

Day 5

Questions related to DAY FOUR



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EXERCISE 6

AUDIT PROCESS

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AUDITING & VERIFICATION

□ RECALL FROM YESTERDAY:-

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Recording and Reporting

- Factual
- Brief
- Identify non conformities
- Not to apportion blame
- Quick to write
- Identify recipient (Master/CSO/SSO?)
- Identifiable to the Audit
- Identify conformance
- Give specific examples

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AUDITING PROCESS 2

- Schedule
- Preparation
- Opening Meeting
- Audit
- Closing Meeting
- Reporting findings
- Develop Corrective Actions
- Check Effectiveness

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Opening the Audit

- Formal or Informal?
- Confirm the Scope and the Schedule
- Explain the Reporting System
- Confirm Crew and Staff availability
- Confirm Confidentiality

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Non- Conformance 1

- ❑ 'Objective Evidence' EU Reg 324:2008
- ❑ Not meeting the requirements of
 - SOLAS XI-2
 - Part A ISPS Code
 - EU Reg 725:2004
 - National Legislation
 - SSP
 - Company Procedures
 - Incomplete or no Records
 - Absence of objective evidence so as to demonstrate compliance

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EXERCISE 6

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COFFEE

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COURSE ASSESSMENT AND FEEDBACK

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EMSA ISPS SHIP SECURITY Course Summary

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Course Objectives

Delegates should on completion of the course will have an understanding of:-

- ❑ Legal Framework
- ❑ Introduction to the International Legislation on security
- ❑ General introduction of the ISPS Code and related background information
- ❑ Role of the EU and EMSA
- ❑ Need and Scope of ISPS Code related to National Legislation
- ❑ Importance of ISPS Code in the supply chain and the concept of intermodel security policy.

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Course Objectives Part 2 (S)

- ❑ The role, tasks and responsibility of all those involved in the application, operation and control of ISPS Application.
- ❑ Operational issues related to ISPS Application

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Purpose of the Code

- ❑ Thought to be about TERRORISM
- ❑ Terrorism not explicitly stated in the Code
- ❑ If the measures of the ISPS Code are appropriately applied, provides a mechanism to protect against all security risks.

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ISPS Process

- ❑ Applied through SOLAS XI-2
- ❑ The ISPS Code effective from 1/7/2004
- ❑ Application - Regulation 2

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SOLAS XI-2

- ❑ Regulation 3 - Obligations of the Contracting Government
- ❑ Regulation 4 - Requirements for Companies and Ships
- ❑ Regulation 5 - Specific Responsibilities of Companies
- ❑ Regulation 8 - Masters Authority
- ❑ Regulation 9 - Control & Compliance Measures
- ❑ Regulation 13 - Communication of Information

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ISPS Code

- ❑ PART A - Mandatory
- ❑ PART B - Guidance
- ❑ 19 Parts

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Terrorism / Security

- ❑ Terrorism not explicitly considered.
- ❑ If effective implementation provides for a comprehensive security regime

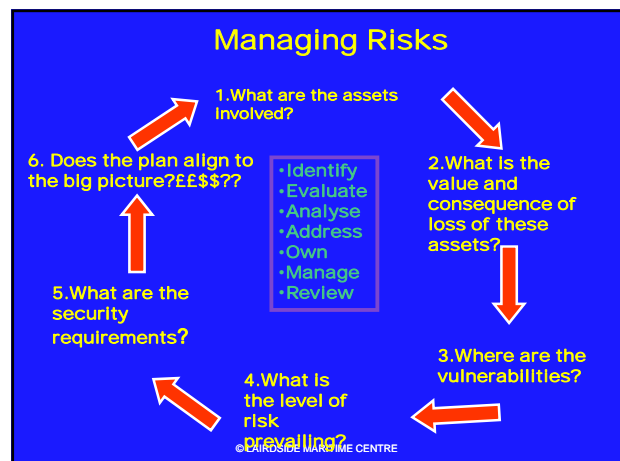
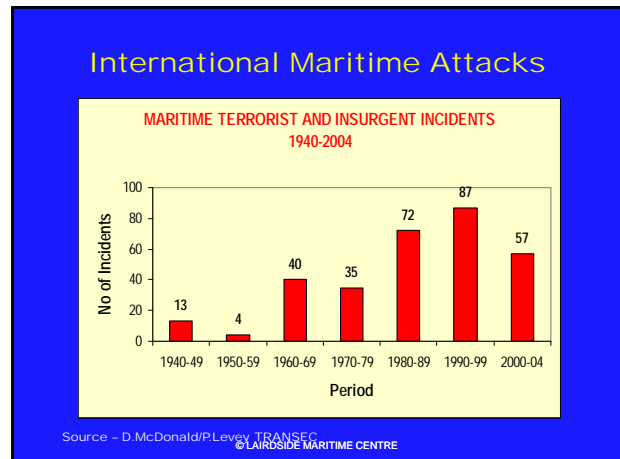
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Abu Nidal Organisation (ANO) Liberation Tigers of Tamil Eelam (LTTE)
Haganah 15th May Arab Organisation (FMAO) PFLP PLF PLO
State Sponsored Terror Chechen Dissidents Polisario Front Abu Sayyaf Group (ASG)
Omani Terrorists Eritrean Peoples Liberation Front (EPLF)
RENAMO EKAL Abyan-Aden Islamic Army (IAA) UNITA
Irgun Zvai Le'Umi PIRA
State Sponsored Iran Islamic Jihad
Gerakam Aceh Merdeka (GAM) SNM/SPM
Knukayin National Union (KNU) Cuban Dissidents
Moro Islamic Liberation Front (MILF) United Jewish Resistance (UJRM)
Jewish Defence League (JDL) Partei Kerkereen Kurdistan PKK
Fuerzas Armadas de Venezuela (FAVLN) Fuerzas Armadas de Colombia (FARC)
Epanastatiki Organosi 17 (N17)
State Sponsored France NIJL New Peoples Army (NPA)

