration? (SOLAS regulations XI-2/4.3 and XI-2/4.4)

4. Are procedures in place to provide advice to ships in cases where a risk of attack has been identified? (SOLAS regulation XI-2/7.3)

Declaration of Security

1. What procedures are used to determine when a Declaration of Security is required? (ISPS Code, section A/5.1)

2. What is the minimum time frame that a Declaration of Security is required to be retained? (ISPS Code, section A/5.7)

Delegation of Tasks and Duties

1. What tasks and duties, if any, have the Administration delegated to Recognized Security Organizations (RSOs)? (ISPS Code, section A/4.3)

2. To whom have these tasks and duties been delegated? Based on what criteria and under what conditions has the status of RSO been granted by the Administration to those organizations? What oversight procedures are in place? (SOLAS regulation XI-2/13.2)

3. What procedures are in place to ensure that the RSO undertaking the review and approval process for an SSP was not involved in the preparation of the SSA or SSP? (ISPS Code, section A/9.2.1)

APPENDIX 2

VOLUNTARY SELF-ASSESSMENT TOOL FOR SHIP SECURITY

This Voluntary self-assessment tool for ship security (Voluntary self-assessment tool) can be used to examine the status of implementation SOLAS chapter XI-2 and the ISPS Code on ships.

This Voluntary self-assessment tool will help to identify any aspects of SOLAS chapter XI-2 and the ISPS Code that the ship security officer (SSO), company security officer (CSO) or Administration can address to enhance the SOLAS chapter XI-2 and ISPS Code implementation process.

SOLAS regulations XI-2/4, XI-2/5 and XI-2/6 and ISPS Code, section A/7.2 establish mandatory requirements for the ISPS Code implementation for ships. Therefore, the heading of each subsection is taken directly from ISPS Code, section A/7.2.

When using this Voluntary self-assessment tool, the person conducting the voluntary self-assessment should consider SOLAS chapter XI-2, ISPS Code part A and part B, as applicable in accordance with national legislation, and the related guidance[2] developed by the Organization.

The following section should be completed prior to completing the tool. It can be used by the CSO, SSO, recognized security organization (RSO) or others and will help to establish an overview of the security of the ship(s) the person completing the tool has responsibility for.

1 Company and Ship Overview:

Name of Administration	
Name of company	
Name of ship	
IMO Ship identification number	
Name of CSO	
Name of SSO	
Number of ships operated by the company	
Number of ships for which the CSO is responsible	

1.1 Manning of the ship:

1.1.1 Total manning of the ship and security tasks fulfilled on board at the time of this assessment

Total number of crew members	
Number of crew with security duties	

[2] The related material, as on the date of issue of this circular, is listed in the appendix to the annex to MSC/Circ.1194 on Effective implementation of SOLAS chapter XI-2 and the ISPS Code.

1.1.2 In the last 12 months:

Number of crew members assigned on first time to the ship	
Number of different SSOs	
Number of changes in the security level	
Number of security incidents	
Number of breaches of security	

1.2 Security agreements and arrangements

Is the ship operating between port facilities covered by an alternative security agreement? (SOLAS regulation XI-2/11 and ISPS Code, paragraph B/4.26) If "Yes", provide relevant details.	
Has the ship implemented any equivalent security arrangements allowed by the Administration? (SOLAS regulation XI-2/12.2). If "Yes", provide relevant details.	
Is the ship operating under any temporary security measures? If "Yes", have these been approved or authorized by the Administration? If "Yes", provide relevant details. (SOLAS regulation XI-2/8.2 and MSC/Circ.1097, paragraphs 12 to 16)	

Guidance for using the Voluntary self-assessment tool:

- *Not all of the questions on the Voluntary self-assessment tool apply, or are relevant, to all types or sizes of ships. Some of these apply only in relation to specific types of ships. In such cases, the non-applicability of the particular question should be recorded in the 'Comments' box.*

