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RULES FOR THE AUDIT AND REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS

Chapter 1 GENERAL PROVISIONS

1.1 General

1.1.1 Application

1 NIPPON KAIJI KYOKAI (hereinafter referred to as “the Society”) is to audit and register the ship security management system in accordance with the provisions in the Rules for the Audit and Registration of Ship Security Management Systems (hereinafter referred to as “the Rules”) based on the application submitted by the Company.

2 The Rules apply to the ship security management system for ships other than Japanese flag vessels which are engaged in international voyages (including mobile offshore drilling units).

1.1.2 Equivalency*

When a ship security management system is considered by the Society to be equivalent in its effects to one complying with the requirements of the Rules, the said ship security management system may be deemed to comply with the Rules.

1.1.3 Definitions*

For the purposes of the Rules, the following definitions apply unless otherwise provided for:

- (1) *SOLAS* means the *International Convention for the Safety of Life at Sea, 1974 as amended*.
- (2) *ISPS Code* means the International Code for the Security for Ships and Port Facilities adopted on 12 December 2002, by Resolution 2 of the Conference of Contracting Governments to *SOLAS*.
- (3) Ship security requirements which are deemed necessary by the Society refer to the following:
 - (a) Regulation 4, 5 and 8, Chapter XI-2 of *SOLAS*
 - (b) Section 5 through 13 of the *ISPS Code Part A*
 - (c) Section 8 through 13 of the *ISPS Code Part B*
- (4) “Ship security management system” means a system built up to ensure the effective implementation and maintenance of the ship security plan.
- (5) “Ship security plan” means a documented plan developed to ensure the application of measures on board the ship designed to protect persons on board, cargo, cargo transport units, ship’s stores or the ship from the risks of a security incident.
- (6) “Ship security officer” means the person on board the ship, accountable to the master, designated by the Company as responsible for the security of the ship, including implementation and maintenance of the ship security plan and for liaising with the company security officer and port facility security officers.
- (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; that a ship security plan is developed, submitted for approval, and thereafter implemented and maintained; and for liaising with port facility security officers and the ship security officer.
- (8) “Company” means one of the following entities as defined in Regulation 1, Chapter IX of *SOLAS* that manages the ship of which the ship security management system is under the application in 1.1.1.
 - (a) An independent organization or an individual who is responsible for the operation, maintenance, manning, etc. of the ship based on a management contract or a bareboat charter party contract with the ship-owner.
 - (b) A ship-owner or an operator who has a ship management section as a part of their organization and, in such case, the section (or sections) is (are) in charge of the activities covering the overall management of ship operation, maintenance and manning. However, an organization which performs only a portion of these activities does not correspond to the definition of a Company.
 - (c) A ship operator, ship manager, bareboat charterer, or any other organization or person who has assumed the responsibility

for operation of the ship from the ship-owner and who on assuming such responsibility has agreed to take over all duties and responsibilities imposed by the requirements in Chapter IX of *SOLAS*.

- (9) "Certificate" refers to the International Ship Security Certificate (hereinafter referred to as "ISSC") or the Interim International Ship Security Certificate (hereinafter referred to as "Interim ISSC").
- (10) "Periodical Audit" means the Renewal Audit or the Intermediate Audit specified in 3.4.
- (11) "Anniversary date" means the yearly date corresponding to the expiry date of the period of validity of ISSC, which excludes the expiry date of the period of validity of the certificate.
- (12) "Document of Compliance" (DOC) means the document used in Regulation 4, Chapter IX of *SOLAS*.

Chapter 2 REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS

2.1 Registration of Security Management Systems*

1 The Society is to carry out audits on the ship security management system under the application in **1.1.1** in accordance with the provision of **Chapter 3 of the Rules**, and register the ship security management system in the Ship Security Management System Register Book when the ship security management system has been found to satisfy the ship security requirements which are deemed necessary by the Society (hereinafter referred to as “ISPS Registration”).

