

GUIDE FOR

SHIP SECURITY (SEC) NOTATION MARCH 2005

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GUIDE FOR

SHIP SECURITY (SEC) NOTATION

MARCH 2005 (Updated January 2017 – see next page)

**American Bureau of Shipping
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Foreword

In the maritime world, safety and security are closely linked. Long before the tragic events of September 11, the mission of the American Bureau of Shipping was to promote the security of life, property, and the natural environment. For well over a century, ABS has devoted its energies to promoting safe and efficient commerce by sea through the development and application of industry consensus standards. Initially, the emphasis was on safety, and ABS applied its technology and knowledge to maintain safety through prevention of accidents caused by the forces of nature and human error. While the science of those causes is very complex and is continually being improved, they are amenable to analysis, understanding and prediction. Through the dedication and diligence of everyone in the maritime industries, the safety record of shipping has steadily improved through the years.

Maritime security introduces an additional element into the safety equation: deliberate actions by people intent on causing harm. Security has always been a concern with naval ships, and the military routinely exercise precautions to maintain the security of their ships. Commercial vessels routinely employ special security measures under certain circumstances to prevent piracy, smuggling or stowaways. Those crimes are usually economically motivated, where destruction is not the goal. Acts of terror are usually politically motivated, and ships are prime targets because of their mobility and high potential for causing extensive damage to life, property, the environment, and the transportation and economic infrastructure. The maritime community has come to the realization that ships must be made less vulnerable to security threats, both at sea and while in port.

On 12 December 2002, Contracting Governments adopted amendments to the International Convention for the Safety of Life at Sea (SOLAS), 1974, to enhance the security of ships and port facilities. In addition to completing a new Chapter XI-2, "Special Measures to Enhance Maritime Security," the diplomatic conference also approved a new *International Code for the Security of Ships and of Port Facilities* (ISPS Code). Compliance with Part A of the Code is mandatory. Part B of the Code contains guidance for applying the new SOLAS requirements and Part A of the ISPS Code. The SOLAS amendments and ISPS requirements became effective on 1 July 2004. Contracting Governments may delegate some of their responsibilities under the new security regime to Recognized Security Organizations (RSO).

ABS will approve security plans, perform security audits of ships and issue International Ship Security Certificates (ISSC) on behalf of governments that have appointed ABS as an RSO for that purpose. In carrying out those responsibilities, ABS will apply the requirements of SOLAS 74, as amended and the ISPS Code, plus any additional requirements imposed by the government.

This Guide is the third revision to the Guide originally issued in January 2003. Since then, the U.S. Coast Guard has issued final rules (33 CFR Subchapter H) mandated by the Maritime Transportation Security Act of 2002. The rules require ships entering the United States to demonstrate compliance with the relevant sections of Part B of the ISPS Code (8.1–13.8). The U.S. rulemaking and consideration of similar approaches by other countries has led ABS to revise this Guide to reflect SOLAS Chapter XI-2, ISPS Code Parts A and the relevant sections of Part B (8.1 – 13.8).

ABS has prepared this *Guide for Ship Security (SEC) Notation* to assist companies and individuals in applying the security provisions of SOLAS and the ISPS Code. It is not intended to be used as a substitute for those documents. However, when used in conjunction with SOLAS, the ISPS Code, this Guide may be helpful in achieving compliance with those requirements and in obtaining the ABS **SEC** notation.

ABS offers the optional **SEC** Security Class notation to ships that comply with the international and additional requirements deemed necessary by ABS and contained in this Guide. The notation is available for all ABS classed vessels, whether or not they are required to also carry an International Ship Security Certificate (ISSC). The additional ABS requirements in the Guide are not extensive or excessive. While the notation is not required as a condition for ABS Class, ABS believes that the Security Class notation is a useful indication of the preparation and measures taken to address security concerns aboard ships.