- *When completing the Voluntary self-assessment tool, the 'Comments' box provides space for amplification where the 'Other' option is selected. However, experience has shown that it is also helpful to use 'Comments' box in cases where a 'No' answer has been recorded, thus giving an explanation of why not and details of any measures or procedures in place. Suggested actions should be recorded in the 'Recommendations' section of the Voluntary self-assessment-tool.*

- *For the questions which have multiple options (i.e. questions 2.3, 2.5, 4.5, 4.6, 4.7, 5.4, 5.9, 6.1, 6.5, 6.6, 8.1, 8.7, 9.4, 9.6 and 9.7), the 'Yes/No/Other' tick boxes should be replaced by a single column of boxes, which should be ticked as appropriate. This will be of benefit in cases where a 'No' answer may erroneously be taken as indicative of a non-compliance. Further explanation of any measures and procedures in place should be given in the 'Comments' box and any suggested actions should be recorded in the 'Recommendations' section of the Voluntary self-assessment tool.*

- *Ensure that one of the boxes is ticked for each question.*

- *If you ticked 'Yes', but the measures/procedures are not documented in the SSP, please enter a short description of them in the 'Comments' box.*

- *If you tick the 'No' response against Part A questions, please describe the reason in the 'Comments' box.*

- *If you ticked 'Other' against Part B questions, please enter a short description in the comment box. 'Other' could include instances where alternative agreements or equivalent arrangements have been implemented.*

- *Please tick 'Other' if the question is not applicable and add 'n/a' in the 'Comments' box.*

- *If alternative measures/procedures from those listed in the ISPS Code are used, please enter a short description in the 'Comments' box.*

- *If work to implement the measures outlined in Part B or any alternative solutions is still in progress, a work schedule should be entered into the 'Comments' box.*

- *If there is not enough space in the comment box, assessors should continue the answer on a separate page. The relevant question number should be added in these circumstances as a reference aid.*

- *'Recommendation' boxes should be used to record any identified deficiencies and how these could be mitigated.*

- *The 'Outcome of Voluntary Self-Assessment' box should be used to provide a brief record of the assessment process, and along with the comments in the 'Recommendation' boxes, form the basis for future security planning. A schedule for the implementation of recommendations should be included.*

1. Ensuring the performance of all ship security duties (ISPS Code, sections A/7.2.1, A/7.3 and A/9.4)

Part A	Yes	No	Other
.1 Does the ship's means of ensuring the performance of all security duties meet the requirements set out in the SSP for security levels 1 and 2? (ISPS Code, section A/7.2.1)	□	□	□
Comments:			
.2 Has the ship established measures to prevent weapons, dangerous substances and devices intended for use against persons, ships or ports and the carriage of which is not authorized from being taken on board the ship? (ISPS Code, section A/9.4.1)	□	□	□
Comments:			
.3 Has the ship established procedures for responding to security threats or breaches of security, including provisions for maintaining critical operations of the ship or ship/port interface? (ISPS Code, section A/9.4.4)	□	□	□
Comments:			
.4 Has the ship established procedures for responding to any security instructions Contracting governments may give at security level 3? (ISPS Code, section A/9.4.5)	□	□	□
Comments:			
.5 Has the ship established procedures for evacuation in case of security threats or breaches of security? (ISPS Code, section A/9.4.6)	□	□	□
Comments:			
.6 Have the duties of shipboard personnel assigned security responsibilities and other shipboard personnel on security aspects been specified? (ISPS Code, section A/9.4.7)	□	□	□
Comments:			
.7 Have procedures been established for auditing the security activities of the ship? (ISPS Code, section A/9.4.8)	□	□	□
Comments:			

.8 Has the ship established procedures for interfacing with port facility security activities? (ISPS Code, section A/9.4.10)	□	□	□
Comments:			

.9 Have procedures been established for the periodic review of the ship security plan and for its updating? (ISPS Code, section A/9.4.11)	□	□	□
Comments:			

.10 Has the ship established procedures for reporting security incidents? (ISPS Code, section A/9.4.12)	□	□	□
Comments:			