2 The Society is to enter the necessary information (e.g. the name of ships) in the Ship Security Management System Register Book.

3 The Society is to revise the entries in the Ship Security Management System Register Book whenever the content of any registered item(s) is/are changed.

4 The Society is to enter the registered items prescribed in **-2** above in the “REGISTER OF SHIP SECURITY MANAGEMENT SYSTEMS” and make it public.

5 The Company is to notify the Society if any change is made to any of the items listed as entries in the “REGISTER OF SHIP SECURITY MANAGEMENT SYSTEMS” in a prompt and timely manner.

2.2 Maintenance of ISPS Registration

1 The Company is to undergo Periodical Audits and Additional Audits in accordance with the provisions of **3.4** and **3.5** in order to maintain ISPS Registration.

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

2.3.1 Issuance of Certificates

1 The Society is to issue the certificate to the ISPS-registered ship under the authority given by the flag state government.

2 The Society is to issue an Interim ISSC at the Additional Audit specified in **3.5-1(1)**.

3 The Society is to issue an ISSC at the Initial Audit, the Renewal Audit or, when an Interim ISSC has been issued, at a time within the period of validity of the Interim ISSC.

2.3.2 Validity of Certificates

1 The validity of an ISSC is to be in accordance with the following:

(1) The validity is to be five years from the date of completion of the Initial Audit prescribed in **3.3** or the Renewal Audit prescribed in **3.4.1**.

(2) Notwithstanding the requirements in **-1(1)** above, when the Renewal Audit is completed within three months before the expiry date of the existing ISSC, the new ISSC is to be valid from the date of completion of the Renewal Audit to five years from the date of expiry of the existing ISSC.

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

2.3.3 Extension of Validity of Certificates

1 The validity of an ISSC may be extended for a period not exceeding three months where a ship at the time when the ISSC expires is not in a port in which it is to be audited, but this extension is to be granted only for the purpose of allowing the ship to complete its voyage to the port in which it is audited, and then only in cases where it appears proper and reasonable to do so.

2 If the Renewal Audit has been completed and the new ISSC cannot be issued or placed on board the ship before the expiry date of the existing ISSC, the existing ISSC may be accepted as valid for a further period not exceeding five months from the expiry date.

3 The validity of an Interim ISSC is not to be extended.

2.3.4 Invalidation of Certificates

A certificate is to become invalid when any of the following (1) through (7) is applicable:

- (1) when the Periodical Audit or the Additional Audit prescribed in 3.4 or 3.5 respectively is not undergone;
- (2) when the improvement required at an audit has not been completed within the specified period;
- (3) when the ship security management system is changed without the Society's approval, except the case of which the audit prescribed in 3.5-1(2)(b) is not required;
- (4) when audit fees or expenses have not been paid by the Company;
- (5) when the Company assumes the responsibility for the operation of a ship not previously operated by that Company;
- (6) when the ship's flag has been changed; or
- (7) for an Interim ISSC, when the ISSC is issued by the Society.

2.4 Retention, Re-issuance, Revision or Returning of Certificates

2.4.1 Retention of Certificates

The certificate is to be retained on board the ship. Further, the Company is to retain a copy of the certificate and present it upon the Society's request.

2.4.2 Re-issuance of Certificates

When the certificate has been lost or damaged, the Company is to submit a request to the Society without delay to reissue the relevant certificate.

2.4.3 Revising Entries in Certificates

The Company is to submit a request to the Society without delay to rewrite and reissue the certificate whenever there is a change in the content of the same.

2.4.4 Returning Documents and Certificates

The Company is to immediately return the certificate to the Society whenever any of the following (1) through (4) become applicable:

- (1) when an ISSC is issued in accordance with 2.3.1;
- (2) when the certificate is reissued (except in case of replacement of a lost certificate) in accordance with 2.4.2 or 2.4.3 above;
- (3) when the ISPS registration has been withdrawn in accordance with 2.5; or
- (4) when a lost certificate has been found after re-issuance (the former certificate is to be returned).