This March 2005 edition of the Ship Security Guide is being issued to assist ABS clients in developing and implementing their ship security programs. The maritime security area is evolving rapidly, and the International Maritime Organization (IMO), the International Association of Classification Societies (IACS), governmental authorities, and ABS will all be revising their guidelines and adding to the resources available to help shipping companies meet the new requirements. . We welcome your feedback. Comments or suggestions can be sent electronically to shipsecurityguide@eagle.org.



GUIDE FOR SHIP SECURITY (SEC) NOTATION

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SECTION 1 General

1 Scope and Application

This *ABS Guide for Ship Security* has been developed with the objective of improving security in the operation of ships. The American Bureau of Shipping recognizes the positive impact that sound security management practices have in reducing losses to the maritime industry due to terrorism, piracy, and other criminal activity. This Guide provides the maritime industry with a model for implementing ship security programs.

This Guide is intended for the use of companies operating all types of ships. The Guide's requirements are stated in general terms in order to apply to a wide variety of ships and ship operations both at sea and in port. The basic requirements that this Guide addresses have been developed by the international community for application to ships involved in international commerce and port facilities that interface with those ships. The term "ships" used in the international regulations includes passenger ships, cargo ships over 500 gross tons and mobile offshore drilling units. This Guide may also be used for other ships, such as cargo ship less than 500 gross tons and ships not involved in international commerce to improve their security programs. If requested by the ship owner, ABS will verify and certify the security program of any ship in accordance with this Guide.

The requirements of this Guide have been largely derived from the requirements prepared by the International Maritime Organization and adopted in December 2002. Those requirements consist of changes to the International Convention for the Safety of Life at Sea, 1974 (SOLAS 74), including:

- Chapter XI-2 of SOLAS, Special Measures to Enhance Maritime Security
- International Code for the Security of Ships and of Port Facilities, (ISPS Code), Part A, Mandatory Requirements
- International Code for the Security of Ships and of Port Facilities, (ISPS Code), Part B, Guidance

The ISPS Code has two Parts: Part A contains the mandatory provisions of the Code, and Part B contains additional recommendations and guidance. In June 2003, the International Maritime Organization's Maritime Safety Committee stressed that an International Ship Security Certificate should not be issued unless paragraphs 8.1 to 13.8 of part B of the ISPS Code are taken into account. Those paragraphs address the Ship Security Assessment, Ship Security Plan, Records, Company Security Officer, Ship Security Officer, and Training, Drills and Exercises. For the purpose of obtaining a **SEC** security notation from ABS, this Guide also incorporates some of the recommendations in Part B of the ISPS Code and other references on ship and port facility security that ABS believes are necessary for an effective security program. Those references are listed in Subsection 1/4 of this Guide.

Though this Guide has been developed principally to address international and United States ship security requirements, some maritime safety issues are addressed also. Security requirements cannot be allowed to place a ship and crew in an intolerable safety situation. It is necessary, as security requirements are developed and improved, that they are examined to ensure they do not violate the basic requirements for safety at sea and in port facilities associated with the ship/port interface.

This Guide is the third revision to the Guide originally issued in January 2003 and is subject to review and revision. Updates shall include, among other things, additional requirements or clarification of existing requirements. Ships certified to the requirements of this Guide shall be required to comply with the changes at the next intermediate verification that is at least a year after publication of those changes. If the change is based on changes to the international or national security requirements, the applicable compliance dates of those requirements will apply.

2 Certification

2.1 General

Companies may choose to implement security measures suitable to their organization's goals, objectives and concerns. ABS encourages all companies to consider implementation of all of this Guide's requirements as a comprehensive approach to maritime security. Ships that are classed by ABS and comply with all requirements of this Guide, and maintain full compliance, will be eligible to receive the ABS notation **SEC**. Ships that comply with all requirements of this Guide and maintain full compliance, but are not classed by ABS, will be eligible to receive ABS certification to that effect.

Where an Administration delegates authority to ABS to review, approve, and certify Ship Security Plans as a "Recognized Security Organization," (RSO), ABS will issue the certification on behalf of that government or Administration once the verification actions defined in the international regulations and supplemental national regulations are completed. ABS will advise the Company of any additional requirements, beyond those contained in this Guide, applicable to ships of a particular flag. Those additional requirements must be satisfied in order for ABS to issue documents or certifications as an RSO.