Part B – Organization and performance of ship security duties (ISPS Code, paragraphs B/9.2 and B/9.7)

.11 Has the ship implemented the organizational structure of security for the ships detailed in the SSP? (ISPS Code, paragraph B/9.2.1)	□	□	□
Comments:			

.12 Has the ship established the relationships with the Company, port facilities, other ships and relevant authorities with security responsibilities detailed in the SSP? (ISPS Code, paragraph B/9.2.2)	□	□	□
Comments:			

.13 Has the ship established the communication systems to allow effective continuous communication within the ship and between the ship and others, including port facilities, detailed in the SSP? (ISPS Code, paragraph B/9.2.3)	□	□	□
Comments:			

.14 Has the ship implemented the basic security measures for security level 1, both operational and physical, that will always been in place, detailed in the SSP? (ISPS Code, paragraph B/9.2.4)	□	□	□
Comments:			

.15 Has the ship implemented the additional security measures that will allow the ship to progress without delay to security level 2 and, when necessary, to security level 3 detailed in the SSP? (ISPS Code, paragraph B/9.2.5)	□	□	□
Comments:			

.16 Has the ship established procedures for regular review, or audit, of the SSP and for its amendment in response to experience or changing circumstances? (ISPS Code, paragraph B/9.2.6)	□	□	□
Comments:			

.17 Has the ship established reporting procedures to the appropriate Contracting Government's contact points? (ISPS Code, paragraph B/9.2.7)	□	□	□
Comments:			

.18 Has the ship established the duties and responsibilities of all shipboard personnel with a security role? (ISPS Code, paragraph B/9.7.1)	□	□	□
Comments:			

.19 Has the ship established the procedures or safeguards necessary to allow continuous communications to be maintained at all times? (ISPS Code, paragraph B/9.7.2)	□	□	□
Comments:			

.20 Has the ship established the procedures needed to assess the continuing effectiveness of security procedures and any security and surveillance equipment and systems, including procedures for identifying and responding to equipment or systems failure or malfunction? (ISPS Code, paragraph B/9.7.3)	□	□	□
Comments:			

.21 Has the ship established procedures and practices to protect security-sensitive information held in paper or electronic format? (ISPS Code, paragraph B/9.7.4)	□	□	□
Comments:			

.22 Has the ship established the type and maintenance requirements of security and surveillance equipment and systems, if any? (ISPS Code, paragraph B/9.7.5)	□	□	□
Comments:			

.23 Has the ship established the procedures to ensure timely submission and assessment of reports relating to possible breaches of security or security concerns? (ISPS Code, paragraph B/9.7.6)	□	□	□
Comments:			

.24 Has the ship put in place procedures to establish, maintain and update an inventory of any dangerous goods or hazardous substances carried on board, including their location? (ISPS Code, paragraph B/9.7.7)	□	□	□
Comments:			

2. Controlling access to the ship (ISPS Code, sections A/7.2.2, A/7.3 and A/9.4)

Part A	Yes	No	Other
.1 Does the ship's means of controlling access to the ship meet the requirements set out in the SSP for security levels 1 and 2? (ISPS Code, section A/7.2.2)	□	□	□
Comments:			

.2 Has the ship established measures to prevent unauthorized access? (ISPS Code, section A/9.4.3)	□	□	□
Comments:			

Part B – Access to the ship (ISPS Code, paragraphs B/9.9 to B/9.16)

.3 Has the ship established security measures covering all means of access to the ship identified in the SSA? (ISPS Code, paragraph B/9.9)			
A. Access ladders	□	□	□
B. Access gangways	□	□	□
C. Access ramps	□	□	□
D. Access doors, side scuttles, windows and ports	□	□	□
E. Mooring lines and anchor chains	□	□	□
F. Cranes and hoisting gear	□	□	□
Comments:			

.4	Has the ship identified appropriate locations where access restrictions or prohibitions should be applied for each of the security levels? (ISPS Code, paragraph B/9.10)	□	□	□
Comments:				