The Maritime Terrorist Threat

Source: McDonald TRANSEC

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CODE OF PRACTICE ON SECURITY IN PORTS

IMO/ILO
MESSHP/2003/14
Appendix A - PSA

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What is a Ship Security Assessment (SSA)?

The SSA is a process by which competent persons identify key assets on board a ship and assesses the threats to these assets and identifies security measures that can be implemented to reduce the vulnerability of these assets.

THE FIRST STAGE OF COMPLYING WITH ISPS REQUIREMENTS AND MUST BE REVIEWED AS TO IT'S CONTINUING RELEVANCE

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SHIP SECURITY ASSESSMENT No. 1

- ❑ Assessment will be carried out by Competent persons
 - It is be ship specific.
 - It is be risk based.
 - It is be based on specific threat scenarios
 - It involves an on site survey.
 - It forms the basis of the SSP.
 - The SSA must be protected from unauthorised access or disclosure.
- ❑ A Report forms the basis to develop the plan.

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SHIP SECURITY PLAN

Purpose Of The SSP

- ❑ The SSP is defined in Part A section 2.1 of the ISPS Code and is to ensure the application of measures on board the ship designed to protect persons on board, cargo, cargo transport units, ships stores or the ship from risk of a security incident.

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SHIP SECURITY PLAN Section 9

- ❑ The SSP is ship specific and based on the SSA
- ❑ Confidential and must be retained on board
- ❑ Must be approved by the flag administration or RSO
- ❑ SSP and the SSA to be submitted to the flag
- ❑ Describes security procedures under different levels of security
- ❑ Is in the working language of the ship -which if not English, French or Spanish a translation of one of these languages shall be included
- ❑ Amendments must be submitted for approval.

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DEVELOPMENT OF THE SSP

- ❑ The CSO is responsible for the preparation and submission for approval.
- ❑ The SSA is used to prepare the SSP and should be attached to the Plan for approval
- ❑ The SSP must be implemented as soon as approval has been given.
- ❑ It is useful where the Administration provides guidance of details and measures that must be taken into account and measures that must complied with.
- ❑ This allows a consistent application across the administrations ships.

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IMPLEMENTATION OF THE SSP

- ❑ All Ship personnel must:-
 - Be familiar with and work in accordance with the SSP
 - Understand Procedures at Security Levels 1, 2 & 3.
 - Undergo Security drills and training exercises relevant to their responsibilities.

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Development of Ship Security Plan for The Ship



ISM CODE & ISPS CODE

INTERNATIONAL MANAGEMENT SAFETY CODE
Revised Guideline – 2002

INTERNATIONAL SHIP & PORT FACILITY
SECURITY CODE & SOLAS Amendments 2003

SIMILARITIES AND RELATIONSHIPS BETWEEN
SAFETY AND SECURITY

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What is a port facility security assessment (PFSA)?

The PFSA process is a process by which competent persons identify key assets within a port facility, assess the threats to these assets and identify security measures that can be implemented to reduce the vulnerability of these assets.