A ship that is assessed by ABS and found to meet the requirements specified in this Guide is entitled to hold a corresponding certificate. If the ship is ABS classed, it will also receive a corresponding notation in the *ABS Record*. All certificates are subject to periodic and intermediate verifications conducted for the ship. Certifications and notations are non-transferable. Assessments are based upon a sampling process. The absence of recorded nonconformities does not mean that none exist.

Nothing contained herein or in any certificate, notation or report issued in connection with a certificate or notation is intended to relieve any designer, builder, owner, manufacturer, seller, supplier, repairer, operator, insurer or other entity of any duty to inspect, or any other duty or warranty, express or implied, nor to create any interest, right, claim or benefit in any insurer or other third party.

2.2 Certification Process

Companies seeking certification to the requirements of this Guide for its ships shall fulfill the following responsibilities, some of which are more fully described in subsequent Sections of the subject Guide:

- Document, implement, and maintain a security program in accordance with the requirements of this Guide.
- Provide ABS copies of the pertinent security program, the Company Security Plan, the Ship Security Plan, and the Ship Security Assessment documentation for review and approval.
- Allow ABS access during normal working hours to ships requiring verification in order to assess the security program and determine continuing compliance with the requirements of this Guide.
- Allow ABS access during normal working hours to the offices requiring verification in order to assess the security program and determine compliance with the requirements of this Guide (suggest at annual DOC compliance audits).
- Notify ABS in a timely manner, and in writing, of port state interventions involving "security requirements" on vessels that hold security certifications or documents issued by ABS.
- Inform ABS in writing of major changes to the security program (e.g., changes in Company organizational structure that affect the security program, changes to security assessments, or changes to security plans) so that the changes may be evaluated by ABS and appropriate action taken prior to those changes being implemented.

2.3 Representations

Certification is a representation by ABS that at the time of assessment the ship had established and implemented a security program in accordance with the requirements in this Guide for the specified certificates and notations. Any noncompliant condition that has developed or manifested itself subsequent to the most recent review and certification will not be reflected in the review or certification. Certification is not a representation that the Company always acts in compliance with the security program or that the security program addresses all contingencies. Compliance with all applicable requirements remains the responsibility of the Company.

2.4 Termination

The continuance of certification or any notation is conditional upon the office and ship's continued compliance with the requirements of this Guide. ABS reserves the right to reconsider, withhold, suspend or cancel the certification or notation for noncompliance with the requirements, refusing access to a ship for an assessment or verification or nonpayment of fees which are due on account of certification and other services.

2.5 Limitation of Liability

American Bureau of Shipping shall not be liable or responsible in any respect for any inaccuracy or omission in this Guide or any other publication or document issued by ABS related to this Guide. The combined liability of American Bureau of Shipping, its officers, directors, employees, agents or subcontractors for any loss, claim, or damage arising from negligent performance or non-performance of any of its services, or from breach of any implied or express warranty of workmanlike performance in connection with those services, or from any other reason, to any person, corporation, partnership, business entity, sovereign, country or nation, will be limited to the greater of:

- \$100,000, or
- An amount equal to ten times the sum actually paid for the services alleged to be deficient.

The limitation of liability may be increased up to an amount twenty-five times that sum paid for services upon receipt of the Company's written request at or before the time of performance of services and upon payment by Company of an additional fee of \$10.00 for every \$1,000.00 increase in the limitation.

3 Definitions

"International Ship and Port Facility Security Code" (ISPS) means the ISPS Code consisting of Part A and B as adopted by the Organization.

Company means the Owner, organization, or person who is responsible for the operation of the ship.

Declaration of Security (DoS) means an agreement reached between a ship and port facility or another ship specifying the security measures each will implement.

ISSC means International Ship Security Certificate required by SOLAS and the International Ship and Port Facility Code.