.5	Has the ship established for each security level the means of identification required to allow access to the ship and for individuals to remain on the ship without challenge? (ISPS Code, paragraph B/9.11)			
	A. Security level 1	□	□	□
	B. Security level 2	□	□	□
	C. Security level 3	□	□	□
Comments:				

.6	Has the ship established the frequency of application of any access controls? (ISPS Code, paragraph B/9.13)	□	□	□
Comments:				

Security level 1

.7	Has the ship established security measures to check the identity of all persons seeking to board the ship and confirming their reasons for doing so? (ISPS Code, paragraph B/9.14.1)	□	□	□
Comments:				

.8	Has the ship established procedures to liaise with the port facility to ensure that designated secure areas are established in which inspections and searching of persons, baggage (including carry-on items), personal effects, vehicles and their contents can take place? (ISPS Code, paragraph B/9.14.2)	□	□	□
Comments:				

.9	Has the ship identified access points that should be secured or attended to prevent unauthorized access? (ISPS Code, paragraph B/9.14.6)	□	□	□
Comments:				

.10 Has the ship established security measures to secure, by locking or other means, access to unattended spaces, adjoining areas to which passengers and visitors have access? (ISPS Code, paragraph B/9.14.7)	□	□	□
Comments:			

.11 Has the ship provided security briefings to all ship personnel on possible threats, the procedures for reporting suspicious persons, objects or activities and the need for vigilance? (ISPS Code, paragraph B/9.14.8)	□	□	□
Comments:			

.12 Has the ship established the frequency of searches, including random searches, of all those seeking to board the ship? (ISPS Code, paragraph B/9.15)	□	□	□
Comments:			

Security level 2

.13 Has the ship limited the number of access points to the ship, identifying those to be closed and the means for adequately securing them? (ISPS Code, paragraph B/9.16.2)	□	□	□
Comments:			

.14 Has the ship established a restricted area on the shore side of the ship, in close co-operation with the port facility? (ISPS Code, paragraph B/9.16.4)	□	□	□
Comments:			

.15 Has the ship arrangements to escort visitors on the ship? (ISPS Code, paragraph B/9.16.6)	□	□	□
Comments:			

.16 Has the ship provided additional specific security briefings to all ship personnel on any identified threats, re-emphasizing the procedures for reporting suspicious persons, objects, or activities and stressing the need for increased vigilance? (ISPS Code, paragraph B/9.16.7)	□	□	□
Comments:			

.17 Has the ship established procedures for carrying out a full or partial search of the ship? (ISPS Code, paragraph B/9.16.8)	□	□	□
Comments:			

3. Controlling the embarkation of persons and their effects (ISPS Code, sections A/7.2.3 and A/7.3)

Part A	Yes	No	Other
.1 Does the ship's measures for controlling the embarkation of persons and their effects meet the requirements set out in the SSP for security levels 1 and 2? (ISPS Code, section A/7.2.3)	□	□	□
Comments:			

Part B – Access to the ship (ISPS Code, paragraphs B/9.9 to B/9.16)

Security level 1

.2 Has the ship established procedures to liaise with the port facility to ensure that vehicles destined to be loaded onboard car carriers, ro-ro and other passenger ships are subjected to search prior to loading? (ISPS Code, paragraph B/9.14.3)	□	□	□
Comments:			

.3 Has the ship established security measures to segregate checked persons and their personal effects from unchecked persons and their personal effects? (ISPS Code, paragraph B/9.14.4)	□	□	□
Comments:			

.4 Has the ship established security measures to segregate embarking from disembarking passengers? (ISPS Code, paragraph B/9.14.5)	□	□	□
Comments:			

Security level 2

.5 Has the ship increased the frequency and detail of searches of persons, personal effects, and vehicles being embarked or loaded onto the ship? (ISPS Code, paragraph B/9.16.5)	□	□	□
Comments:			