2.5 Termination of ISPS Registration*

The Society is to withdraw the ISPS registration and notify the Company of such termination whenever any of the following (1) through (3) becomes applicable:

- (1) when an application to cancel the ISPS registration is received from the Company;
- (2) when the Company has quitted the ship's management; or
- (3) when the certificate becomes invalidated under the provisions of 2.3.4(1) through (4), except in the case where the certificate of the ships laid-up becomes invalidated when the Periodical Audit or Additional Audit specified in 3.4 and 3.5 is not undergone.

Chapter 3 AUDIT OF SECURITY MANAGEMENT SYSTEMS

3.1 Conduct and Preparation of Audit*

1 The audit is to be carried out at the request of the Company by marine management systems auditors of the Society (hereinafter referred to as the “auditor”) who has been properly qualified and assigned under the requirements provided separately.

2 The company whose ship is to undergo an audit is to make necessary preparations based on the audit plan forwarded to the Company by the Society and the instructions given by the auditor, if any. This includes ensuring that all documents, records, etc. relevant to the ship security management system is made available to the auditor to carry out the audit.

3 When undergoing an audit, the Company is to assign a person who is fully conversant with audit procedures and capable of conducting the preparation of the audit, and to give assistance when the auditor requests.

4 The audit may be suspended in cases where the Company fails to make necessary preparations for the audit or does not dispatch the person to attend the audit, or when the auditor considers that it is difficult to continue the smooth execution of the audit.

3.2 Types of Audit

The Audit consists of the following types:

- (1) Initial Audit
- (2) Periodical Audit
 - (a) Renewal Audit
 - (b) Intermediate Audit
- (3) Additional Audit

3.3 Initial Audit

3.3.1 General

1 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.

2 The society is to examine the documents prescribed in **3.3.2-1** at the Initial Audit (hereinafter referred to as “document review”). The Society is then to carry out the audit to ensure that the ship security management system is being implemented effectively onboard the ship (hereinafter referred to as “shipboard audit”).

3.3.2 Documents to be Submitted*

1 The Company is to submit the following documents to the Society for review.

- (1) A copy of DOC or any other documents showing that the company is operating an effective safety management system
- (2) Ship security plan
- (3) Results of the ship security assessment
- (4) Documents otherwise specified by the Society

2 The Society, when deemed necessary, may request other documents regarding the ship security management system, in addition to those prescribed in **-1** above.

3.3.3 Document Review

1 At the document review, the Society is to approve the ship security plan where it complies with the ship security requirements deemed necessary by the Society.

2 In **-1** above, where the ship security plan does not comply with the ship security requirements deemed necessary by the Society, the Society is to require the Company to revise it appropriately.

3 The Society is to notify the Company of the result of the document review in writing.

3.3.4 Shipboard Audit*

1 The Society is to verify that the ship security management system onboard the ship fully complies with the approved ship security plan, is in satisfactory condition and fit for the service for which the ship is intended.

2 In -1 above, where the ship security management system onboard the ship is not considered to meet the requirement, the Society is to require the Company to improve it appropriately.

3 The Society is to notify the Company of the result of the shipboard audit in writing.

3.4 Periodical Audit

3.4.1 Renewal Audit*

1 The Renewal Audit is to be completed within three months before the expiry date of the existing ISSC. However, it may be carried out in advance of the due period at the request of the Company.

2 At the Renewal Audits, the Society is to verify that the ship security management system fully complies with the approved Ship Security Plan, is in satisfactory condition and fit for the service for which the ship is intended.

3.4.2 Intermediate Audit*

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.

2 At the Intermediate Audits, the Society is to verify that the ship security management system remains satisfactory for the service for which the ship is intended in accordance with the approved ship security plan.