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

Security Level means any suspicious act or circumstance threatening the security of a ship (including a mobile drilling unit and a high speed craft) or a port facility or of any ship/port interface or any ship-to-ship activity.

MARSEC means Maritime Security as used by the U.S. Coast Guard to designate security levels.

Port means the area through which ship traffic and maritime commerce flow or people are transported, including areas ashore (extending to intermodal and cargo storage areas) and on the adjacent water (to include anchorages and approaches), as defined by the designated authority.

Port Facility is a location where the ship/port interface takes place, including anchorages, berths and approaches.

Recognized Security Organization (RSO) means an organization with appropriate expertise in security and anti-terrorism matters recognized by the Administration (or the designated authority) and authorized by it to carry out assessment, verification, approval and certification activities, required by SOLAS Chapter XI-2 or by Part A of the ISPS Code, on its behalf.

Security Incident means any suspicious act or circumstance threatening the security of a ship.

Ship means any vessel (including mobile offshore drilling units, barges, small passenger vessels, etc.) that is required to have an International Ship Security Certificate or other security certificate required by a government, or that receives an **SEC** security notation from ABS or a corresponding security certificate in accordance with this Guide.

Ship/Port Interface means the interactions that occur involving movement of people, goods or provisions of port services to or from the ship.

Ship-to-Ship Activity means any activity not related to a port facility that involves the transfer of goods or persons from one ship to another.

Ship Security Alert System (SSAS) means that required by SOLAS XI-2/6.

Automatic Identification System (AIS) means that required by SOLAS V19.

Continuous Synopsis Record (CSR) means that required by SOLAS XI-1/5.

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

4 References

The references provided in this Guide include international standards and selected government and industry guidance documents. Chapter XI-2 (Special Measures to Enhance Maritime Security) of SOLAS 74.

4.1 International and U.S. Coast Guard Security Requirements

- i) SOLAS Chapter XI-2 – *Special Measures to Enhance Maritime Security* (provided in Appendix 1 to this Guide).
- ii) ISPS Code Part A – Mandatory Requirements Regarding the Provisions of Chapter XI-2 of the International Convention for the Safety of Life at Sea (provided in Appendix 2 to this Guide).
- iii) 33 CFR Part 104 – Vessel Security.

4.2 International and U.S. Coast Guard Guidance Documents

- i) ISPS Code Part B – Recommended Guidance Regarding the Provisions of Chapter XI-2 of the International Convention for the Safety of Life at Sea, December 2002 (provided in Appendix 3 to this Guide).
- ii) Navigation and Vessel Inspection Circular titled, “Security Guidelines for Vessels”, (NVIC 10–02), United States Coast Guard, October 2002 (provided in Appendix 8 to this Guide).
- iii) Navigation and Vessel Inspection Circular titled, “Guidelines for Port Security Committees, and Port Security Plans Required for U.S. Ports” (NVIC 9–02), United States Coast Guard, September 2002. (Copies of NVICs can be obtained from the local Coast Guard Captain of the Port or at <http://www.uscg.mil/hq/g-m/nvic>.)
- iv) Navigation and Vessel Inspection Circular titled, “Security for Passenger Vessels and Passenger Terminals” (NVIC 4–02), United States Coast Guard, April 2002.
- v) Navigation and Vessel Inspection Circular titled, “Security Guidelines for Facilities,” (NVIC 11–02), United States Coast Guard, April 2002.
- vi) 33 CFR Part 101 – General Provisions
- vii) 33 CFR Part 105 – Facility Security
- viii) 33 CFR Part 106 – Outer Continental Shelf (OCS) Facility Security