Part B – Handling unaccompanied baggage (ISPS Code, paragraphs B/9.38 to B/9.40)

.6 Has the ship established security measures to be applied to ensure that unaccompanied baggage is identified and subject to appropriate screening, including searching, before it is accepted on board? (ISPS Code, paragraph B/9.38)	□	□	□
Comments:			

Security level 1

.7 Has the ship established security measures to be applied when handling unaccompanied baggage to ensure that unaccompanied baggage is screened or searched up to and including 100%, which may include use of x-ray screening? (ISPS Code, paragraph B/9.39)	□	□	□
Comments:			

Security level 2

.8 Has the ship established additional security measures to be applied when handling unaccompanied baggage, which should include 100% x-ray screening of all unaccompanied baggage? (ISPS Code, paragraph B/9.40)	□	□	□
Comments:			

4. Monitoring of restricted areas (ISPS Code, sections A/7.2.4, A/7.3 and A/9.4.2)

Part A	Yes	No	Other
.1 Does the ship's measures for monitoring access to restricted areas, to ensure that only authorized persons have access, meet the requirements set out in the SSP for security levels 1 and 2? (ISPS Code, sections A/7.2.4 and A/7.3)	□	□	□
Comments:			

.2 Have restricted areas been identified and measures put in place to prevent unauthorized access to them? (ISPS Code, section A/9.4.2)	□	□	□
Comments:			

Part B – Restricted areas on the ship (ISPS Code, paragraphs B/9.18 to B/9.23)

.3 Has the ship clearly established policies and practices to control access to all restricted areas? (ISPS Code, paragraph B/9.19)	□	□	□
Comments:			

.4 Has the ship clearly marked all restricted areas, indicating that access to the area is restricted and that unauthorized presence in the area constitutes a breach of security? (ISPS Code, paragraph B/9.20)	□	□	□
Comments:			

.5 Which of the following have been identified as restricted areas? (ISPS Code, paragraph B/9.21)			
A. Navigation bridge, machinery spaces of category A and other control stations	□	□	□
B. Spaces containing security and surveillance equipment and systems and their controls and lighting system controls	□	□	□
C. Ventilation and air-conditioning systems and other similar spaces	□	□	□
D. Spaces with access to potable water tanks, pumps and manifolds	□	□	□
E. Spaces containing dangerous goods or hazardous substances	□	□	□
F. Spaces containing cargo pumps and their controls	□	□	□
G. Cargo spaces and spaces containing ship's stores	□	□	□
H. Crew accommodation	□	□	□
I. Any other areas	□	□	□
Comments:			

Security level 1

.6 Which of the following security measures have be applied to restricted areas on the ship? (ISPS Code, paragraph B/9.22)			
A. Locking or securing access points	□	□	□
B. Using surveillance equipment to monitor the areas	□	□	□
C. Using guards or patrols	□	□	□
D. Using automatic intrusion-detection devices to alert the ship's personnel of unauthorized access	□	□	□
Comments:			

Security level 2

.7	Which of the following additional security measures have be applied to restricted areas on the ship? (ISPS Code, paragraph B/9.23)			
	A. Establishing restricted areas adjacent to access points	□	□	□
	B. Continuously monitoring surveillance equipment	□	□	□
	C. Dedicating additional personnel to guard and patrol restricted areas	□	□	□
Comments:				

5. Monitoring of deck areas and areas surrounding the ship (ISPS Code, sections A/7.2.5 and A/7.3)

Part A		Yes	No	Other
.1	Does the ship's means of monitoring deck areas and areas surrounding the ship meet the requirements identified in the SSP for security levels 1 and 2? (ISPS Code, section A/7.2.5)	□	□	□
Comments:				

Part B – Access to the ship (ISPS Code, paragraph B/9.16)

Security level 2

.2	Has the ship assigned additional personnel to patrol deck areas during silent hours to deter unauthorized access? (ISPS Code, paragraph B/9.16.1)	□	□	□
Comments:				