THE FIRST STAGE OF COMPLYING WITH ISPS
REQUIREMENTS

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PORT SECURITY ASSESSMENT EU Directive 65:2005

- ❑ Implemented by 15 June 2007.
- ❑ PSA Should address
 - Areas relevant to **PORT** Security thus also defining the Port boundaries.
 - Identify security issues deriving from interface between Port and Port facility and other Port security measures.
 - Identify Port personnel who will be subject to background checks/security vetting because of involvement in high risk areas
 - Identify risk variations based on seasonality
 - Identify possibility of Cluster effects on Security incidents
 - Identify need to know requirements of all those directly involved as well as the general public

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An example- UK Position TRANSEC PROTECTION CATEGORIES

EU Dir 65:2005 – Subdivide the Port according to likelihood of security incidents

PAX - International Passenger Ships;
Domestic AMSA/TRANSEC Operations

COG - Chemical, Oil, Gas

CRR - International Containers & Ro-Ro traffic

OBC - International Other Bulk Cargo

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ISPS CODE RESPONSIBILITIES

CONTRACTING GOVERNMENTS

*SET SECURITY LEVELS AND PROVIDE GUIDANCE FOR
PROTECTION FROM SECURITY THREATS
REVIEW, APPROVE, VERIFY and CERTIFY PFSP's and SSP's*

SHIPPING COMPANIES

*IMPLEMENT and MAINTAIN THE SSP. APPOINT and SUPPORT
THE CSO, SSO and MASTER*

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European Union Position

EC Regulation No 725/2004

- ❑ EU Regulation on enhancing ship and port facility security provides for consistent implementation of the IMO requirements across Europe.
- ❑ The Regulation makes selected paragraphs of Part B of the ISPS Code (the guidance section) become mandatory for Member States
- ❑ The Regulation also proposes to extend the scope of the IMO requirements to Class A domestic passenger ships and the port facilities that serve them and to other domestic operations on the basis of risk assessment.

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RECOGNISED SECURITY ORGANISATION (RSO)

- ❑ Must have proven expertise in the security field to have "Recognised" status.
- ❑ Authorised by Contracting Governments to:
 - Approve SSPs or amendments on behalf of Contracting Government for *Ships of their Flag*
 - Verify and certify compliance of ships
 - Conduct Port Facility assessments

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ENGAGEMENT OF RSO's

- ❑ When delegating RSO's to carry out work for them Contracting governments should ensure that the RSO has the competencies to undertake the task
- ❑ A Port or Harbour Authority or Port Facility Operator may be appointed as an RSO provided it has the necessary security related experience.

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WHAT AN RSO CANNOT DO!!

- ❑ Sec A 4.3
 - Set the Security Level
 - Approve the PFSA and amendments
 - Determine the Port Facilities which have a PFSO
 - Approve the PFSP
 - Exercise Control and Compliance measures pursuant to Regulation XI - 2/9

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MONITORING & CONTROL

- ❑ It is essential that **SSP** is reviewed regularly deficiencies and non conformances noted and improvements implemented
- ❑ All Amendments/improvements identified must be submitted to the Contracting Govt for approval before their implementation

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What is a Review?

- ❑ A Review seeks to ensure that the Measures of the Security Plan, the Security Assessment, Operational Procedures and Practice are effective in meeting the Objectives of SOLAS XI-2, the Code and required legislation.

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Review versus Audit

- ❑ Similarities between an Audit and a Review but they are not the same.
- ❑ The Review is focused on identifying the suitability of the system.

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SECURITY EQUIPMENT

Examples of Security Equipment and Systems

- ❑ Locks
- ❑ Lighting
- ❑ Booms
- ❑ Turnstiles/Gates/Barriers
- ❑ Fencing and Gates
- ❑ Biometric Systems
- ❑ Perimeter Intrusion Devices (PIDS)
- ❑ Alarms
- ❑ Communication systems (Radios)
- ❑ Closed circuit TV
- ❑ Baggage screening equipment
- ❑ Under vehicle video (UVV)
- ❑ Metal detectors (AMD, HHMD)
- ❑ Baggage X-ray equipment
- ❑ Container X-ray devices
- ❑ Explosive trace detection equipment
- ❑ Vapour & narcotics detection equipment
- ❑ Radiation detection devices
- ❑ Tracking Systems

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TESTING, CALIBRATION & MAINTENANCE OF SYSTEMS

Part B 13.3.9 & 18.2.8

Consideration should be given to:

- ❑ Procedures to ensure Operational readiness
- ❑ Routine tests undertaken
- ❑ Appropriate training of skilled Operators
- ❑ Drills in use of equipment
- ❑ Planned Maintenance procedures to ensure continuing accuracy
- ❑ Back-up provisions
- ❑ Maintenance and inspection records
- ❑ For ships: security equipment should be maintained in line with the provisions of Section 10 of the ISM Code

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IMO Guidance

- ❑ MSC/Circ.1111
- ❑ 7 June 2004
- ❑ **GUIDANCE RELATING TO THE IMPLEMENTATION OF SOLAS CHAPTER XI-2 AND THE ISPS CODE**

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Verification of the Ship Security Measures

- ❑ *Clear grounds* that the ship is not in compliance means evidence or reliable information that the security system and any associated security equipment of the ship does not correspond with the requirements of SOLAS chapter XI-2 or part A of the ISPS Code, taking into account the guidance given in part B of the ISPS Code. Such evidence or reliable information may arise from the duly authorized officer's professional judgement or observations gained while verifying the ship's International Ship Security Certificate or Interim International Ship Security Certificate issued in accordance with part A of the ISPS Code or from other sources. Even if a valid certificate is on board the ship, the duly authorized officers may still have clear grounds for believing that the ship is not in compliance based on their professional judgment (ISPS Code paragraph B/4.32):

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DoS ADMINISTRATION

- ❑ Ensure that the form of DoS accords with the Model in annex D of the ISPS Code
- ❑ Complete the DoS for signature by all Parties: SSO, Master, PFSO. Officers of Contracting Govt's as required.
- ❑ Ensure retention of the DoS for inspection
- ❑ Records of DoS should be retained by both PFSO and SSO for a period specified by their contracting government. (UK Minimum of **3 years** for both ports and ships.
- ❑ In the case of Ships any DoS relating to one of last ten ports of call shall be retained as long as it relates to any of those last 10 ports of call even if the period over which those calls extend exceeds the minimum period.

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SOLAS AMENDMENTS

SOLAS V

- ❑ **AUTOMATIC IDENTIFICATION SYSTEM, (AIS)**
AIS TO BE FITTED TO ALL SHIPS >300GT NOT LATER THAN 1ST S.E.C AFTER 1ST JULY 2004 OR 31 DECEMBER 2004 WHICHEVER OCCURS FIRST

SOLAS XI

- ❑ **SHIP SECURITY ALERT SYSTEM**
(PASSENGER SHIPS, TANKERS, BULK CARRIERS AND H.S. CARGO SHIPS NOT LATER THAN 1ST RADIO SURVEY AFTER 1ST JULY 2004. CARGO SHIPS > 500GT & MODUS NOT LATER THAN 1ST JULY 2006).
- ❑ **CONTINUOUS SYNOPSIS REPORT (CSR)**
- ❑ **SHIP IDENTIFICATION NUMBER**
(SEVEN DIGIT NUMBER TO BE MARKED ON HULL EXTERNALLY AND INTERNALLY BY 1ST DID AFTER 1ST JULY 2004. PASSENGER SHIP > 100GT OTHER SHIPS > 300GT)

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SUPPLY CHAIN SECURITY

- ❑ Presently there are four main initiatives governing the security of Intermodal Transport:
- ❑ 'SAFE FRAMEWORK OF STANDARDS' Initiated by the (WCO) World Customs Organisation, the following two projects implemented to compliment this initiative:
- ❑ 'CUSTOMS TRADE PARTNERSHIP AGAINST TERRORISM' Initiated in the U.S. by Customs and Border Protection Department (CBP) this is a voluntary supply chain security programme.
- ❑ 'CONTAINER SECURITY INITIATIVE' again introduced by the US (CBP) to increase security of container cargo shipped to them.
- ❑ 'AUTHORISED ECONOMIC OPERATOR' To compliment the US efforts E.U. REG 648/2005 and Commission Reg. EEC No 1875/2006 initiated a similar scheme in line with C-TPAT to secure international trade.