4.3 Other Useful References

- i) *Piracy and Armed Robbery Against Ships*, Marine Notice 28/2002, Australian Maritime Safety Authority, Canberra City, AU ACT 2601, December 2002.
- ii) *Piracy and Armed Robbery Toward Ships*, Port Marine Circular No. 23 Of 2002, Maritime And Port Authority Of Singapore, December 2002.
- iii) *Piracy And Armed Robbery Against Ships – Guidance To Shipowners And Ship Operators, Shipmasters And Crews On Preventing And Suppressing Acts Of Piracy And Armed Robbery Against Ships*, MSC/Circ.623/Rev.3, International Maritime Organization, May 2002.
- iv) *Proposed Security Manual for Ships and Mobile Offshore Drilling Units*, Republic of Liberia, MSC 75/INF 27, April 2002.
- v) *AWO Model Vessel Security Plan*, The American Waterways Operators, Arlington, VA 22203, April, 2002.
- vi) *Marine Safety – Tools for Risk-Based Decision Making*, ABS Consulting, Government Institutes, Rockville, MD 20850, 2002.
- vii) *Guidance For Shipowners, Ship Operators And Masters On The Protection Of Ships From Terrorism And Sabotage*, International Chamber of Shipping, London, England, November 2001.
- viii) *Safety and Security at Sea*, Butterworth-Heinemann, Woburn, MA 01801, 2000.
- ix) *Security at Sea – Terrorism, Piracy, and Drugs*, The Nautical Institute, London, England SE1 7LQ, 1991.
- x) Hawkes, K.G., *Maritime Security*, Cornell Maritime Press, 1989; Grade A Notes, 2003



SECTION 2 Maritime Security

1 General

Maritime security can only be achieved by cooperative efforts among all the parties involved in the maritime industries, with primary emphasis on ships, port facilities and governments. Although this Guide applies only to ships for the purpose of obtaining a security **SEC** notation by ABS, this Section provides additional background information that might help in understanding the international security regime. This Section gives a general overview of the ship security process and describes security levels and the roles of Governments in applying maritime security programs. Information on security requirements for port facilities is included to place the requirements for ships in perspective. It also gives an overview of the elements of basic security systems. For the purposes of this Guide, the term “ship” means any vessel that is required by a government to have a security certificate or one that complies with this Guide in order to receive an ABS **SEC** security notation.

2 Process Overview

The Company is responsible for setting the security policies for the ships it operates. As a minimum those policies must conform to international and domestic requirements, but they should also reflect the Company’s objectives in maintaining safety and security onboard its vessels wherever they operate. The elements of a ship security program should include the following:

- *Company Security Officer (CSO)* – The individual in the Company who is responsible for developing and implementing the Company’s security program.
- *Ship Security Assessment (SSA)* – A risk based analysis of security-related hazards or threats for each ship the Company operates. The SSA should address the particulars of the ship, its cargoes and crew, and the locations where it will operate. It should also consider the likelihood of various security-related scenarios and possible responses to those scenarios.
- *Ship Security Plan (SSP)* – A ship-specific document based on the SSA that identifies equipment, measures and procedures that are to be employed to maintain security on board the ship. The plan must address specific measures appropriate to the level of security specified by the Government or Company.
- *Ship Security Officer (SSO)* – The individual on board each ship who is responsible for ensuring that the SSP is implemented at all times while the ship is underway and in port. The SSO also is responsible for ensuring that the SSP is maintained up-to-date and that the ship’s crew are trained and familiar with their security related duties. The SSO is the primary point of contact between the ship and the Port Facility Security Officer located in each port that the ship visits.
- *Documentation* – Records and certificates that confirm that the ship is in compliance with applicable security requirements. These may include records of port calls, security incidents, training and drills and certificates, such as the International Ship Security Certificate (ISSC) and ABS certification of compliance with this Guide.

There are similar and corresponding security requirements for port facilities in the ISPS Code and national regulations, to ensure that equivalent levels of security are maintained for the ship while it is in port. Those requirements are beyond the scope of this Guide. However, the CSO and SSO must maintain contact with the Port Facility Security Officer, so that all parties understand the security condition of the ship and port facility, that security is maintained while the ship is in port, and that all parties understand and are capable of taking what additional security measures are necessary if the security level changes while the ship is in port.

3 Applicability

3.1 International Requirements

Chapter XI-2 of SOLAS applies to passenger ships, cargo ships over 500 gt, high speed cargo and passenger ships and MODUs on international voyages after 1 July 2004.