3 The auditor is to endorse the ISSC upon completion of the Intermediate Audit.

3.5 Additional Audit*

1 The Society is to carry out the Additional Audits 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 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
- (c) when a ship's flag has been changed
- (d) when the ship which had the ISSC before lay up is about to re-entering the service after the laid-up period more than 6 months
- (e) when the ship which had the Interim ISSC before lay up is about to re-entering the service after the laid-up period more than 3 months, and the due date for Initial Audit has transpired

(2) Additional audits deemed necessary 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 the audits prescribed in -1(1) above, the Society is to verify that the ship security management system complies with the requirements specified elsewhere.

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.

3.6 Ships Laid-up*

- 1 Ships laid-up are not subject to Initial Audits specified in 3.3, Periodical Audits specified in 3.4 and Additional Audit specified in 3.5.
- 2 When the ships laid-up are about to be re-entering service, the following audits are to be carried out.
 - (1) The ships which have valid Interim ISSC before lay-up
 - (a) In the case where the lay-up period is within 3 months, any audits are not required. However, in the case where Interim ISSC has become invalid while the ship was laid-up, the Audit for Issuing an Interim ISSC is to be carried out.
 - (b) In the case where the lay-up period is more than 3 months, the Audit for Issuing an Interim ISSC is to be carried out.
 - (2) The ships which have valid ISSC before lay-up
 - (a) In the case where the lay-up period is within 6 months and the due dates for Periodical Audits has not transpired while the ship was laid-up, in principal, any audits are not required and the kind of Periodical Audit and the due date shall be kept as assigned before.
 - (b) In the case where the lay-up period is within 6 months and the due date for Periodical Audit has transpired while the ship was laid-up, in principal, the Periodical Audit whose due date has transpired is to be carried out. However, in the case where that kind of Periodical Audit is Intermediate Audit, either Intermediate Audit or Renewal Audit shall be carried out. Then, in the case where the Intermediate Audit is carried out, next audit shall be Renewal Audit and the due date shall be kept as assigned before.
 - (c) In the case where the lay-up period is more than 6 months, in principal, the Audit for Issuing an Interim ISSC is to be carried out.

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.

4.2 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.

4.3 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.

4.4 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.

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GUIDANCE FOR THE AUDIT AND REGISTRATION OF SHIP SECURITY MANAGEMENT SYSTEMS

Chapter 1 GENERAL PROVISIONS

1.1 General

1.1.2 Equivalency

1 For ships engaged on voyages in accordance with the alternative security agreement prescribed in Regulation 11, Chapter XI-2 of *SOLAS*, applicable requirements of the Rules may apply, in consideration of Section 19.3.6, *ISPS Code* Part A.

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.

1.1.3 Definitions

For the purposes of the Guidance, the following definitions apply unless otherwise provided for:

- (1) “Recognized security organization” means an organization with appropriate expertise in security matters and with appropriate knowledge of ship and port operations authorized by the flag state to carry out any activities required by Chapter XI-2 of *SOLAS* and *ISPS Code* Part A.
- (2) “Date of ISPS registration” means the date of the last day of the Initial Audit prescribed in **3.3.1-1 of the Rules**. However, when the Audit for issuing the Interim ISSC prescribed in **3.5-1(1) of the Rules** is carried out in advance of the Initial Audit, it means the date of the last day of the Audit for issuing the Interim ISSC.
- (3) “Ship security assessment” means an assessment of the risks of security incident around ships including identification of possible threats, weaknesses, existing security measures, procedures and operations, and key shipboard operations that are important to protect.
- (4) “Ship security alert system” means an alert system prescribed in Regulation 6, Chapter XI-2 of *SOLAS*.

Chapter 2 REGISTRATION OF SECURITY MANAGEMENT SYSTEMS

2.1 Registration of Security Management Systems

“Necessary information” stipulated in [2.1-2 of the Rules](#) means all of the following:

- (1) ISPS registration number
- (2) Date of ISPS registration
- (3) Name and type of the ship
- (4) Distinctive number of the ship or signal letters
- (5) Port of registry
- (6) Gross tonnage
- (7) Name and address of the company
- (8) IMO company identification number
- (9) IMO ship identification number

2.5 Termination of ISPS Registration

The ship of which ISPS registration had been withdrawn may apply for re-registration. The number of the registration is to be determined giving due consideration to the conditions under which the ISPS registration had been withdrawn.