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SECURITY TRAINING SHIPS - Requirements

- Section 13.1
IN RESPECT OF SHIP SECURITY THE C.S.O. SHALL HAVE KNOWLEDGE OF AND RECEIVED ISPS TRAINING. MANDATORY IN UK
- Section 13.1 & 2
IN RESPECT OF SHIP SECURITY THE S.S.O. SHALL HAVE KNOWLEDGE OF AND RECEIVED ISPS TRAINING. MANDATORY IN UK
- Section 13.3
ALL OTHER SHIPBOARD PERSONNEL HAVING SPECIFIC SECURITY DUTIES SHOULD HAVE KNOWLEDGE AND RECEIVE TRAINING AS APPROPRIATE
- Section 13.4
ALL OTHER SHIPBOARD PERSONNEL SHOULD HAVE KNOWLEDGE OF AND BE FAMILIAR WITH RELEVANT PROVISIONS OF THE SSP AS APPROPRIATE

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MSC/Circ.1154 T2/4.2 23 May 2005

❑ GUIDELINES ON TRAINING AND CERTIFICATION FOR COMPANY SECURITY OFFICERS

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Qualification & Training of Duly Authorised Officers

- ❑ MSC Circ 1111/2004 gives guidance on the qualifications and training of Duly Authorised Officers
- ❑ appropriate knowledge of the provisions of chapter XI-2 and of the ISPS Code, of shipboard operations and need to be appropriately qualified and trained to the level required by the functions that they are authorized to carry out.
- ❑ Communicate in English
- ❑ periodically undergo training in order to update their knowledge.

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SECURITY DRILLS & EXERCISES

- ❑ Section 13.4. Part A
- ❑ To ensure the effective implementation of the Ships Security Plan, drills should be carried out at appropriate intervals taking into account the ship type, ship personnel changes, port facilities to be visited and other relevant circumstances, taking into account the guidance given in Part B of this Code.
- ❑ Section 13.5 Part A
- ❑ Company Security Officer should ensure that effective co-ordination and implementation of Ships Security Plans by participating in exercises at appropriate intervals
- ❑ MANDATORY THROUGHOUT E.U. UNDER DIRECTIVE E.U. 725/2004

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SECURITY DRILLS & EXERCISES 1

- ❑ SECURITY DRILLS SHOULD BE CARRIED OUT EVERY:
 - PORT – 3Months
 - SHIP – 3 Months / 25% CREW CHANGE
 - ❑ SECURITY EXERCISES SHOULD BE CARRIED OUT EVERY:
 - PORT & SHIPS 1 Calendar Year (No more than 18 months between)
- In U.K. under Ship and Port Facility (Security) Regulations 2004. Failure to carry out and record such Drills and Exercises, can result in Enforcement Notice served on SSO Failure to conform to such Notice may result in Court appearance and Fine. Continue failure after conviction can result in £100 per day fine until conforming to Enforcement Notice.

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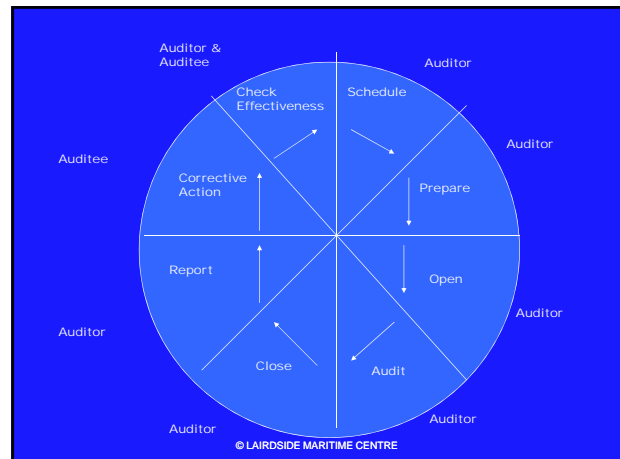
Documentation Records Section 10.1 Part A

THESE SHALL INCLUDE:

- ❑ TRAINING, DRILLS & EXERCISES
- ❑ SECURITY THREATS AND INCIDENTS
- ❑ BREACHES OF SECURITY
- ❑ CHANGES IN SECURITY LEVELS
- ❑ SECURITY RELATED COMMUNICATIONS
- ❑ INTERNAL SECURITY AUDITS
- ❑ PERIODIC REVIEW OF SSA and SSP
- ❑ IMPLEMENTATION OF AMENDMENTS TO SSP
- ❑ SECURITY EQUIPMENT MAINTENANCE RECORDS
- ❑ TESTING SHIP SECURITY ALERT SYSTEM

REQUIRED FOR INSPECTION UNDER MSC/CIRC.1151

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Questions?

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❑ THANK YOU FOR YOUR INPUT, SUPPORT AND ENTHUSIASM THROUGHOUT THE COURSE.

❑ NOW FOR THE ASSESSMENT

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A Course prepared for



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EMSA PRESENTATION

CLOSE COURSE



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SUMMARY AND CLOSE



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