3.2 ABS Requirements

ABS will review security assessments, approve security plans, conduct security audits and issue security certificates on behalf of any Administration that has authorized ABS to do so. The standards used for such statutory work will be those specified by the Administration. For information concerning authorizations and delegations to ABS by Administrations, contact your local ABS office.

Any vessel classed by ABS is eligible to apply for the ABS **SEC** notation. In order to obtain the ABS **SEC** notation, vessels must comply with all requirements contained in this Guide. It is ABS's intention that full compliance with this Guide will satisfy the requirements of SOLAS Chapter XI-2, the ISPS Code and the relevant section of Part B (8.1-13.8).

4 Security Levels

4.1 General

Chapter XI-2 of SOLAS requires that passenger ships, cargo ships over 500 gt, high speed cargo and passenger ships and MODUs on international voyages after 1 July 2004 are required to operate at a specified security level at all times. This requirement may be extended by Governments to apply to other ships flying their flags or entering their ports. Shipping companies may choose to operate their ships at a specified security level even if international or national regulations do not explicitly require them to do so. The setting of the security level applying at any particular time is normally the responsibility of Flag Administrations (for ships in general) and of Port States for port facilities and ships visiting those facilities. In general, ship and port facility security plans must address the measures to be taken at each security level. The three security levels used in the ISPS Code and in this Guide are:

- *Security Level 1* means the level for which minimum appropriate protective security measures shall be maintained at all times;
- *Security Level 2* means the level for which appropriate additional protective security measures shall be maintained for a period of time as a result of heightened risk of a security incident; and
- *Security Level 3* means the level for which further specific protective security measures shall be maintained for a limited period of time when a security incident is probable or imminent, although it may not be possible to identify the specific target.

5 Administrations

Flag Administrations have a variety of security responsibilities for ships registered under their authority. These include:

- Providing guidance on the development of Ship Security Plans
- Providing guidance on measures for ships to implement at each security level
- Providing guidance on the reporting of attacks on ships
- Approving Ship Security Plans
- Issuing International Ship Security Certificates (ISSC) to ships
- Notifying ships of appropriate security levels
- Notifying other governments of ship security alerts from ships within their jurisdiction

- Specifying requirements for Declarations of Security
- Agreeing to temporary measures to be implemented if security equipment fails
- Deciding whether or not to delegate approval of Ship Security Plans, verification of ship security systems and issuing International Ship Security Certificates to Recognized Security Organizations (RSO) and overseeing such delegations

Where ABS has received authorization from an Administration to act as an RSO for ship security and the Administration has specified requirements that exceed those in this Guide, those requirements will become part of the items to be verified by ABS in the certification process performed behalf of that Administration. Those additional requirements must also be complied with in order to receive the ABS **SEC** notation.

6 Port States

Governments that have jurisdiction over port facilities are responsible for:

- Designating the port facilities in their jurisdiction which must have a port facility security officer and a port facility security plan
- Ensuring completion of a port facility security assessment for those port facilities
- Reviewing port facility security assessments and plans
- Approving the port facility security plans and relevant amendments to approved plans
- Establishing points of contact within the Government for reporting security concerns
- Setting the security levels
- Notifying affected parties of changes in security levels
- Defining when a Declaration of Security must be completed between a ship and a port facility

7 Activities not Covered by the ISPS Code

The Ship Security Plan should establish details of the procedures and security measures the ship should apply when:

- .1 It is at a port of a State which is not a Contracting Government to SOLAS;
- .2 It is interfacing with a ship to which the ISPS Code does not apply¹;
- .3 It is interfacing with fixed or floating platforms or a mobile drilling unit on location; or
- .4 It is interfacing with a port or port facility which is not required to comply with SOLAS Chapter XI-2 and Part A of the ISPS Code.

¹ Refer to Further Work by the International Maritime Organisation pertaining to Enhancement of Maritime Security, adopted by the Conference on Maritime Security by resolution [3].