.3	Has the ship established security measures to deter waterside access to the ship including, for example, in liaison with the port facility, provision of boat patrols? (ISPS Code, paragraph B/9.16.3)	□	□	□
Comments:				

Part B – Monitoring the security of the ship (ISPS Code, paragraphs B/9.42 to B/9.48)

.4	Which of the following monitoring capabilities have been established by the ship to monitor the ship, the restricted areas on board and areas surrounding the ship? (ISPS Code, paragraph B/9.42)			
	A. Lighting	□	□	□
	B. Watchkeepers, security guards and deck watches, including patrols	□	□	□
	C. Automatic intrusion-detection devices and surveillance equipment	□	□	□
Comments:				

.5 Do any automatic intrusion-detection devices on the ship activate an audible and/or visual alarm at a location that is continuously attended or monitored? (ISPS Code, paragraph B/9.43)	□	□	□
Comments:			

.6 Has the ship established the procedures and equipment needed at each security level and the means of ensuring that monitoring equipment will be able to perform continually, including consideration of the possible effects of weather conditions or power disruptions? (ISPS Code, paragraph B/9.44)	□	□	□
Comments:			

Security level 1

.7 Has the ship established the security measures to be applied, which may be a combination of lighting, watchkeepers, security guards or the use of security and surveillance equipment to allow ship's security personnel to observe the ship in general, and barriers and restricted areas in particular? (ISPS Code, paragraph B/9.45)	□	□	□
Comments:			

.8 Are the ship's deck and access points illuminated during hours of darkness and periods of low visibility while conducting ship/port interface activities or at a port facility or anchorage? (ISPS Code, paragraph B/9.46)	□	□	□
Comments:			

Security level 2

.9 Which of the following additional security measures have been established to enhance monitoring and surveillance activities? (ISPS Code, paragraph B/9.47)			
A. Increasing the frequency and detail of security patrols	□	□	□
B. Increasing the coverage and intensity of lighting or the use of security and surveillance equipment	□	□	□
C. Assigning additional personnel as security look-outs	□	□	□
D. Ensuring co-ordination with water-side boat patrols, and foot or vehicle patrols on the shore side, when provided	□	□	□
Comments:			

6. Supervising the handling of cargo and ship's stores (ISPS Code, sections A/7.2.6 and A/7.3)

Part A	Yes	No	Other
.1 Does the ship's means of supervising the handling of:			
(a) cargo	□	□	□
(b) ship's stores meet the requirements identified in the SSP at security levels 1 and 2? (ISPS Code, section A/7.2.6)	□	□	□
Comments:			

Part B – Handling of cargo (ISPS Code, paragraphs B/9.25 to B/9.31)

Security level 1

.2 Are measures employed to routinely check the integrity of cargo, including the checking of seals, during cargo handling? (ISPS Code, paragraphs B/9.27.1 and B/9.27.4)	□	□	□
Comments:			

.3 Are measures employed to routinely check cargo being loaded matches the cargo documentation? (ISPS Code, paragraph B/9.27.2)	□	□	□
Comments:			

.4 Does the ship ensure, in liaison with the port facility, that vehicles to be loaded on car carriers, ro-ro and passenger ships are searched prior to loading, in accordance with the frequency required in the SSP? (ISPS Code, paragraph B/9.27.3)	□	□	□
Comments:			

.5 Which of the following security measures are employed during cargo checking? (ISPS Code, paragraph B/9.28)			
A. Visual examination	□	□	□
B. Physical examination	□	□	□
C. Scanning or detection equipment	□	□	□
D. Other mechanical devices	□	□	□
E. Dogs	□	□	□
Comments:			

Security level 2

.6	Which of the following additional security measures are applied during cargo handling? (ISPS Code, paragraph B/9.30)			
	A. Detailed checking of cargo, cargo transport units and cargo spaces	□	□	□
	B. Intensified checks to ensure that only the intended cargo is loaded	□	□	□
	C. Intensified searching of vehicles	□	□	□
	D. Increased frequency and detail in checking of seals or other methods used to prevent tampering	□	□	□
Comments:				