Chapter 3 AUDIT OF SECURITY MANAGEMENT SYSTEMS

3.1 Conduct and Preparation of Audit

1 The audit of the ship security management system is to be conducted upon submission of an application specified otherwise by the Society.

2 The Society is to determine the date of the Initial Audit, Periodical Audit or Additional Audit, and notify the Company of the schedule accordingly.

3.3 Initial Audit

3.3.2 Documents to be Submitted

1 The following are to be included in the “results of the ship security assessment” prescribed in **3.3.2-1(3) of the Rules**.

- (1) A summarized procedures of the ship security assessments
- (2) Identified vulnerability
- (3) Counter measure to (2) above

2 “Documents otherwise specified by the Society” prescribed in **3.3.2-1(4) of the Rules** means the following. Items (1) and (2) may be included in the ship security plan.

- (1) The Company’s procedures and organization chart which provide duties and responsibilities of the company security officer and other shore-based personnel in relation to ship security
- (2) A document declaring 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) Information on the competence of a proxy in regards to carrying out a ship security assessment, where the assessment was carried out by a person other than the ship security officer.
- (5) The latest information on the following:
 - (a) The person responsible for marshalling the members of the crew or other persons currently employed or engaged on board the ship
 - (b) The person responsible for deciding the employment of the ship
 - (c) The charter party/parties, where the ship is employed under the terms of such a charter party/parties
- (6) A document identifying the ship

3.3.4 Shipboard Audit

1 The place and the date of the Shipboard Audit are to be determined in consultation with the Company.

2 The Shipboard Audit is to be carried out in the presence of a person appointed by the Company.

3 In the Shipboard Audit, the functions of a ship security alert system are to be confirmed to be in good order (by conducting a function test, etc.).

4 The auditor is to notify the results of the audit to the master and the person appointed by the Company upon completion of the Audit.

3.4 Periodical Audit

3.4.1 Renewal Audit

The Renewal Audit includes a confirmation of the functions of the ship security alert system prescribed in **3.3.4-3**. However, a general examination of 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

- 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 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 the Advance Intermediate Audit was completed.

3.5 Additional Audit

- 1 When requesting an Additional Audit, the Company is to describe the purpose in the application form.
- 2 “The slight change otherwise specified” in **3.5-1(2)(b) of the Rules** means the items other than the ones prescribed in Section 9.4 of the *ISPS Code* Part A.
 - 3 “The requirements specified elsewhere” prescribed in **3.5-2 of the Rules** means the following.
 - (1) The ship security assessment has been completed.
 - (2) The ship security plan has been submitted for approval prior to the audit and is being implemented on board the ship, and of which a copy is provided on board the ship.
 - (3) The ship is provided with a ship security alert system.
 - (4) The company security officer has ensured the requirement in (2) above and has made the necessary arrangements, including arrangements for drills, exercises and internal audits in order for the ship to successfully complete the Initial Audit.
 - (5) Arrangements have been made for carrying out the Initial Audit.
 - (6) The master, the ship security officer and other personnel with specific security duties are familiar with the relevant provisions of the ship security plan including their duties and responsibilities.
 - (7) The ship security officer 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.

3.6 Ships Laid-up

For the commencement of lay-up, the ship owner is required to submit the following documents to the nearest Society’s local office. However, the document specified in (1) has been submitted under the provisions of **B1.1.8, Part B, Guidance for the Survey and Construction of Steel Ships** or **5.5, Guidance for the Audit and Registration of Safety Management Systems**, the submission of the document specified (1) is not required.

- (1) Application for the Ship Laid-up
- (2) A copy of the Certificate of acceptance of lay-up written by the Authority