Part B – Delivery of ship's stores (ISPS Code, paragraphs B/9.33 to B/9.36)

.7	Has the ship established security measures to ensure stores being delivered match the order, prior to being loaded on board and to ensure their immediate secure stowage at security level 1? (ISPS Code, paragraph B/9.35)	□	□	□
Comments:				

.8	Has the ship established additional security measures at security level 2 by exercising checks prior to receiving stores on board and intensifying inspections? (ISPS Code, paragraph B/9.36)	□	□	□
Comments				

7. Ensuring security communication is readily available (ISPS Code, sections A/7.2.7, A/7.3 and A/9.4)

Part A		Yes	No	Other
.1	Do the ship's communication equipment and procedures meet the requirements identified in the SSP at security levels 1 and 2? (ISPS Code, section A/7.2.7)	□	□	□
Comments:				

.2	Has the ship security officer been identified? (ISPS Code, section A/9.4.13)	□	□	□
Comments:				

.3	Has the company security officer been identified and 24 hour contact details been provided? (ISPS Code, section A/9.4.14)	□	□	□
Comments:				

.4 Has the ship established procedures to ensure the inspection, testing, calibration and maintenance of any security equipment provided on board? (ISPS Code, section A/9.4.15)	□	□	□
Comments:'			

.5 Has the frequency for testing or calibration of any security equipment provided on board been specified? (ISPS Code, section A/9.4.16)	□	□	□
Comments:			

.6 Have the locations on the ship where the ship security alert system activation points are provided been identified? (ISPS Code, section A/9.4.17)	□	□	□
Comments:			

.7 Have procedures, instructions and guidance been established and communicated on the use of the ship security alert system, including the testing, activation, deactivation and resetting and to limit false alerts? (ISPS Code, section A/9.4.18)	□	□	□
Comments:			

8. Training, Drills and Exercises (ISPS Code, section A/13)

Part A	Yes	No	Other
.1 Have the:			
(a) CSO and appropriate shore-based personnel security personnel	□	□	□
(b) SSO received sufficient training to perform their assigned duties? (ISPS Code, sections A/13.1 and A/13.2)	□	□	□
Comments:			

.2 Do shipboard personnel having specific security duties and responsibilities understand their responsibilities for ship security and have sufficient knowledge and ability to perform their assigned duties? (ISPS Code, section A/13.3)	□	□	□
Comments:			

.3 Has the company and ship implemented drills and participated in exercises? (ISPS Code, sections A/13.4 and A/13.5)	□	□	□
Comments:			

.4	Has the ship established procedures for training, drills and exercises associated with the ship security plan? (ISPS Code, section A/9.4.9)	□	□	□
Comments:				

Part B – Training, drills, and exercises on ship security (ISPS Code, paragraphs B/13.1 to B/13.8)

.5	Have the CSO, appropriate shore-based Company personnel and the SSO received the appropriate levels of training? (ISPS Code, paragraphs B/13.1, B/13.2)	□	□	□
Comments:				

.6	Do shipboard personnel with security responsibilities have sufficient knowledge and ability to perform their duties? (ISPS Code, paragraph B/13.3)	□	□	□
Comments:				

.7	Are security drills conducted:			
	(a) at least every three months?	□	□	□
	(b) in cases where more than 25% of the ship's personnel has been changed, at any one time, with personnel that have not previously participated in any drill on that ship within the last three months? (ISPS Code, paragraph B/13.6)	□	□	□
	(c) to test individual elements of the ship security plan such as those security threats listed in ISPS Code, paragraph B/8.9? (ISPS Code, paragraph B/13.6)	□	□	□
Comments:				

9. Miscellaneous

Part A		Yes	No	Other
.1	Have different RSOs undertaken (a) the preparation of the SSA and SSP and (b) the review and approval of the SSP? (ISPS Code, section A/9.2.1)	□	□	□
Comments:				

.2	Has the Master a contact point in the Administration to seek consent for the inspection of those provisions in the SSP that are considered confidential information, when access to them is requested by a duly authorized officer of another Contracting Government? (ISPS Code, section A/9.8.1)	□	□	□
Comments:				

.3 Has the ship established procedures to protect from unauthorized access or disclosure the records of activities addressed in the SSP which are required to be kept on board? (ISPS Code, section A/10.4)	□	□	□
Comments:			

.4 In which of the following circumstances does the ship request completion of a Declaration of Security (DoS)? (ISPS Code, section A/5.2)			
A. When the ship is operating at a higher security level than the port facility or another ship it is interfacing with	□	□	□
B. The ship is covered by an agreement on a DoS between Contracting Governments	□	□	□
C. When there has been a security threat or a security incident involving the ship or port facility it is calling at	□	□	□
D. When the ship is at a port which is not required to have and implement an approved port facility security plan	□	□	□
E. When the ship is conducting ship-to-ship activities with another ship not required to have and implement an approved SSP	□	□	□
Comments:			

.5 Does the CSO or SSO periodically review the SSA for accuracy as part of the SSP review process? (ISPS Code, section A/10.1.7)	□	□	□
Comments:			

.6 Does the ship adequately maintain the required security records and are they sufficiently detailed to allow the CSO and SSO to identify areas for improvement or change in the current security procedures and measures? (ISPS Code, section A/10.1)			
A. Training, drills and exercises (ISPS Code, section A/10.1.1)	□	□	□
B. Security threats and security incidents (ISPS Code, section A/10.1.2)	□	□	□
C. Breaches of security (ISPS Code, section A/10.1.3)	□	□	□
D. Periodic review of the SSP (ISPS Code, section A/10.1.8)	□	□	□
Comments:			

.7 Is the ship adequately manned and its complement includes the grades/capacities and number of persons required for the safe operation and the security of the ship and for the protection of the marine environment (IMO Assembly resolution A.890(21) as amended by Assembly resolution A.955(23), SOLAS regulation V/14.1 and ISPS Code, paragraph B/4.28)			
A. When the ship is operating at security level 1	□	□	□
B. When the ship is operating at security level 2	□	□	□
Comments:			

Part B – Miscellaneous

.8 Has the ship established procedures on handling requests for a Declaration of Security from a port facility? (ISPS Code, paragraph B/9.52)	□	□	□
Comments:			

.9 Have procedures been established in the SSP as to how the CSO and SSO intend to audit the continued effectiveness of the SSP and to review, update or amend the SSP? (ISPS Code, paragraph B/9.53)	□	□	□
Comments:			

.10 Has the ship established additional security procedures to be implemented when calling into a port facility which is not required to comply with the requirements of SOLAS chapter XI-2 and the ISPS Code? (ISPS Code, paragraph B/4.20)	□	□	□
Comments:			

Recommendations

This section should be used to record any deficiencies identified by the voluntary self-assessment and how these could be mitigated. In essence this will provide an action plan for the CSO and/or SSO.

Recommendations/For Action: Section 1: Ensuring the performance of all ship security duties.

Recommendations/For Action: Section 2: Controlling access to the ship.

Recommendations/For Action: Section 3: Controlling the embarkation of persons and their effects.

Recommendations/For Action: Section 4: Monitoring of restricted areas.

Recommendations/For Action: Section 5: Monitoring of deck areas and areas surrounding the ship.

Recommendations/For Action: Section 6: Supervising the handling of cargo and ship's stores.

Recommendations/For Action: Section 7: Ensuring security communication is readily available.

Recommendations/For Action: Section 8: Training, drills and exercises.

Recommendations/For Action: Section 9: Miscellaneous.

OUTCOME OF VOLUNTARY SELF-ASSESSMENT This section should be used to record the findings of the voluntary self-assessment and any other issues arising. These findings could be raised with ship or company personnel or be used as the basis to seek guidance from the Administration, as appropriate.

Signature of assessor	Date of completion